The Incident Reporting Regulations
(Second Edition)
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(Second Edition)

Issued by:
The Regulation and Supervision Bureau for the water, wastewater and electricity sector in the Emirate of Abu Dhabi

www.rsb.gov.ae

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July 2015
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 companies that are licensed to operate in the Emirate of Abu Dhabi.

These Incident Reporting Regulations (Regulations) are issued by the Bureau in accordance with Article 62 of Law No (2) of 1998 and in compliance with its obligations as Sector Regulatory Authority for the wastewater sector pursuant to Executive Council Resolution No. 42 of 2009. These Regulations have been produced following consultation with sector stakeholders.

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 organisations of Licensees. They may be cited as the Incident Reporting Regulations (Second Edition).

These Regulations are also available in Arabic, but the reader should note they were first written in English. They may also be downloaded from the Bureau's website at www.rsb.gov.ae.

[Signature]

Saif Saeed Al Qubaisi
Acting Director General
July 2015
Acknowledgements

The Bureau gratefully acknowledges the contributions and comments provided by the following organisations:

(a) Government Organisations
   (i) Occupational Safety and Health Center Abu Dhabi (OSHAD)

(b) Licensees:
   (i) Abu Dhabi Sewerage Services Company (ADSSC)
   (ii) TRANSCO
# List of revisions

<table>
<thead>
<tr>
<th>Revision</th>
<th>Date</th>
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Guidance notes

These Regulations should be read in conjunction with the AD EHSMS RF and in particular, Mechanism 6.0 V2.1 Dec 2013, EHSMS Performance and Incident Reporting, and Mechanism 11.00 V2.0 February 2012, EHS Incident Investigation.
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 ...]
Contents

1. Introduction ........................................................................................................................................................................ 9
   1.1 Citation ............................................................................................................................................................................ 9
   1.2 Commencement .................................................................................................................................................................. 9
   1.3 Purpose ............................................................................................................................................................................ 9
   1.4 Scope .............................................................................................................................................................................. 9

2. Definitions .......................................................................................................................................................................... 10
   2.1 Interpretation ................................................................................................................................................................... 10
   2.2 Definitions ..................................................................................................................................................................... 10

3. Incident Classification .......................................................................................................................................................... 12
   3.1 Work related activities ...................................................................................................................................................... 12
   3.2 Reportable and recordable Incidents ................................................................................................................................. 13
   3.3 Occupational Health and Safety Incident classification ................................................................................................ 13
   3.4 Operational and environmental Incident classification ................................................................................................ 14
   3.5 Other reportable Incidents ................................................................................................................................................ 14

4. Incident notification ............................................................................................................................................................... 15
   4.1 Notification requirements .................................................................................................................................................. 15
   4.2 Additional notification requirements ................................................................................................................................ 16
   4.3 Public health Incident notifications ................................................................................................................................ 16

5. Operational and environmental Incidents Reporting ........................................................................................................ 17
   5.1 Initial notification of Incidents .......................................................................................................................................... 17
   5.2 Full Investigation Reports for Operational and Environmental Incidents ........................................................................ 17
   5.3 Quarterly reporting ............................................................................................................................................................ 17

6. OHS Incident Reporting ......................................................................................................................................................... 18
   6.1 Initial notification OHS Incidents .................................................................................................................................... 18
   6.2 Full Investigation Reports for OHS Incidents ...................................................................................................................... 18
   6.3 Reporting an OHS Incident with multiple consequences ............................................................................................... 18
   6.4 Quarterly OHS reporting ................................................................................................................................................... 18
   6.5 Performance reporting ......................................................................................................................................................... 19

7. Incident Investigation ............................................................................................................................................................... 20
   7.1 Incidents Investigation ....................................................................................................................................................... 20
   7.2 Incident Investigation Process ........................................................................................................................................... 20
7.3 Investigation Findings and Actions .............................................. 20

8. Retention of Records .................................................................... 21
   8.1 Documentation ........................................................................ 21

9. Review of Bureau Decision .......................................................... 22
   9.1 Application for review .............................................................. 22
   9.2 Bureau request for information ............................................... 22
   9.3 Bureau decision ...................................................................... 22

