



مكتب التنظيم و الرقابة
Regulation & Supervision Bureau

Incident Reporting Regulations Third Edition

Regulations

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water, wastewater and electricity sector of the Emirate of Abu Dhabi

The Incident Reporting Regulations (Third Edition)

Issued by:

The Regulation and Supervision Bureau

For the water, wastewater and electricity sector in the Emirate of Abu Dhabi

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Foreword

The Regulation and Supervision Bureau (the Bureau) is established in Abu Dhabi law to oversee the economic and technical activities of the electricity, water and wastewater entities that are allowed to operate in the Emirate of Abu Dhabi in accordance with Law No (2) of 1998.

The Bureau in accordance with Article 62 of Law No (2) of 1998 issues these Incident Reporting Regulations (Regulations).

These Regulations outline the minimum requirements for Incident notification, reporting and investigation to ensure a consistent approach is applied to Occupational Health and Safety and environmental and operational Incidents in the sector.

These Regulations are also available in Arabic, but the reader should note that they were first written in English. The Bureau's website (www.rsb.gov.ae) has these regulations available for download.

Saif Saeed Al Qubaisi

Director General

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Guidance notes

Licensees are required to read these Regulations be in conjunction with the OSHAD SF and in particular, Mechanism 6.0 V3 July 2016, OSH Performance monitoring and reporting, and Mechanism 11.00 V3.1 Mar 2017.

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Document numbering

These Regulations use the following numbering system:

- Parts** are referenced by integers (e.g. 1, 2, 3, etc.)
- Regulations** are referenced by one full stop between numbers (e.g. 1.1, 1.2, etc.)
- Clauses** are referenced by two full stops between numbers (e.g. 3.1.2, etc.)
- Sub-clauses** are referenced by lower-case letters between parentheses (e.g. (a), (b) etc.)
- Notes** are indicated below the clause in square brackets and italic text. For example, *[Note: this clause does not apply to Installations that have been ...]*

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1. Introduction

1.1 Citation

These Regulations shall be cited as the Incident Reporting Regulations (Third Edition).

1.2 Commencement

These Regulations come into force in December 2017

These Regulations supersede and replace The Incident Reporting Regulations 2nd edition 2015.

1.3 Purpose

RSB has issued these Regulations in accordance with Article 62 of Law No (2) of 1998. They define the procedures for the classification, notification, reporting and investigation of Incidents associated with the operations of Licensees and Nominated Entities.

1.4 Scope

These Regulations apply to all Licensees carrying out regulated activities (as defined under Article (71) of Law No (2).

These Regulations may, in accordance with Article (62) of Law No (2) be amended or revoked by the Bureau at any time.

Reportable Incidents sustained by, or caused by Agents shall be treated in the same manner as Incidents sustained by, or caused by Licensees.

The Regulations shall apply to all reportable Incidents involving the assets of Licensees, whether or not work-related activities were being carried out at the time.

Nothing in these Regulations is intended to conflict with or affect the operation of any Federal or Abu Dhabi Law, Regulation, Decree, Order, or other ordinance.

Where a conflict appears to exist between these Regulations and other regulations, codes, or any governmental legislation, the matter should be referred to the Bureau for a binding decision in accordance with Part 10 of these Regulations.

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1.5 Relaxation from these Regulations

Relaxation request from any requirement under these Regulations should be submitted in prior to the Bureau for consideration in accordance with Part 10 of these Regulations.

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2. Definitions

2.1 Interpretation

Words defined in this Part begin with capital letters when used in the Regulations.

Words and expressions other than those defined in these Regulations which are defined in Law No (2), shall have the meanings ascribed to them in Law No (2).

Words and expressions other than those defined in these Regulations which are defined in OSHAD SF mechanism 6 and 11 shall have the meanings ascribed to them therein.

Words using the singular or plural number also include the plural or the singular number respectively.

Any reference to a Part or Schedule is a reference to the relevant Part or Schedule in these Regulations.

Unless otherwise specified, days shall mean calendar days.

2.2 Definitions

OSHAD – means the Abu Dhabi Occupational Safety and Health Centre.

Agent – means any company, contractor or Entity appointed by a Licensee to act on its behalf.

Bureau – means the Regulation and Supervision Bureau for the water, wastewater and electricity sectors in the Emirate of Abu Dhabi as established by Law No (2).

Competent Investigator – means a person who has acquired, through training, qualification and experience, the knowledge and skills necessary for undertaking incident investigations as provided for in Regulation.

