

# **Power System Incident Reporting Guideline**

Draft 0.3.2 (19 OCT 2023)

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# 1 Application of this Guideline

## 1.1 Purpose

This Power System Incident Reporting Guideline (Guideline) has been established and is maintained by the *Power System Controller* (SC) under clause 7.5.1 of the System Control Technical Code (SCTC).

This Guideline aims to provide a framework to ensure that *power system* incidents are systematically reviewed, investigated and reported to assess the adequacy of the provision and response of facilities or services and the appropriateness of actions taken to restore or maintain power system security or electricity supply.

The objective of this Guideline is to assist the *Power System Controller* in fulfilling its obligations related to the notification and investigation of *power system* incidents in each of the *regulated power systems* as set out in section 7 of the SCTC.

## 1.2 Scope

This Guideline commenced on the [Subject to consultation] and incorporates amendments made from time to time in accordance with clause 7.5.1 of the SCTC and section 3 of this Guideline. Should any conflict arise between this document and the SCTC, the SCTC shall prevail.

This Guideline describes the information and actions required from *System Participants* (SP) to assist the *Power System Controller* in fulfilling obligations related to the identification, notification and investigation of power system incidents.

The data and information provided by *System Participants* as part of the reporting process is used by the *Power System Controller* to support the investigation of reportable incidents, and consequently in facilitating determination of clearly defined recommendations and agreed actions.

The *Power System Controller* may amend or replace this Guideline from time to time to meet changing needs with respect to the reliability, safety and security of the power system.

This Guideline will only apply to incidents which occur after the commencement date. Where amendments are made to this Guideline, the amended Guidelines will only apply to incidents which occur after the amendment date.

For further understanding or resolution of issues relating to this Guideline, please refer all matters to the *Power System Controller*.

## 1.3 Definitions and Glossary of Terms

Terms defined in the SCTC have the same meaning in this Guideline.

Defined terms in the SCTC are intended to be identified in this Guideline by italicising them, but failure to italicise a defined term does not affect its meaning. Delivery timeframes shown in bold within this Guideline have been defined in the SCTC.

Some terms which have not been defined in the SCTC, but which are used in this Guideline have been defined in Table 1 Glossary of Terms below.

**Table 1 Glossary of Terms**

Term	Definition
energy unserved (MWhrs)	$Load\ Impacted\ (MW) \times Event\ Duration\ (hrs)$
material impact	A power system incident which: <ul style="list-style-type: none"> <li>lasts longer than 2 hours without restoration; and</li> <li>impacts at least 1000 customers; or</li> <li>is an abnormal or safety incident.</li> </ul>
RID	Recommendation Identification Number
system minutes	$\frac{Energy\ Unserved\ (MWhrs)}{System\ Peak\ load\ (MW)} \times \frac{60min}{1hrs}$

## 1.4 Interpretation of this Guideline

This Guideline is subject to the principles of interpretation set out in clause 1.4 and Attachment 2 of the SCTC.

## 1.5 Communication protocol

### 1.5.1 General Information

The purpose of this section is to provide a general communication protocol for information relating to Power System Incident Reporting as set out in this Guideline.

All incoming and outgoing written communication to and from the *Power System Controller* regarding *power system* incidents should be made via email ([SCReportableIncident.PWC@powerwater.com.au](mailto:SCReportableIncident.PWC@powerwater.com.au)). Communication may be made by PWC authorised personnel on behalf of the *Power System Controller*, but will still be delivered/received via the above mentioned email address.

*System Participants* should provide the *Power System Controller* with at least one (1) email address, but no more three (3) email addresses to which they wish to receive all *reportable incident* written communication. It is the responsibility of the *System Participant* to ensure that the email addresses provided to the *Power System Controller* are up to date and correct. The *Power System Controller* will respect the privacy of *System Participants'* email addresses and utilise BCC mailing lists for delivery of notifications and reports relating to *reportable incidents*.

The *Power System Controller* will seek to engage *System Participants* in various forms of alternative communication methods such as phone calls, virtual meetings, and face-to-face meetings in order to support the formal written communication.

Table 2 below outlines some common communication types used throughout the reporting process, the responsible party, recipient(s) and expected timeframe for delivery.