10. Failure to comply with Regulations ............................................. 23
    10.1 Reporting Failures ................................................................. 23
    10.2 Compliance and Enforcement Procedures ............................ 23

11. Governing Law ......................................................................... 24
    11.1 Governing Law ................................................................. 24

Schedule A: Reportable operational and environmental Incidents ...... 25
Schedule B: Initial notification of Incidents (INI) ............................. 30
Schedule C Full investigation reports (FIR) ...................................... 32
1. Introduction

1.1 Citation

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

1.2 Commencement

1.2.1 These Regulations come into force in July 2015.

1.2.2 These Regulations supersede and replace The Incident Reporting Regulations 2008.

1.3 Purpose

1.3.1 These Regulations are issued 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

1.4.1 These Regulations apply to any Entity carrying out regulated activities (as defined under Article (71) of Law No (2) (including, but not limited to Licensees).

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

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

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

1.4.5 In the event of a conflict between these Regulations and the AD EHSMS RF, these Regulations shall prevail.

1.4.6 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.
2. Definitions

2.1 Interpretation

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

2.1.2 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).

2.1.3 Words and expressions other than those defined in these Regulations which are defined in the AD EHSMS RF - EHS RI - Mechanism 6.0 - EHSMS Performance and Incident Reporting shall have the meanings ascribed to them therein.

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

2.1.5 Unless otherwise specified, days shall mean calendar days.

2.2 Definitions

AD EHSMS RF – means the Abu Dhabi Environment, Health and Safety Management System (EHSMS) Regulatory Framework published by OSHAD.

Agent – means any company, contractor or person 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).

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

Competent Person – 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 0.


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 or as required under the AD EHSMS RF, the requirements of which are detailed in Schedule C.

Good Industry Practice – means in relation to any undertaking and any circumstances, the exercise of that degree of skill, diligence, prudence and foresight which would reasonably and ordinarily be expected from a skilled and experienced operator engaged in the same type of undertaking.
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 (loss) to assets, or harm to the environment, or the reputation of any Entity.

Initial Notification of Incident (INI) – means the initial notification of Incident form used to notify the Bureau of an operational or environmental incident.

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.

OHS – means occupational health and safety.

OSHAD – means Occupational Safety and Health Abu Dhabi (formerly the Abu Dhabi Environment, Health and Safety Center) established pursuant to Executive Council decree No.2 of 2010.

Relevant Authority – means any Government authority, agency or organisation in the Emirate of Abu Dhabi.

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 that 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 selected by OSHAD to be responsible for regulating EHSMS activities for the targeted economic sectors.

Serious Dangerous Occurrence – means a serious dangerous occurrence as defined in Schedule A of the AD EHSMS RF – EHS RI – Mechanism 6.0 EHSMS Performance and Incident Reporting.

Serious Injury – means a serious injury as defined in Schedule B of the AD EHSMS RF – EHS RI – Mechanism 6.0 EHSMS Performance and Incident Reporting.

Serious Occupational Illness or Disease – means a serious occupational illness or disease as defined in Schedule C of the AD EHSMS RF – EHS RI – Mechanism 6.0 EHSMS Performance and Incident Reporting.

UAE – means the United Arab Emirates.

Year – means a calendar year according to the Gregorian calendar.
3. Incident Classification

3.1 Work related activities

3.1.1 The following are considered to be work related activities:

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

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

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

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

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

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

(a) occurs on the way to or from work;
(b) occurs at work;
(c) arises from a work practice or conditions in a workplace; or
(d) happens to an employee during, and by reason, of carrying out their duties.

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

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

3.1.7 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:

(a) Contractors, sub-contractors or suppliers;
(b) customers;
(c) visitors; and
(d) any other person(s) at the workplace.
3.2 Reportable and recordable Incidents

3.2.1 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 Emirate regulatory requirements.