Entity – means an individual, company, association, society, partnership, corporation, municipality, institution, government organisation, agency or group.

Full Investigation Report (FIR) - a full investigation report which is prepared in response to a request by the Bureau, the requirements of which are detailed in Schedule D.

OHS Incident – means a single event or chain of events which has caused or has the potential to cause a fatality, injury or illness to a person, or damage to assets, or the reputation of any Entity.

Environmental Incident- Events resulting in an unplanned or uncontrolled release of a product or chemical with negative impact to the environment – water, air, soil, animals, plants, ecology and social life will be classified as Environmental Incidents

Operational Incident- any event resulting in an interruption of service provided by the Licensee.

Initial Notification of Incident (INI) – means the initial notification of Incident form used to notify the Bureau of an Operational, Environmental and OHS Incidents.

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Law No (2) – means Law No (2) of 1998 concerning the regulation of the water and electricity sectors in the Emirate of Abu Dhabi, as amended.

Licensee – means the holder of a licence issued by the Bureau including any Entity allowed to carry out a regulated activity under an exemption issued by the Bureau and which shall be subject to these Regulations as to be decided by a decision from the Bureau.

Nominated entities - the entities allowed carrying out regulated activities under an exemption issued by the Bureau (exempted entities) and which shall be subject to these Regulations as to be decided by the Bureau under the exemption or otherwise.

OHS – means occupational health and safety.

Relevant Authority – means any Federal or Abu Dhabi Government Entity.

Reputational Damage – means publication, commentary or reporting which could have the effect of damaging the reputation or adversely affecting the perception of the water, electricity or wastewater sectors in Abu Dhabi (including, but not limited to damage arising from reports in any local or national media newspapers or arising from an event in Clause 3.5.1).

Restricted Workday Case – means a work-related injury or illness that results in limitations on work activity and prevents an individual from doing any tasks of his/her normal job or from doing all of the job for any part of the day.

Sector Regulatory Authority (SRA) – means a public authority or government agency responsible for exercising autonomous authority over some area of human activity in a regulatory or supervisory capacity. In relation to OSH the regulatory authorities have been recommended by OSHAD and appointed by the Executive Council of Abu Dhabi to oversee OSH activities for the targeted economic sector.

Serious Dangerous Occurrence – means a significant incident arising out of or in the course of work that did not result in serious injuries / and or fatalities but had the potential to do so. This is defined in schedule A of the OSHAD SF July 2016 Mechanism 11, Incident notification, Investigation and reporting.

Serious Injury – means a serious injury as defined in Schedule B of the OSHAD SF July 2016 Mechanism 11, Incident notification, Investigation and reporting.

Serious Occupational Illness or Disease – means a serious occupational illness or disease as defined in Schedule C of the OSHAD SF July 2016 Mechanism 11, Incident notification, Investigation and reporting.

UAE – means the United Arab Emirates.

Working day – means any day, other than a Friday or Saturday or public holiday, when the government departments in the Emirate of Abu Dhabi are required to be open for business.

Year – means a calendar year according to the Gregorian calendar.

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3. Incident Classification

3.1 Work related activities

The following are considered to be work related activities:

All work undertaken by Licensees, or any Agent working on the premises of a Licensee;

All work undertaken by Licensees, or any Agent at any site where Licensee or Agent controls should be in place.

For Licensee staff, work includes any activity which is reasonably related to their conditions of employment.

For Agents, work includes any activity executed under a contract for or on behalf of a Licensee.

Incidents shall be considered work related until proven otherwise to the satisfaction of the Bureau.

Any illness or injury sustained by a person shall be considered an occupational illness or injury if it:

- Occurs on the way to or from work provided that the trip to and from the work place is made directly, without delay, default, or diversion from main route;
- Occurs at work;
- Arises from a work practice or conditions in a workplace; or
- Happens to an employee during, and by reason, of carrying out work duties.

[Note: Injuries or illnesses include the recurrence, aggravation or exacerbation of previous work related injuries or illnesses.]

The Licensee should be aware of and consider any relevant pre-existing medical and health conditions and any aggravation of an existing illness or injury when reporting OHS Incidents.

Licensees shall notify report and investigate all Incidents that result in a serious injury or serious occupational illness or disease that occurs at a workplace controlled by the Licensee that involves:

- Agents, contractors, sub-contractors or suppliers;
- Customers;
- Visitors; and
- Any other person(s) at the workplace.