**Table 2 Common Reporting Communications**

Type of Communication	Responsible Party	Recipient(s)	Delivery Timeframe
<b>SP Notification</b>	System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	Within <b>three (3) business days</b> of becoming aware of a potential reportable incident.
<b>SC Notification</b>	Power System Controller	<ul style="list-style-type: none"> <li>Relevant System Participants</li> <li>Utilities Commission</li> </ul>	Within <b>three (3) business days</b> of becoming aware of the occurrence of a reportable incident.
<b>SP Brief Report</b>	System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	Within <b>five (5) business days</b> of receiving SC Notification. Extension available by request (see section 1.5.2).
<b>SC Brief Report</b>	Power System Controller	Utilities Commission	Within <b>ten (10) business days</b> of issuing a SC Notification.
<b>SP Final Report</b>	System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	Within <b>twenty (20) business days</b> of receiving SC Notification. No extension available.
<b>SC Final Report</b>	Power System Controller	<ul style="list-style-type: none"> <li>System Participants</li> <li>Utilities Commission</li> </ul>	Within <b>ninety (90) business days</b> of issuing a SC Notification. No extension available.
<b>SP Brief Report Extension Request</b>	System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	Before the deadline for SP Brief Report.
<b>SC response to SP Brief Report Extension Request</b>	Power System Controller	Relevant System Participant	Within three (3) business days of receiving the SP Brief Report extension request.
<b>SC Recommended Actions</b>	Power System Controller	Relevant System Participant(s)	Prior to submission of SC Final Report to Utilities Commission.
<b>SP Response to SC Recommended Actions</b>	Relevant System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	Within five (5) business days of receiving the recommended actions. Negotiating may continue past this until actions can be agreed to.
<b>Evidence of Completion of Agreed Actions</b>	Relevant System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	Within six (6) months of SC Final Report being issued to Utilities Commission. Extension available by request (see section 1.5.2).
<b>Response to Evidence of Completion of Agreed Actions</b>	Power System Controller	Relevant System Participant	Within fifteen (15) business days of receiving evidence from System Participant.
<b>Agreed Action Extension Request</b>	Relevant System Participant	Power System Controller (SCReportableIncident.PWC@powerwater.com.au)	As soon as reasonably practical (during the Recommendation/Agreed Action process), but before the six (6) month deadline.
<b>Response to Agreed Action Extension Request</b>	Power System Controller	Relevant System Participant	Within five (5) business days of receiving the agreed action extension request.

### 1.5.2 Requests for Extensions

All requests for extensions made by System Participants to the Power System Controller should be made in writing via email ([SCReportableIncident.PWC@powerwater.com.au](mailto:SCReportableIncident.PWC@powerwater.com.au)).

#### SP Brief Report Extensions

The SP Brief Report must be provided to the *Power System Controller* within **five (5) business days** of a notification by the *Power System Controller*. *System Participants* may seek an extension where the facts around a *reportable incident* are unclear or unknown and require additional investigation.

Where, a *System Participant* requires an extension, the *System Participant* should provide a statement before the due date for SP Brief Report which sets out:

- The reasons why the applicable timeframe for that reporting stage cannot be met;
- A request for an extension to submit the report; and
- An estimate as to when the *System Participant* expects to complete and submit the report to the *Power System Controller*.

An extension request is not considered accepted, unless the *Power System Controller* has notified the *System Participant* of the acceptance. The *Power System Controller* will take into consideration before approval/rejection of an extension request;

- The reason for the request is valid;
- There is no or minimum risk to system security or reliability; and
- There is no or minimal impact to related deadlines.

The *System Participant* will be informed as to the reason for the rejection of any extension request. Approval/rejection of the extension request or request for further information will be returned in writing within three (3) business days.

#### SP Final Report Extensions

Extension requests for submission of SP Final Reports will not be considered by the *Power System Controller*.

The Power System Controller is obligated under clause 7.4.2(g) of the SCTC to submit its Final Report to the Utilities Commission within **ninety (90) business days** of notification of a *reportable incident* and to do so requires the completed investigation and Final Report from the relevant *System Participants*. Failure to submit a Final Report within the specified timeframe by either the *Power System Controller* or *System Participants* is a breach of the SCTC.

#### Agreed Actions Extensions

All agreed actions resulting from a reportable incident should be completed within six (6) months from the issuance of the SC Final Report. Where this timeframe is not reasonable or practicably possible, the *System Participant* may apply for an extension or revision of the actions. The request for an extension should provide:

- Reference to the relevant RID or SC Final Report containing the originating recommended/agreed action;
- Reasons why the agreed actions cannot be completed within the default period of six (6) months;
- A new proposed timeframe for completion of the agreed actions; and
- Evidence to support the proposed timeframe.

Approval/rejection of the extension request or request for further information will be returned in writing within five (5) business days.

## 1.6 Dispute Resolution

### 1.6.1 Amicable Resolution

Should a dispute arise between the *Power System Controller* and *System Participants* in relation to the *reportable incident* process described in this Guideline, both parties should attempt to resolve the dispute in good faith by bona fide discussions between them.

In the first instance, the parties will endeavour to resolve questions or differences by discussion between the relevant staff at the operational level. The matter may then be referred up to an appropriate level of seniority. Power and Water will use fair and good judgement when determining the level of seniority and the speediness in which the matter shall be escalated, depending on the nature of the disagreement and the perceived impact to system security, reliability and safety. The organisational structure of seniority within Power and Water Corporation is listed as:

1. Operational level
2. Team Leader
3. Manager
4. Senior Manager
5. Executive General Manager
6. Chief Executive Officer

### 1.6.2 Dispute Escalation

If the matter is still unable to be effectively resolved, parties should refer to section 1.5 of the SCTC in which parties may request the assistance of the Utilities Commission to resolve disputes, where it concerns the SCTC.