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

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

3.3 Occupational Health and Safety Incident classification

[Note: Taken from AD EHSMS RF Mechanism 6.0 Version 2.1 – EHSMS Performance and Incident Reporting – Section 3]

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

(a) Lost Time Injury;
(b) Fatality;
(c) Permanent Total Disability;
(d) Permanent Partial Disability;
(e) Lost Workday Case;
(f) Serious Injury;
(g) Serious Occupational Illness or Disease;
(h) Serious Dangerous Occurrence.

3.3.2 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.

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

(a) Restricted Workday Case;
(b) Medical Treatment Case;
(c) First Aid Injury;
(d) Equipment/property damage; and
(e) Near Miss.
3.4 Operational and environmental Incident classification

3.4.1 The operational and environmental Incidents to be notified, reported and investigated are set out in Schedule A.

3.5 Other reportable Incidents

3.5.1 Licensees shall also report to the Bureau:

(a) any other event that is likely to become an operational or environmental Incident;

(b) 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:

(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

(c) any Incident reports from a Relevant Authority of events caused by a Licensee’s operations.
4. Incident notification

4.1 Notification requirements

4.1.1 The Bureau shall be notified of any reportable OHS, operational or environmental incidents defined in Regulations 3.3, 3.4 and 3.5.

4.1.2 A Licensee must:

(a) notify the Bureau by electronic mail to incident@rsb.gov.ae 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 employees of a Licence Holder or Contractor, Other Person or member of the public;

(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, it should provide brief details of that incident via e-mail within these timescales and may request the Bureau to confirm whether such an incident is reportable or not under these Regulations in that e-mail.]

(b) Notify the Bureau by electronic mail to incident@rsb.gov.ae as soon as practicable and, in any event within twelve (12) hours following the occurrence of any reportable operational Incident.

(c) submit a fully completed Initial Notification of Incident as per the latest version on the Bureau's website by electronic mail to incident@rsb.gov.ae for all reportable incidents within a maximum of three (3) working days of any reportable Incident occurring; and

(d) submit a fully completed Full Investigation Report, unless otherwise agreed in writing with the Bureau, for all reportable incidents by electronic mail to incident@rsb.gov.ae within a maximum of thirty (30) calendar days of the Incident occurring.

4.1.3 A FIR for Incidents shall be completed within thirty (30) calendar days and shall not be delayed even if some information is not available.

[Note: The Bureau acknowledges that specific components of the final report may not be available within 30 calendar 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.]
4.2 Additional notification requirements

4.2.1 Licensees shall, and shall procure their Agents shall complete any additional notifications to other Relevant Authorities required by Federal or Emirate law.

4.3 Public health Incident notifications

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

(a) 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;

(b) any interruption to water supplies in accordance with the requirements of the water table in Schedule A.

4.3.2 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. The reporting format and protocols shall be as agreed between the Licensees and the Bureau.
5. Operational and environmental Incidents Reporting

5.1 Initial notification of Incidents

5.1.1 Initial notification of operational and environmental Incidents shall be made by completing and submitting the Bureau's INI form as per the latest version available on the Bureau's website.

5.2 Full Investigation Reports for Operational and Environmental Incidents

5.2.1 Licensees shall submit Full Investigation Reports in a form agreed with the Bureau.

5.2.2 The minimum requirements for inclusion in a Full Investigation Report for operational and environmental Incidents are detailed in Schedule C.

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

5.3 Quarterly reporting

5.3.1 In addition to reporting Incidents, the Licensees shall provide the Bureau with any Incident statistics or performance indicators as the Bureau may require from time to time.

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

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

5.3.4 The quarterly report shall be submitted in the prescribed form within 14 days of the end of each calendar quarter.
6. OHS Incident Reporting

6.1 Initial notification OHS Incidents

6.1.1 The initial notification of OHS Incidents shall be made by completing and submitting AD EHSMS RF Form G – Serious OHS Incident Notification.

[Note: A copy of Form G is available from OSHAD website https://www.oshad.ae/en/. The requirements are summarised in Schedule B].

6.2 Full Investigation Reports for OHS Incidents

6.2.1 Licensees shall submit Full Investigation Reports in a form agreed with the Bureau.

6.2.2 The minimum requirements for inclusion in a Full Investigation Report are detailed in Mechanism 11.0 of the AD EHSMS RF.