3.2 Reportable and recordable Incidents

Licensees shall determine whether an Incident is reportable or recordable by considering the severity of the Incident, the consequences of the Incident, the work relationship and any Federal or Abu Dhabi Emirate regulatory requirements.

Incidents identified in Regulations 3.3, 3.4 and 3.5 shall be classified as reportable.

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All Incidents shall be recorded and used to establish Incident and performance data.

3.3 Occupational Health and Safety Incident classification

[Note: Taken from OSHAD-SF Mechanism 11.0 Version 3.0 – Incident Notification, Investigation and reporting Section 3]

The following OHS Incidents are to be notified and reported to the Bureau and investigated in accordance with Part 6 of these Regulations:

- Lost Time Injury;
 - (i) Fatality;
 - (ii) Permanent Total Disability;
 - (iii) Permanent Partial Disability;
 - (IV) Lost Workday Case;
- Serious Injury;
- Serious Occupational Illness or Disease;
- Serious Dangerous Occurrence.

Incident classification shall be based on actual severity of consequence as established by the investigation process or medical report. Licensees must ensure that any Incident classifications are revised to reflect the outcomes of any investigation or medical report.

OHS Incidents not notified and reported to the Bureau shall be recorded, investigated and include:

- Restricted Workday Case;
- Medical Treatment Case;
- First Aid Injury;
- Equipment/property damage resulted from the licensee operation
- Near Miss.

3.4 Operational and environmental Incident classification

The Operational and Environmental Incidents to be notified, reported and investigated are set out in Schedule A.

3.5 Other reportable Incidents

Licensees shall also report to the Bureau:

- (a) any other event related to the generation, transmission and distribution of electricity or the desalination, transmission and distribution of water or the collection, treatment and disposal of wastewater which:

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- (i) is of national significance;
 - (ii) has attracted or, is likely to attract, significant local or national publicity; or
 - (iii) has caused or, is likely to cause, significant concern to Licensee customers; and
- (b) Any Incident reports from a Relevant Authority of events caused by a Licensee's operations.

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4. Incident notification

4.1 Notification requirements

The Licensee shall notify The Bureau of any reportable OHS, Operational, Environmental, and other Incidents defined in Regulations 3.3, 3.4, 3.5 and Schedule B.

A Licensee must:

Notify the Bureau through the Bureau Incident reporting System as soon as practicable and, in any event within twenty four (24) hours of:

- (i) An unplanned event or chain of events that results in single or multiple deaths to staff of a Licensee or Agent;
- (ii) any Operational or Environmental Incident occurring that is likely to cause or result in significant public health, public nuisance or environmental risks or damage; or
- (iii) Any Incident that is likely to cause Reputational Damage to the water, wastewater or electricity sectors.

[Note: see the definition of Incident above for further clarification. If the Licensee has a doubt as to whether an Incident is reportable, then it should provide brief details of that Incident within these timescales and may request the Bureau to confirm whether such an incident is reportable or not under these Regulations.]

Notify the Bureau via the Bureau Incident reporting System as soon as practicable and in any event within five (5) hours following the occurrence of any incident defined in Schedule B (Immediate Incidents Reporting) of this document

For incidents not defined in Schedule B (Immediate Incidents Reporting), the Licensee must notify the Bureau via the Bureau Incident reporting System as soon as practicable and, in any event within twelve (12) hours following the occurrence of any reportable Operational Incident.

submit a fully completed Initial Notification of Incident via the Bureau Incident reporting System for all reportable Incidents within a maximum of three (3) working days of any reportable Incident occurring; and

Submit a fully completed Full Investigation Report, unless otherwise agreed in writing with the Bureau, for all reportable OHS Incidents via the Bureau Incident reporting System within a maximum of twenty five (25) working days from the date of the reportable Incident.

Submit a fully completed Full Investigation Report (FIR) for reportable Operational Incidents via the Bureau Incident Reporting System or within a maximum of twenty five (25) working days. The Licensee will be notified as soon as practical or within 3 working days of receiving the Operational Incident INI if

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FIR is not required. In the event of non-receipt of an advice from the Bureau the FIR shall be submitted.

The FIR for the Incidents shall be completed within twenty five (25) working days and shall not be delayed even if some information is not available unless agreed with the Bureau on alternative submission date.