### 1.6.3 Continued Performance

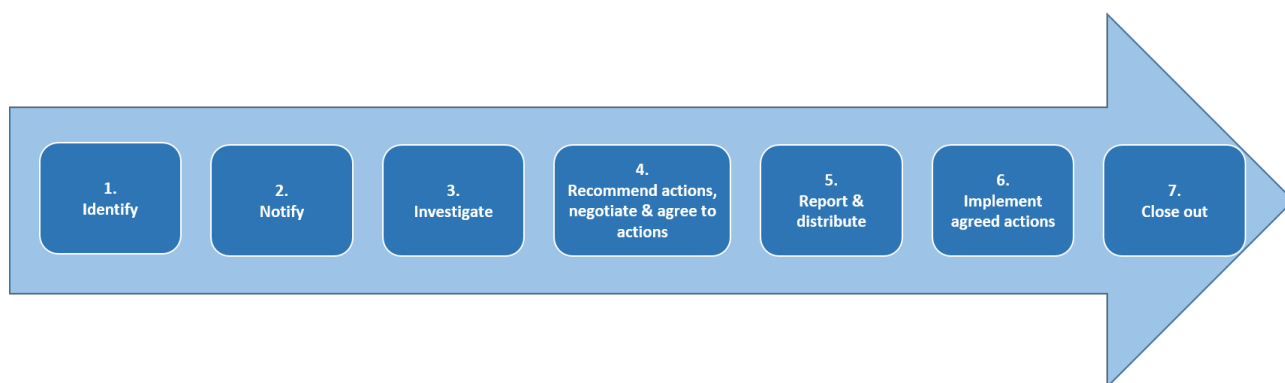
Regardless of any outstanding disagreement or dispute between the *Power System Controller* and *System Participants*, the parties must continue to comply with their obligations under the SCTC as if the matter had not arisen.

## 2 Reporting Process

### 2.1 Overview

The following sections outline the responsibilities of the *Power System Controller* and *System Participants* including the obligation to report on *reportable incidents*, and sets out the required form, manner, content and timing of reporting, investigations and recommendations/agreed actions.

An overview of the reporting process (for a *reportable incident*) is shown in Figure 1.