6.2.3 OHS Incidents FIRs must be accompanied by Form G1 – Serious OHS Incident Investigation of the AD EHSMS RF.

[Note: A copy of Form G1 is available from OSHAD website https://www.oshad.ae/en/]

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

6.3 Reporting an OHS Incident with multiple consequences

6.3.1 Where a single OHS Incident results in multiple consequences for a Licensee, a AD EHSMS RF – Form G – Serious OHS Incident Notification Form for each consequence shall be submitted.

6.4 Quarterly OHS reporting

6.4.1 Licensees shall submit a quarterly OHS performance and Incident report.

6.4.2 Licensees shall complete:

(a) AD EHSMS RF – Form E for Private Entities; or

(b) AD EHSMS RF - Form E2 for Government Entities.

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

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

(a) Fatality;

(b) Permanent Total Disability;
(c) Permanent Partial Disability;
(d) Lost Workday Case;
(e) Serious Dangerous Occurrence;
(f) Serious Injury; and
(g) Serious Occupational Illness.

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

(a) Restricted Workday Case;
(b) Medical Treatment Case;
(c) First Aid Injury;
(d) Equipment/property damage; and
(e) Near Miss.

6.5 Performance reporting

6.5.1 All Licensees are required to report to the Bureau against the key performance indicators set by OSHAD in the AD EHSMS RF from time to time.

[Note: see AD EHSMS RF – GD – Key Performance Indicators].

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.
7. Incident Investigation

7.1 Incidents Investigation

7.1.1 Incidents investigations shall be carried out in accordance with the requirements detailed in Mechanism 11.0 of the AD EHSMS RF.

7.2 Incident Investigation Process

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

7.2.2 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.

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

7.2.4 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

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

7.3.2 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.

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

7.3.4 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.

7.3.5 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.
8. Retention of Records

8.1 Documentation

8.1.1 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 their reporting obligations under these Regulations

8.1.2 The documents shall be kept at the Licensee's usual place of business.

8.1.3 The documents shall be kept for at least seven (7) Years from the date of the Incident.
9. Review of Bureau Decision

9.1 Application for review

9.1.1 An application to review a decision by the Bureau under these Regulations must be made in writing to the Bureau and submitted with supporting documents.

9.2 Bureau request for information

9.2.1 The Bureau may request from an Entity making an application for review under this Part 8, 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.

9.3 Bureau decision

9.3.1 The Bureau shall notify the Entity which made the application for review of its final decision.

9.3.2 The Bureau may:

(a) confirm, amend or withdraw any decision, under these Regulations, which shall be the Bureau's final decision (such final decision then being capable of review under Article (130) of Law No (2)): and/or

(b) issue directions as it sees fit to the Entity which made the application for review in accordance with these Regulations and Law No (2).

9.3.3 Any decisions or directions issued by the Bureau are binding on the Entity which made the application for review.

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

10.1 Reporting Failures

10.1.1 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.

10.2 Compliance and Enforcement Procedures

10.2.1 Failure to comply with these Regulations (or any part herein) may be deemed as contrary to Article (86) of Law No (2) and/or a breach of a condition in any Licence as issued by the Bureau (as appropriate).

10.2.2 The Bureau may enforce these Regulations in accordance with:

(a) its powers under Law No (2);
(b) the conditions of any relevant Licence; or
(c) any other legislative or regulatory instrument conferring such authority upon the Bureau.

10.2.3 In case of failure to comply with these Regulations, the Bureau may take any remedial or corrective action within its powers under Law No (2), including the issuance of improvement notices, preliminary orders or final orders to:

(a) remediate specific non-compliance;
(b) ensure future compliance; and/or
(c) ensure that any relevant person or Entity discharges their respective responsibilities under these Regulations and Law No (2) in a manner which is consistent with the overarching goal of ensuring the safe and efficient supply of water and electricity and the safe and efficient collection, treatment and disposal of wastewater within the Emirate of Abu Dhabi.
11. Governing Law

11.1 Governing Law

11.1.1 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.
Schedule A: Reportable operational and environmental Incidents