[Note: The Bureau acknowledges that specific components of the final report may not be available within twenty five (25) working days of the Incident - such as the official Police report or the results of specific scientific or medical investigations or tests. This shall not delay the submission of the Full Investigation Report which should be submitted on time with information not yet in the Licensee's possession to be provided to the Bureau as soon as such information becomes available in order to complete the FIR. Where appropriate, the Bureau may agree with the Licensee that only an Initial Notification may be required for a reportable Incident and no FIR is required.]

[Note: In case of any failure of the Bureau Incident Reporting System, the licensees shall send the incidents notifications, INI's and FIR's by electronic email to incident@rsb.gov.ae or (by any mean of communications decided by the Bureau) within IRR time frames.

4.2 Additional notification requirements

Licensees shall, and shall procure their Agents shall complete any additional notifications to other Relevant Authorities required by Federal or Abu Dhabi legislation.

4.3 Public health Incident notifications

All water distribution and/or supply Licensees shall notify the Bureau, in accordance with the requirements of Schedule A, of :

- Any bacteriological or chemical contamination, that is likely to enter consumer water supplies or any event that is likely to render the quality of water unwholesome or unfit for consumption or;
- Any interruption to water supplies in accordance with the requirements of the water table in Schedule A.

All wastewater Licensees shall, when requested by the Bureau, carry out an investigation as to the cause of:

- A reported outbreak of a communicable water-borne disease..
- Any persistent odour release, that is likely to cause public nuisance from wastewater and recycled water operations.
- The reporting format and protocols shall be as agreed between the Licensee and the Bureau

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5. Operational and Environmental Incidents Reporting

5.1 Initial notification of Incidents

Initial notification of operational and environmental Incidents shall be made by completing and submitting the Bureau's INI in the Bureau Incident Reporting System.

5.2 Full Investigation Reports for Operational and Environmental Incidents

Licensees shall submit Full Investigation Reports in the Bureau Incident Reporting System.

The minimum requirements for inclusion in a Full Investigation Report for Operational and Environmental Incidents are detailed in Schedule D.

5.3 Quarterly reporting

In addition to reporting Incidents, the Licensee shall provide the Bureau with Incident statistics on quarterly basis.

Licensees shall submit these Incident statistics in a quarterly operational and environmental performance report.

The Bureau will define the form and scope of the quarterly operational and environmental performance report for each Licensee.

The quarterly report shall be submitted in the prescribed form within 14 working days of the end of each calendar Year quarter.

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6. OHS Incident Reporting

6.1 Initial notification OHS Incidents

The initial notification of OHS Incidents shall be made by completing and submitting the Bureau's Initial Incident Notification form (INI) in the Bureau Incident Reporting System.

6.2 Full Investigation Reports for OHS Incidents

A full, thorough and comprehensive investigation of the Incident should be carried out and executed and the findings of such investigation should be included in a Full Investigation Report (FIR).

The minimum requirements for inclusion in a Full Investigation Report are detailed in Schedule (D).

Licensees shall, and shall procure that their Agents shall update Incident reports as soon as relevant information becomes available.

6.3 Quarterly OHS reporting

Licensees shall submit a quarterly OHS performance report via the bureau Incident Reporting System.

Licensees shall complete:

OSHAD SF – Form E for Private Entities; or

OSHAD SF - Form E2 for Government Entities.

Only injuries or illnesses to staff shall be included in Incident frequency and rate calculations.

The severity and consequences, established through investigation and medical reports of the following types of OHS Incidents are to be reported in the Licensee's quarterly performance and Incident summary report:

Fatality;

Permanent Total Disability;

Permanent Partial Disability;

Lost Workday Case;

Serious Dangerous Occurrence;

Serious Injury; and

Serious Occupational Illness.

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The following types of OHS Incidents are to be reported to the Bureau in the Licensee's quarterly performance and Incident summary report:

- Restricted Workday Case;
- Medical Treatment Case;
- First Aid Injury;
- Equipment/property damage; and
- Near Miss.

The quarterly report shall be submitted in the prescribed form within 14 working days of the end of each calendar year quarter.

6.4 Performance reporting

- A.2 All Licensees are required to report to the Bureau against the key performance indicators set by OSHAD in the OSHAD SF.

[Note: see OSHAD SF – Mech. 6.0 v3.1 – OHS Performance Monitoring Reporting].

The Bureau may require Licensees to report on additional key performance indicators in order to monitor OHS performance of Licensees. The Bureau will notify Licensees of any such additional key performance indicators in writing from time to time.