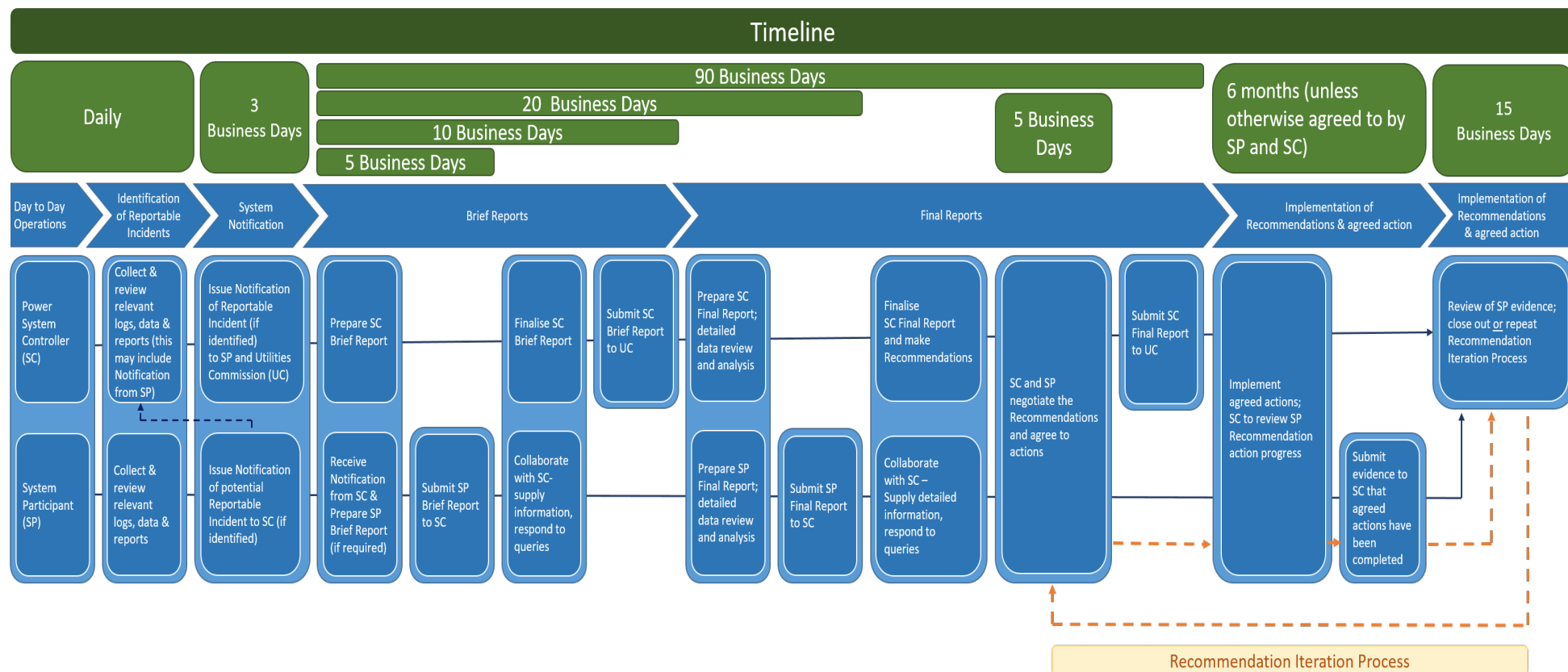


**Figure 1 Reporting Process - Overview**

As part of day-to-day operations, the *Power System Controller* and *System Participants* maintain, collect and review operational data and information about their respective plant(s), equipment, and/or system(s) of responsibility. Whilst reviewing daily data from various sources, the *Power System Controller* may **identify** the occurrence of *reportable incidents* within the regulated *power systems*, in accordance with section 2.2 of this Guideline. The *Power System Controller* must then **notify** the Utilities Commission and relevant *System Participants*, in accordance with clause 7.3.3 of the SCTC and section 2.3 of this Guideline. Following notification, the *Power System Controller* will **investigate** the *reportable incident* (with assistance from *System Participants* if appropriate) and **report** the outcomes of the investigation in accordance with clause 7.4.2 of the SCTC and sections 2.4, 2.5, and 2.6 of this Guideline. Where investigations reveal feasible opportunities for improvement, or instances of non-compliance (with the relevant Codes and Standards) the *Power System Controller* will **recommend** (in accordance with section 2.7 of this Guideline) that actions be taken.

Through effective incident evaluation and reporting, the *Power System Controller* aims to support its operational responsibilities outlined and described in section 2 and 3 of the SCTC.

A detailed overview of the *reportable incident* process, inclusive of expected timeframes, is shown in Figure 2.



**Figure 2 Reporting Process - Detailed Overview**

## 2.2 Reportable Incidents

A reportable incident is defined under clause 7.2.1(a) of the SCTC as ‘a power system incident that had, or could reasonably be expected to have had a significant adverse effect on power system security or the reliability of the power system.’

### 2.2.1 Criteria

The *Power System Controller* is required under clause 7.2.1(b) of the SCTC to document the criteria it will consider to determine if an incident is a *reportable incident*.

A power system incident is considered to be a *reportable incident* if at least one of the following criteria is met:

1. The incident results in a power system:
  - a. being a *black system*;
  - b. being in a *non-satisfactory operating state* as defined in clause 3.2.6 of the SCTC;
  - c. being in a *non-secure operating state* as defined in clause 3.2.9 of the SCTC; or
  - d. being in a *non-reliable operating state* as defined in clause 3.2.11 of the SCTC.
2. The incident constituted an actual or potential threat to security or *reliability* of the *power system*.
3. The incident resulted in a loss of load:
  - a. arising from the failure of a *generation system*; or
  - b. lasting longer than 0.1 system minutes<sup>1</sup> from the failure of a *transmission network*<sup>2</sup>.
4. Oscillatory or transient instability conditions have been detected on the *power system* and are considered an actual or potential threat to security or *reliability* of the *power system*.
5. An operational error in a zone substation or power station which had:
  - a. a material impact<sup>1</sup> on the *power system*; or
  - b. constituted an actual or potential threat to security or *reliability* of the power system.
6. An equipment failure in a zone substation had:
  - a. A material impact<sup>1</sup> on the *power system*; or
  - b. constituted an actual or potential threat to security or *reliability* of the power system.
7. The incident resulted from an apparent non-compliance with the SCTC and had a material impact<sup>1</sup> on the *power system*.

### 2.2.2 Identification

The *Power System Controller* will assess *power system* incidents and determine whether they constitute *reportable incidents*. In identifying a *reportable incident*, the *Power System Controller* will use the criteria listed in section 2.2.1 and be guided by *good electricity industry practice*, the objectives of the SCTC, the *Network Technical Code* (NTC) and the *Secure System Guidelines* (SSG).

The identification process encompasses the following daily actions undertaken by the *Power System Controller*:

- The electronic logging of power system incidents in real time;

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<sup>1</sup> Defined in Table 1, Glossary of Terms. .

<sup>2</sup> Excluding where the load shedding is under agreement between a *Network Operator* and a *Network User*.

- Automatic daily reporting (Daily Report) of the logged power system incidents from the previous day; and
- Identification of *reportable incidents* from the Daily Report by System Control which includes limited *reportable incident* data collection.