Operational and Environmental Incident Classification

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

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<th>All Sectors</th>
<th>Operational and Environmental Incidents</th>
<th>Other Relevant Authorities</th>
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| All Licensed activities defined under Law No.(2) | An unplanned event or chain of unplanned events that results in one or more of the following:  
- Fire, explosion or implosion  
- 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 thereof (previous failings having given rise to an incident) | As per UAE and Abu Dhabi Laws and Regulations. |
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| **Generation** | An unplanned event or chain of unplanned events that results in one or more of the following:  
- The loss of generation output of more than 200 MW  
- Simultaneous tripping or forced outage of any two machines even if the second machine trip or forced outage is a consequence to the first  
- Any generation tripping that causes under frequency load-shedding  
- More than two forced outages for a specific machine/unit within 48 hours  
- Repeat failure of a particular type of equipment or component thereof  
- Fire, explosion or implosion  
- Evidence of trespass on operational land or premises  
- Any environmental discharge which exceeds the permissible levels as shown under Appendix N of the Power and Water Agreements | As per UAE and Abu Dhabi Laws and Regulations. |
| **Transmission** | An unplanned event or chain of unplanned events that results in one or more of the following:  
- 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 Normal 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  
- Loss of output at 220kV, 132kV, 22kV and 11kV from any transformer in any grid station  
- An overhead line conductor being discovered to be at less than its design height | As per UAE and Abu Dhabi Laws and Regulations. |
| **Distribution** | An unplanned event or chain of events that results in one or more of the following:  
- An interruption of demand of above 10 MW for a period of 3 minutes or longer  
- An interruption of demand of above 5 MW for a period of 1 hour of longer  
- Loss of output at 33kV, 22kV and 11kV from any transformer at any grid station or primary substation  
- An outage on any 33kV, 22kV and 11kV busbar section at any grid station or 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 | As per UAE and Abu Dhabi Laws and Regulations. |
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<td>• Manual load curtailment for a load of 1MW or more for more than six hours during any 24 hours</td>
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<td>• An overhead line conductor being discovered to be at less than its design height</td>
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<tr>
<td>Water</td>
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</tbody>
</table>
| Desalination  | An unplanned event or chain of events that results in one or more of the following:  
- the simultaneous outage of any two distillers or reverse osmosis units  
- the loss of plant with a production capacity of more than 15 MGD (68,100 m³/day)  
- more than two unplanned outages for a specific distiller 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 | As per UAE and Abu Dhabi Laws and Regulations.                                                                                                                                                                                                                                                                                                                                                                         |
| Transmission  | An unplanned event or chain of events that results in:  
- 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 | As per UAE and Abu Dhabi Laws and Regulations.                                                                                                                                                                                                                                                                                                                                                                         |
| Distribution  | An unplanned event or chain of events that results in one or more of the following:  
- 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. | As per UAE and Abu Dhabi Laws and Regulations.                                                                                                                                                                                                                                                                                                                                                                         |
<table>
<thead>
<tr>
<th>Wastewater</th>
<th>Operational Incidents</th>
<th>Other Relevant Authorities</th>
</tr>
</thead>
<tbody>
<tr>
<td>Collection</td>
<td></td>
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<tr>
<td>An unplanned event or chain of unplanned events that results in one or more of the following:</td>
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<tr>
<td>- The release into the collection system of a trade effluent without a consent or in breach of a condition of a Consent</td>
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<tr>
<td>- The release into the collection system of a prohibited waste</td>
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<tr>
<td>- 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</td>
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<tr>
<td>- Detection of any cross connection, backflow or other fault with potential to contaminate any other third party water network (potable, recycled or stormwater etc.)</td>
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<tr>
<td>- Pump station power or mechanical failure which cannot be resolved within 8 hours</td>
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<tr>
<td>- Main pump station power or mechanical failure which cannot be resolved within 3 hours</td>
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<tr>
<td>- Power loss in multiple Pump Stations</td>
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<tr>
<td>- Partial or complete failure to one or more of the main pumping station pumps or discharge lines</td>
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<tr>
<td>Treatment</td>
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<tr>
<td>An unplanned event or chain of unplanned events that results in one of more of the following:</td>
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<tr>
<td>- 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 &amp; Biosolids Regulations</td>
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<tr>
<td>- Detection of any cross connection, backflow or other fault with potential to contaminate any other third party water network (potable, recycled, or stormwater etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>As per UAE and Abu Dhabi Laws and Regulations.</td>
<td></td>
<td></td>
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<tr>
<td>Disposal</td>
<td></td>
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<tr>
<td>An unplanned event or chain of unplanned events that results in one or more of the following:</td>
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<tr>
<td>- A discharge of Recycled Water to the environment under the site contingency plan as defined by Regulation 5.3.1 (e) of the RW&amp;B Regulations 2010</td>
<td></td>
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<tr>
<td>- Any discharge of Biosolids to landfill under the site contingency plan as defined by Regulation 5.3.1 (e) of the Recycled Water &amp; Biosolids Regulations</td>
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</tr>
<tr>
<td>- 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</td>
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</tr>
<tr>
<td>- Detection of any cross connection, backflow or other fault with potential to contaminate any other third party water network (potable or stormwater etc.)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>- Pump station power or mechanical failure which cannot be resolved within 8 hours Power loss in multiple Pump Stations</td>
<td></td>
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<tr>
<td>- Partial or complete permanent failure to one or more of the main pumping station pumps or discharge lines</td>
<td></td>
<td></td>
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<tr>
<td>As per UAE and Abu Dhabi Laws and Regulations.</td>
<td></td>
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</tbody>
</table>
Schedule B: Initial notification of Incidents (INI)