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7. Incident Investigation

7.1 Incidents Investigation

Incidents investigations shall be carried out in accordance with the requirements detailed in Schedule (D).

7.2 Incident Investigation Process

A Licensee shall establish an investigation team comprising Competent Investigators. If expertise is not available within the organisation the Licensee should appoint or outsource the appropriate Competent Investigators.

Subject to any police or court orders, a Licensee shall ensure that the site is secure and that action has been taken to identify the most obvious cause(s) of the Incident and protect against recurrence.

Subject to any police or court orders, a Licensee shall collect and preserve relevant information before the site or operation is disturbed or restarted.

The Licensee shall conduct the investigation with the cooperation of any Agents involved in the Incident. The Licensee may require an Agent to conduct any investigation in accordance with the Licensee's own procedures and processes and submit a single report to the Bureau (including the Agent's input) within the timescales required.

7.3 Investigation Findings and Actions

Relevant findings or an Incident investigation shall be distributed to all relevant employees of the Licensee.

All Agents involved or carrying out similar activities relating to the Incident shall be informed of the relevant findings and recommendations of an Incident investigation.

Relevant findings and recommendations of an Incident investigation shall be used to review and enhance specifications, procedures, personnel training and systems of work.

Licensees must put in place and maintain a management system to track the completion of any actions identified during the investigation and ensure they are finalised within the stated timeframes of the investigation report.

Licensees shall be subject to a duty of ongoing cooperation during the investigation and shall accordingly proactively bring any actions not finalised or not likely to be finalised within the stated timeframes to the Bureau's attention at the earliest available opportunity.

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8. *Lessons learnt from Incidents (LFI)*

8.1 Definition

8.1.1

Learning from Incidents is an integral part of the Incidents management process in order to improve OHS performance, to ensure significant learnings from those investigated Incidents are appropriately identified to prevent reoccurrence of similar events.

8.2 Scope

8.2.1 All reportable OHS Incidents as identified in Part 3 of these Regulations.

8.3 Requirements

8.3.1 The lessons learned from Incident(s) must be encompassed in the reportable OHS Incidents FIR. (LFI form in the appendixes)

8.3.2 The Bureau will share these LFI forms with all relevant companies performing similar activities as leaning material to help them avoid similar Incidents.

The Bureau will ensure the privacy of the Licensees by not mentioning the Licensee name when sharing the LFI.

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9. Retention of Records

9.1 Documentation

Licensees shall document:

- (a) all Incidents that these Regulations require to be reported and recorded; and
- (b) other particulars as may be required to demonstrate compliance with the reporting obligations under these Regulations:

The Licensee shall keep the documents at the usual place of business.

The Licensee shall retain the documents for at least fifteen (15) Years from the date of the Incident.

10. Application for a Bureau's Decision

10.1 Application for a decision

Any application for enquiry, clarification, dispute, relaxation relevant to these Regulations must be made in writing to the Bureau and submitted with supporting documents.

10.2 Bureau request for information

The Bureau may request from an Entity making an application for a decision, any information or documentation it considers reasonable and necessary in the circumstances and the Entity must provide such information within the period specified by the Bureau.

10.3 Bureau decision

The Bureau shall notify the Entity, which made the application of its final decision.

The Bureau may:

- (a) make any decision it sees fit in the circumstances; and/or
- (b) Issue directions as it sees fit to the Entity, which made the application for review, and to any third party. Any decisions or directions issued by the Bureau are binding on the Entity, which made the application for review, and any third party stated in these decisions or directions.

Failure to comply with decisions or directions issued by the Bureau under Part 10, shall be considered as a failure to comply with these Regulations.

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11. Failure to comply with Regulations

11.1 Reporting Failures

Any failure to comply with these Regulations (or any act that may be considered as a failure to comply with these Regulations) must be reported to the Bureau immediately on discovery.

11.2 Compliance and Enforcement Procedures

In case of failure to comply with these Regulations, the Bureau may issue a written warning notice to the non-complying Entity.

The warning notice shall include:

- (a) the name of the Entity;
- (b) the regulation which was been violated;
- (c) a tolerance period to comply;
- (d) The enforcement procedures to be taken against the Entity in case it does not comply with the Regulations within the tolerance period.

Pursuant to Article 66 of Law No (2), an Entity, which is deemed to be in breach of these Regulations, may be subject to a fine of not less than AED 250,000.