Following the occurrence of a *power system* incident, the *Power System Controller* under clause 7.3.2 of the SCTC, may request *System Participants* to provide information and assistance as is reasonably required to confirm the classification of a *power system* incident and enable the identification of a *reportable incident*. Under the same clause, the *Power System Controller* has the ability to classify or de-classify previously determined events, regardless of the initial opinion formed. The determination must still be made according to the criteria set out above and be consistent with the SCTC.

## 2.3 Notification of Reportable Incidents

### 2.3.1 Notifications Provided by System Participants

Under clause 7.3.1 of the SCTC, *System Participants* must notify the *Power System Controller* as soon as reasonably practicable after becoming aware of the occurrence of a *power system* incident which has the potential to be classified as a *reportable incident* and in any case no longer than **three (3) business days**.

SP Notifications should be in writing and delivered in line with section 1.5 of this Guideline.

The SP Notification must provide the following information:

- Date/Time of the incident;
- Duration of the incident;
- Power System impacted;
- What occurred;
- Plant involved; and
- The impact of the incident.

### 2.3.2 Notifications Provided by the Power System Controller

Notifications provided by the *Power System Controller* to the Utilities Commission and relevant *System Participants* under clauses 7.3.3 of the SCTC must be provided within **three (3) business days** of becoming aware of a *reportable incident*. SC Notifications must be in writing and be delivered in line with section 1.5 of this Guideline.

The SC Notification must provide the following information:

- Date/Time of the incident;
- Duration of the incident;
- Power System impacted;
- Description of the incident;
- Customers affected;
- Report required from (which *System Participants* are expected to provide a report);
- SP Brief Report due date;
- SP Final Report due date; and
- SC Final Report due date.

## 2.4 Investigation of Reportable Incidents

Under clause 7.4.2 of the SCTC, the *Power System Controller* is required to investigate, review and report on every *reportable incident*. *System Participants* must co-operate with the *Power System Controller* for the purposes of conducting its *reportable incident* investigations and use reasonable endeavours to provide requested information.

Under clause 7.4.1 of the SCTC, *System Participants* may be required to provide a written Brief Report and a written Final Report for all *reportable incidents* upon receiving such a request by the *Power System Controller* in the *reportable incident* notification. The *Power System Controller* has discretion of determining whether the information provided is sufficient and may request additional information from *System Participants*. The requested information must be provided to the *Power System Controller* within the applicable timeframe for that reporting stage. Extensions may be considered in line with section 1.5.2 of this Guideline.

The reporting flowchart in Figure 2 provides the details on the investigation durations and expected submission deadlines. In exceptional circumstances, the *Power System Controller* may request information from *System Participants* outside the reporting timelines as permitted under clause 8.5 of the SCTC.

Reports should include the details appropriate (applying *good electricity industry practice*) to the consequences or potential consequences of the *reportable incident* and enable a clear determination of the root cause(s) of the *reportable incident*.

## 2.5 Brief Reports

### 2.5.1 System Participant (SP) Brief Report

The SP Brief Report should include all preliminary information available relating to the *reportable incident* and must be sufficient to support the reporting obligations in clause 7.4 of the SCTC.

The SP Brief Report must be provided to the *Power System Controller* within **five (5) business days** of a notification by the *Power System Controller* (under clause 7.3.3) and should include any details listed in Table 3 which are relevant<sup>3</sup> to the *reportable incident*. Failure to submit applicable *reportable incident* details is a breach of the SCTC (clause 3.3.4) and will be reported by the *Power System Controller* as such. Where no clear findings are available, the SP Brief Report should still set out all other available information/data, else a request for an extension may be submitted to the *Power System Controller* in accordance with section 1.5.2 of this Guideline.

SP Brief Reports must be in writing and delivered in line with section 1.5 of this Guideline. The SP Brief Report should be submitted as a response to the original SC Notification email.

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<sup>3</sup> System Participants are responsible for determining whether the details listed in Table 3 are applicable to the incident or not.

**Table 3 Brief Reporting Details**

Item	Type of Information	Remarks
1	<i>System Participant</i> and contact person	Include name of <i>System Participant</i> submitting the report and a contact person for the investigation.
2	Date/Time	Include start date/time and end date/time of incident.
3	<i>Reportable incident</i> location	Include a general description of the location relating to the <i>reportable incident</i> .
4	<i>Reportable incident</i> cause	Include a clear determination of the <i>reportable incident</i> root cause.
5	Environmental conditions	Include environmental conditions present at the time of the <i>reportable incident</i> (e.g. temperature, rainfall, wind speeds, visibility, fires, smoke, lightning, cloud coverage).
6	Asset(s) related to the <i>reportable incident</i>	Include asset(s) description, name plate details.
7	Consequences of the <i>reportable incident</i>	Include effect on safety, people, machinery, service delivery (e.g. reliability).
8	<i>Reportable incident</i> response/immediate actions	Include details of communication with <i>Power System Controller</i> , i.e. station response and actions.  Include details of actions undertaken to minimise the impact on <i>customers</i> and <i>power system security</i> .
9	Sequence of Events Logs (SOE's)	Include local SCADA alarms and available event historian logs.
10	Immediate rectification actions/modifications	Evidence should be provided for any immediate actions resulting in a modification of any <i>power system</i> parameters: e.g. control system logic, equipment, devices, asset operation, and protection settings.