If an Entity fails to comply with these Regulations for a second time the fine may be doubled.

Failure to comply with these Regulations (or any part herein) may be also deemed as a breach of a licence condition where applicable.

12. *Governing Law*

12.1 Governing Law

These Regulations and the rights and duties of any parties hereunder shall be governed by the laws of the Emirate of Abu Dhabi and the federal laws of the UAE as applied by the courts of the Emirate of Abu Dhabi.

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Schedule A: Reportable operational and environmental Incidents

Operational and Environmental Incident Classification

The following events shall be notified as reportable operational and environmental Incidents:

All Sectors	Operational and Environmental Incidents
<p>All regulated activities defined under Law No.(2)</p>	<p>An unplanned event or chain of unplanned events that results in one or more of the following:</p> <ul style="list-style-type: none"> • Evidence of trespassing on operational land or premises • Local or national media interest • Involvement of Emergency Services • Any reports of events received from a Relevant Authority which was caused by a Licensee's operations • External flooding affecting many properties arising from a failure of Licensee's assets • Uncontrolled release of any hazardous substance or chemical • A failure of the performance of a piece of equipment or process which is likely to result in public nuisance • The release of any material or substance which, due to its quantity, composition or receiving environment, is likely to cause significant public health or environmental impact • Repeat failure of a particular type of equipment or component with previous failings having given rise to an incident

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Electricity	Operational Incidents
Generation	<p>An unplanned event or chain of unplanned events that results in one or more of the following:</p> <p>For all plant types (Fossil , renewables and Nuclear)</p> <ul style="list-style-type: none"> • The loss of generation output of more than 200 MW • Simultaneous tripping or forced outage of any two machines/units even if the second machine/unit trip or forced outage is a consequence to the first • Any generation tripping that causes under frequency load-shedding • two or more forced outages for a specific machine/unit within 48 hours • Repeated failure of a particular type of equipment or component within 3 months due to either the same or different root cause • Evidence of trespass on operational land or premises • Any environmental discharge which exceeds the permissible levels set by the relevant environmental authority <p>For all IWPPs/PPPs (AD Emirate Generation Fleet excluding self-supply licences):</p> <ul style="list-style-type: none"> • The loss of generation availability of any generating machine/unit for more than 6 hours during the high demand season (Jun-Sep) • Any occurrence of a serious damage of a generating machine/unit or a component • Deviation of more than 10% of gas quality supplied to the plant <p>For Renewable Plants:</p> <ul style="list-style-type: none"> • Unplanned shutdown of the plant • The trip of steam turbine (CSP Plant) • Deviation of more than 25 MWe from the proposed load profile of the day • In the event of any delay/cancellation to the plant planned start up timing
Transmission	<p>An unplanned event or chain of unplanned events that results in one or more of the following:</p> <ul style="list-style-type: none"> • Simultaneous tripping or loss of multiple transmission circuits • Frequency deviation outside of the limits 49.9 Hz to 50.1 Hz • Loss of generation outside of the limit of the Infeed Loss Risk as per the Electricity Transmission System Security Standards • Voltage deviation outside of the limits required by the Electricity Transmission Security System Standard or Electricity Transmission Code • Any transmission system Incident causing interruption to any User (where the term User is as defined in the Electricity Transmission Code) • Any transmission system Incident or unplanned circumstance where load is at risk to a single credible contingency (sites with an agreed derogation from the Bureau will be excluded from reporting) • Any fault on the transmission system that causes an outage of any generation unit or results in a restriction of output from any production Licensee • An inability to comply fully with the Electricity Transmission System Security Standard, Electricity Transmission Code, Emirates National Grid Code and GCCIA Interconnector Transmission Code • An overhead line conductor being discovered to be at less than its design height
Distribution	<p>An unplanned event or chain of events that results in one or more of the following:</p> <ul style="list-style-type: none"> • An interruption of demand of above 5 MW for a period of 1 hour or longer • An interruption on any 33kV, 22kV and 11kV busbar section at any primary substation • Any Incident where there is evidence of loss of demand of above 10 MW resulting from voltage disturbance • An interruption where the supply to any user (where the term User is as defined in the Electricity Distribution Code) is not restored within 12 hours • Manual load curtailment for a load of 1MW or more for more than six hours during any 24 hours • An overhead line conductor being discovered to be at less than its design height

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Water	Operational Incidents
Desalination	<p>An unplanned event or chain of events that results in one or more of the following:</p> <ul style="list-style-type: none"> • the simultaneous outage of any two distillers or reverse osmosis racks • the loss of plant with a production capacity of more than 10 MGD (45,450 m³/day) • Two or more of unplanned outages for a specific distiller RO Rack within 48 hours • a significant and unexpected deterioration in the quality of a raw water source, which effects, or may affect the water production from quantity or quality perspective • Exceedance to any environmental limits as set by the competent authority • Repeated failure of a particular type of equipment or component within 3 months due to either the same or different root cause • The loss of availability of any distiller/RO Rack for more than 6 hours during the high demand season (Jun-Sep) • Any loss of water production due to serious failure of any equipment or component.
Transmission	<p>An unplanned event or chain of events that results in:</p> <ul style="list-style-type: none"> • A total tripping to any transmission pumping station component that results in failing to deliver 50% or more of the agreed water targets according to the daily dispatch schedule • Damage to a trunk main that causes total pipeline shutdown for more than 24 hours or if it results in failing to deliver 50% or more of the agreed water targets according to the daily dispatch schedule • A failure in the transmission system that causes a shutdown to either 50% of the Desalination capacity or production loss of more than 25 MGD (113,500 m³/day) at a production plant • A significant and unexpected or unusual deterioration in the quality of the water entering the supply which by reason of its effect or likely effect gives rise or is likely to give rise to a significant risk to the health of consumers
Distribution	<p>An unplanned event or chain of events that results in one or more of the following:</p> <ul style="list-style-type: none"> • the interruption of supply to one or more customers of 2.5 MGD (11,350 m³/day) or more for a period of six hours or longer • the interruption of supply to one or more customers of 1MGD (4,540 m³/day) or more for a period of 12 hours or longer • the interruption of supply to 100 customers or more for a period of 12 hours or longer • the interruption of supply to 1 or more customers for a period of 24 hours or longer • a significant and unexpected or unusual deterioration in the quality of the water at any point within the distribution system which by reason of its effect or likely effect gives rise or is likely to give rise to a significant risk to the health of consumers.

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Wastewater	Operational Incidents
Collection	<p>An unplanned event or chain of unplanned events that results in one or more of the following:</p> <ul style="list-style-type: none"> • The release into the collection system of a trade effluent without a consent or in breach of a condition of a Consent • The release into the collection system of a prohibited waste • The issuance of an improvement notice or termination notice to a trade effluent consent holder under Regulations 6.4 or 6.5 of the Trade Effluent Control Regulations 2010 <ul style="list-style-type: none"> • Main pump station power or mechanical failure which cannot be resolved within 3 hours • Power loss in multiple Pump Stations • Partial or complete failure to one or more of the main pumping station pumps or discharge lines
Treatment	<p>An unplanned event or chain of unplanned events that results in one of more of the following:</p> <ul style="list-style-type: none"> • The occurrence of a trend of breaches of any recycled water or biosolids quality standard for a parameter in Schedule A or B of the Recycled Water & Biosolids Regulations. • Detection of any cross connection, backflow or other fault with potential to contaminate any other third party water network (potable, recycled, or stormwater etc.)
Disposal	<p>An unplanned event or chain of unplanned events that results in one or more of the following:</p> <ul style="list-style-type: none"> • A discharge of Recycled Water to the environment under the site contingency plan as defined by Regulation 5.3.1 (e) of the RW&B Regulations 2010; • Any discharge of Biosolids to landfill under the site contingency plan as defined by Regulation 5.3.1 (e) of the Recycled Water & Biosolids Regulations. • A failure of a disposal system that prevents the delivery of recycled water or biosolids supply to a customer for more than 24hrs or by more than 50% of the agreed volume or mass. • Detection of any cross connection, backflow or other fault with potential to contaminate any other third party water network (potable or stormwater etc.). • Pump station power or mechanical failure which cannot be resolved within 8 hours Power loss in multiple Pump Stations; • Partial or complete permanent failure to one or/more of the main pumping station pumps or discharge lines.