### 2.5.2 System Controller (SC) Brief Report

The SC Brief Report must contain key details of the *reportable incident*, a consolidated presentation of relevant information collected so far, the scope of the final investigation, and be sufficient to support the reporting obligations in clause 7.4 of the SCTC.

The SC Brief Report must be provided to the *Utilities Commission* within **ten (10) business days** of a notification being issued by the *Power System Controller* (under clause 7.3.3). SC Brief Reports must be in writing and delivered in line with section 1.5 of this Guideline.

## 2.6 Final Reports

### 2.6.1 System Participant (SP) Final Report

The SP Final Report should include comprehensive details surrounding the *reportable incident* and must be sufficient to support the reporting obligations in clause 7.4 of the SCTC.

The SP Final Report must be provided to the *Power System Controller* within **twenty (20) business days** of a notification being issued by the *Power System Controller* under clause 7.3.3 and should include any details

listed in Table 4 which are relevant<sup>4</sup> to the *reportable incident* (in addition to previously provided details listed in Table 3). Where no clear findings are available, the SP Final Report should still set out all other available information/data. Failure to submit applicable *reportable incident* details or meet the above mentioned deadline for submission is a breach of the SCTC (clause 3.3.4) and will be reported by the *Power System Controller* as such. No extensions to the SP Final Report submission deadline will be granted by the *Power System Controller*. The *Power System Controller* will use its reasonable endeavours to send periodic reminders to *System Participants* before the final report is due to ensure the timeline submission requirement is met.

SP Final Reports should be in writing and delivered in line with section 1.5 of this Guideline. The SP Final Report should be submitted as a response to the original SC Notification email.

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<sup>4</sup> System Participants are responsible for determining whether the details listed in Table 4 are applicable to the incident or not.

**Table 4 Final Reporting Details**

Item	Type of Information	Remarks
1	Factors leading up to the <i>reportable incident</i>	A review of conditions prior to the <i>reportable incident</i> .
2	Technical Investigation of the <i>reportable incident</i> – Details of asset(s) failure	Description of asset(s) failure.
3	Root Cause Analysis – Logic diagrams	Include cause and effect diagram or control system logic diagram, description of what caused the alarm and trip, description of control settings.
4	Root Cause Analysis – Digital Disturbance Recorder (DDR) records	Include all relevant DDR records and provide files to the <i>Power System Controller</i> (if access has not already been provided to the <i>Power System Controller</i> ).
5	Root Cause Analysis - Protection relays data	Include protection relays settings, active elements and if available relay graphical data for the <i>reportable incident</i> . A protection investigation must include (where applicable): <ul style="list-style-type: none"> <li>Protection operation (as designed, expected or otherwise);</li> <li>Protection recommendations or improvements;</li> <li>Any other findings or conclusions.</li> </ul>
6	Root Cause Analysis – Asset(s) drawings	Include drawings (where relevant) of the asset(s) involved in the <i>reportable incident</i> such as Single Line Diagram (SLD), Process and Instrumentation Diagrams (P&IDs), Layout, Control Schematics.
7	Root Cause Analysis - Local data trending	Include local trend data of the asset(s) involved in the <i>reportable incident</i> which supports the root cause identification.
8	Root Cause Analysis – Operating conditions of the asset(s) at the time of <i>reportable incident</i>	Include conditions overview such as pressure, temperature, loading.
9	Root Cause Analysis – Asset(s) maintenance history	Include information of failed asset(s) maintenance history and replacement.
10	Corrective and Preventative/Mitigation Actions	Include corrective actions taken to remove or control the cause(s) of <i>reportable incident</i> (immediate action). Include preventative actions taken to reduce the likelihood of the <i>reportable incident</i> across similar assets i.e. asset failed for one unit may fail for another with a similar conditions/settings. Provide evidence of actions in progress or completed such as work order number, photographic evidence, statutory declaration, testing plan and results.
11	Incident Reporting Investigator	Include point of contact for the incident investigation and communication with the <i>Power System Controller</i> .
12	Identified Non-Compliance	Include any non-compliance with clauses within the NTC, SCTC and relevant subsidiary documents. Include any actions taken to correct non-compliance. Provide evidence of corrective actions.