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Schedule B: Immediate incidents reporting

Sector	Incidents list
HSE	<p>Any unplanned event that results in one of the following:</p> <ul style="list-style-type: none"> • Major Fires or explosions that impacts the operation • Any incident that causes an injury or death to a public member. • Major Hazardous material spill or leak with environmental impact including the release of raw wastewater or partially treated wastewater that is released to the environment
Non Drinking water	<ul style="list-style-type: none"> • Detection of any cross connection or backflow with potential to contaminate any water network (potable, recycled or storm water); • pump station power or mechanical failure which cannot be resolved within 8 hours; • Power loss in multiple Pump Stations; • Partial or complete failure to one or more of the main pumping station pumps or discharge lines; • A failure of a disposal system that prevents delivery of recycled water or bio solids supply to a customer for more than 24hrs or by more than 50% of the agreed volume or mass.
Transmission & Distribution	<ul style="list-style-type: none"> ○ Elect Dist.: <ul style="list-style-type: none"> • Any interruption of demand above 15MVA for a period in excess of 3 minutes • An interruption on any 33kV, 22kV and 11kV bus bar section at any grid station (220/33, 132/33, 132/22, 132/11kV) ○ Elect Transmission: <ul style="list-style-type: none"> ▪ Any electricity transmission system incident causing loss of supply, where the total size of the demand loss is greater than 500MW ○ Water <ul style="list-style-type: none"> ▪ Total shutdown of the pumping station for more than six hours. ▪ Water quality contamination in storage tanks and water trunk mains system.
Production	<ul style="list-style-type: none"> ○ Security <ul style="list-style-type: none"> ▪ Sabotage ○ Electricity <ul style="list-style-type: none"> ▪ Total Plant trip (Electricity) ▪ Loss of grid connection / Major electrical failure (e.g. station transformer / transmission switchgear)

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	<ul style="list-style-type: none">○ Water<ul style="list-style-type: none">▪ Total Plant trip (Water)▪ Loss of connection (Water) (e.g. Water line breakage / tank failure)▪ Sea Water Intake :-<ul style="list-style-type: none">- Red tide.- Nuclear Hazardous event.
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Schedule C: Initial notification of Incidents (INI)

OHS Incident Notification

The Bureau's INI requires the following key information:

- Reporting Entity Information;
- Incident Information;
- Injury Type based on Immediate Judgment of the Severity;
- Injury Severity known at the time of Incident;
- Injured Person's Personal Details;
- Key Corrective Actions Taken Immediately after the Incident;
- Declaration by Reporting Entity.

Operational and Environmental Incident notification

The Bureau's INI form requires the following key information:

- General information
 - Name of Licensee/company
 - Incident reference
 - Location of Incident – area, unit, equipment
 - Date and time of Incident – start, finish
- Contact details
 - Name of person making notification
 - Contact details – telephone number, email, etc.
- Date and time of notification to Bureau
- Incident classification
 - Operational – electricity, water, wastewater
 - Environmental
- Incident description
 - Sequence of events – description of events leading to Incident
 - Consequences – impact on operations, people or environment
 - Causation – immediate causes, nature of defect, failures, etc.
 - Remedial actions – present status, actions taken to rectify situation
- Other information
 - Any other relevant information – police presence, media interest, etc.

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Schedule D Full investigation reports (FIR)

- OHS Incidents

FIR requires the following key information:

- Part A – Incident Information
 - Reporting Entity Information
 - Incident Details:
 - Injured Person’s Personal Details
- Part B – Incident Investigation Summary
 - Incident Causes Details
 - Injury Details
 - Incident Root Cause
 - Key Corrective Actions Taken Immediately after the Incident
 - Key Corrective Actions to Prevent Recurrence
 - Incident Cost
 - Risk Assessment
 - Declaration by Injured Person
 - Declaration by Reporting Entity

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- **Operational and Environmental Incidents**

For operational and Environmental Incidents, the following information should be included in a full

investigation report as a minimum:

- Executive summary: A brief description, of the Incident, the consequential losses (people, assets, environment and Licensees reputation) and major recommendations.
- Introduction: A brief description of why the report is being prepared and legal obligations for undertaking the investigation.
- Incident description
 - Detailed description of scene – location, people involved, etc.
 - Sequence of events
 - Impact of the event – people, environment and property
 - Emergency procedures – actions taken, agencies involved
 - Witness accounts
 - Work activities – identified and controlled
- Investigation and observations
 - Investigation procedure – background information
 - Documentation review
 - Interviews and discussions
 - Site visits
 - Equipment analysis and review
- Analysis and conclusions
- Summary of key findings
 - Immediate causes
 - Root causes
- Recommendations and action plan
 - Immediate actions – short term
 - Follow-up actions – long term
 - Action plan – tracking, times and responsibilities
- Appendices

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