### 2.6.2 System Controller (SC) Final Report

The SC Final Report will provide visibility of *reportable incident* investigation outcomes, make recommendations necessary to ensure the *power system* continues to operate in a reliable, safe and secure manner and must be sufficient to support the reporting obligations in clause 7.4 of the SCTC. *System Participants* are able to review and comment on recommendations relating to them, negotiate and agree to actions prior to the *Power System Controller* submitting the SC Final Report to the Utilities Commission (see section 2.7 of this Guideline for further details).

SC Final Reports must be provided to the *Utilities Commission* and *System Participants* within **ninety (90) business days** of a notification being issued by the *Power System Controller* (under clause 7.3.3). SC Final reports must be in writing and delivered in line with section 1.5 of this Guideline.

## 2.7 Recommended Actions and Agreed Actions Relating to Reportable Incidents

The *Power System Controller* may develop recommendations in the reports that it issues under section 7 of the SCTC. In making recommendations, the *Power System Controller* will do so with regards to executing its function of overseeing the operation of the *power system*, ensuring that the system operates reliably, safely and securely in accordance with the relevant Codes and Standards. Any instances of non-compliance with the relevant Codes will be identified in the SC Final Report, and any recommendations made will aim to address the underlying issues of non-compliance.

All non-compliances revealed through a *reportable incident* (inclusive of non-compliance to the reporting obligations) may be reported in writing to the Utilities Commission outside of this reporting process if deemed necessary.

Prior to submitting the *reportable incident* SC Final Report to the Utilities Commission, the *Power System Controller* will engage with *System Participants* and allow them to view the recommended actions (relating to them), provide feedback, negotiate and agree to actions.

The recommended actions will be made in writing and delivered in line with section 1.5 of this Guideline. System Participants should provide feedback to the *Power System Controller* within five (5) business days. Should negotiation between the Power System Controller and System Participants continue past the delivery due date of the SC Final Report, the *Power System Controller* will still submit the final report to the Utilities Commission making note that the actions are 'recommended actions' and not yet agreed to by the *System Participant*. Should a dispute arise in relation to the recommendations made by the *Power System Controller*, the dispute resolution process described in section 1.6 of this Guideline will be followed.

Once recommended actions/agreed actions are published in the SC Final Report, they are tracked by the *Power System Controller* in the Reportable Incident Recommendation Tracker (Recommendation Tracker). Each recommended action/agreed action will be given a unique identifier in the Recommendation Tracker known as the Recommendation ID (RID). The default timeline to complete an RID is six (6) months following the RID being moved into the 'Assigned Status', however this timeframe may be revised in line with section 1.5.2 of this Guideline.

The following steps to progress action on the RID are applied:

1. **Under Negotiation** – This status is applied when negotiation on recommended actions between the *Power System Controller* and the *System Participant* has continued past the issuance of the SC Final Report. This status indicates that the SC Final Report has been issued, the recommended actions have been assigned an RID number, but the recommended actions have not yet been agreed to by the *System Participant*.
2. **Assigned Status** – This status is applied to a set of agreed actions following the successful negotiation between the *Power System Controller* and the *System Participant*. This status indicates that the recommended actions have been agreed to by the *System Participant*, and the *System Participant* is aware of their commitment to complete their actions.
3. **In Progress Status** – This status is applied to an RID when the *System Participant* has commenced work on and provided evidence of progress to the *Power System Controller*.
4. **Under Review Status** – This status is applied when the *System Participant* has provided evidence of completion of the RID agreed actions and the *Power System Controller* is reviewing the evidence of completion. Should the *Power System Controller* find that the evidence is insufficient, the RID will be placed back into the “In Progress Status”; otherwise if evidence of completion is satisfactory, the RID will progress to either “Approved Status” or “Closed Status”.
5. **Approved Status** – This status is applied to an RID when the evidence provided by the *System Participant* is tentatively accepted by the *Power System Controller*. This status may be applied in instances where evidence (such as work orders or project scopes) have been provided, but the work is yet to be completed. The *Power System Controller* is satisfied that the expected outcomes **will** be achieved, but the RID will remain open. Supplementary evidence may be required to be submitted to the *Power System Controller* at this point in order for the RID to progress to “Closed Status”.
6. **Closed Status** – This status is applied to an RID when the evidence provided by the *System Participant* is fully accepted by the *Power System Controller* and no further action is required by either party. The *Power System Controller* is satisfied that all the expected outcomes **have** been achieved and the agreed actions have been completed.

Completing RIDs (relating to breaches of Code) is a part of achieving and demonstrating compliance with regulatory obligations and technical performance requirements by both the *Power System Controller* and *System Participants*. Failure of *System Participants* to complete the agreed actions (relating to breaches of Code) within the required timeframe, may result in escalation to the Utilities Commission.

### 2.7.1 System Controller Review and Close Out of Agreed Actions

*System Participants* should submit evidence of progression and completion for the RID actions assigned to them. All evidence should be delivered in line with section 1.5 of this Guideline.

Where evidence of completion of an agreed action is straightforward, the *Power System Controller* will review within a period of fifteen (15) business days. Where evidence of completion is complex or extensive, the process may take longer, but all reasonable endeavours will be undertaken to close the action in a timely manner. The *Power System Controller* will consider evidence of completion of an RID in the form of a work order number, investigation report, photographic evidence, statutory declaration or any other form that, in the *Power System Controller's* reasonable opinion is satisfactory proof that the agreed actions have been implemented and that the expected outcomes have been or will be achieved.

In the event that an action is completed, but the initiating recommendation is not fully addressed, a further action may need to be assigned to a *System Participant* for closure of the RID. The *Power System Controller* will engage the *System Participant* in question to come to an agreed action, re-initiating the recommendation process. This recommendation re-iteration process will continue until the recommendation can be closed.

## 2.8 Completion of the Power System Incident Reporting Process

A *reportable incident* investigation is considered complete if the following criteria is met:

- The *Power System Controller* has submitted a *reportable incident* SC Final Report, which satisfies the reporting criteria described in this Guideline and the SCTC, to the Utilities Commission and *System Participants*.

Recommendations resulting from a *reportable incident* are considered closed if the following criteria is met:

- *System Participants* have completed the RID agreed actions assigned to them and provided evidence satisfactory to the *Power System Controller* as outlined in section 2.8 of this Guideline; and
- Evidence of RID agreed actions have been approved and closed by the *Power System Controller*.

The entire process for the *Power System* incident (as shown in Figure 2) is finalised once the investigation/reporting and recommendation processes have all been completed and closed.

## 3 Change Management and Continuous Improvement

### 3.1 Consultation and Approval

This Guideline must be endorsed by the Line Manager and the Responsible Manager, approved by the Accountable Manager and consulted on with *System Participants* and the Utilities Commission:

- Executive General Manager, Core Operations – accountable, approval required.
- Senior Manager, System Control – responsible, endorsement required.
- Operations Planning Manager, System Control – consulted, endorsement required.
- *System Participants* – consultation required.
- Utilities Commission – consultation required.

**Table 5 Document Endorsement and Approval**

Prepared By:	Operations Planning – System Control
Version:	0.3.2
Status:	Draft
<b>Endorsed and approved for distribution and use by:</b>	
Ahmad Mazloun	Operations Planning Manager
Duncan Griffith	Senior Manager System Control
Michael Besselink	EGM Core Operations
Date:	19 October 2023

### 3.2 Review

Clause 7.5.1 of the SCTC sets out the obligation of the *Power System Controller* to develop and maintain this Guideline. In making amendments to the Guideline the *Power System Controller* must take into account *good electricity industry practice*, consider the need for consistency between the Guideline and the SCTC and consult with the Utilities Commission and *System Participants*. The *Power System Controller* will review (and if necessary, update) this Guideline periodically or in the event of any significant change to the *Power System Controller's* function or responsibilities.

### 3.3 References, Legislative and Regulatory Obligations

- Electricity Reform Act 2000
- Electricity Reform (Administration) Regulations 2000
- Electricity Reform (System Control And Market Operator Functions Code) Regulations 2015
- System Control Licence
- Network Technical Code<sup>5</sup>
- System Control Technical Code<sup>6</sup>
- Secure System Guidelines<sup>7</sup>
- National Electricity (Northern Territory) (National Uniform Legislation) Act 2015
- National Electricity (Northern Territory) (National Uniform Legislation) (Modification) Regulations 2016
- National Electricity Rules (Northern Territory)

### 3.4 Records Management

This Guideline and all related documents are captured, stored and managed in Power and Water's Electronic Document and Records Management System and controlled in the Controlled Document Register.

### 3.5 Requests for amendment

A *System Participant* may request an amendment to this Guideline by sending details concerning the proposed amendment to System Control via email ([SCReportableIncident.PWC@powerwater.com.au](mailto:SCReportableIncident.PWC@powerwater.com.au)). The *Power System Controller* must apply *good electricity industry practice* in determining whether any proposed amendments are to be implemented. The *Power System Controller* will consult with the Utilities Commission and *Power System Participants* on any changes deemed appropriate.

### 3.6 Document History

Date of issue	Version	Description of changes
29/04/2021	0.1	Draft guidelines for consultation.
28/09/2021	0.2	Draft updates to align with proposed SCTC amendments.
09/10/2023	0.3.1	Draft updates to align with approved SCTC amendments and current practices.
19/10/2023	0.3.2	Editing and formatting corrections. Endorsed by Responsible Manager.
TBC	1.0	Amended with consultation feedback from System Participants. Approved by Accountable Manager.

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<sup>5</sup> Version 4

<sup>6</sup> Version 7

<sup>7</sup> Version 4.2

## Contact

Executive General Manager, Core Operations, Power and Water Corporation

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