OHS Incident Notification

1.1.1 AD EHSMS RF Form G – Serious OHS Incident Notification is available from OSHAD website https://www.oshad.ae/en/.

1.1.2 Form G requires the following key information:
(a) Reporting Entity Information;
(b) Incident Information;
(c) Injury Type based on Immediate Judgment of the Severity;
(d) Injury Severity known at the time of Incident;
(e) Injured Person’s Personal Details;
(f) Key Corrective Actions Taken Immediately after the Incident;
(g) Declaration by Reporting Entity.
Operational and environmental Incident notification

1.1.3 The Bureau's INI form is available on the Bureau's website http://rsb.gov.ae/

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

(a) General information
   (i) Name of Licensee/company
   (ii) Incident reference
   (iii) Location of Incident – area, unit, equipment
   (iv) Date and time of Incident – start, finish

(b) Contact details
   (i) Name of person making notification
   (ii) Contact details – telephone number, email, etc.

(c) Date and time of notification to Bureau

(d) Incident classification
   (i) Operational – electricity, water, wastewater
   (ii) Environmental

(e) Incident description
   (i) Sequence of events – description of events leading to Incident
   (ii) Consequences – impact on operations, people or environment
   (iii) Causation – immediate causes, nature of defect, failures, etc.
   (iv) Remedial actions – present status, actions taken to rectify situation

(f) Other information
   (i) Any other relevant information – police presence, media interest, etc.
Schedule C Full investigation reports (FIR)

OHS Incidents

1.1.5 Abu Dhabi EHSMS Mechanism 11.0 defines the minimum requirements for inclusion in the Incident investigations and can be found on OSHADs website https://www.oshad.ae/en/pages/home.aspx

1.1.6 OHS FIRs must be accompanied by Form G1 – Serious OHS Incident Investigation of the AD EHSMS RF.

1.1.7 Form G1 requires the following key information:

(a) Part A – Incident Information
   (i) Reporting Entity Information
   (ii) Incident Details:
   (iii) Injured Person’s Personal Details

(b) Part B – Incident Investigation Summary
   (i) Incident Causes Details
   (ii) Injury Details
   (iii) Incident Root Cause
   (iv) Key Corrective Actions Taken Immediately after the Incident
   (v) Key Corrective Actions to Prevent Recurrence
   (vi) Incident Cost
   (vii) Risk Assessment
   (viii) Declaration by Injured Person

(c) Declaration by Reporting Entity
Operational and environmental Incidents

1.1.8 For operational and environmental Incidents the following information should be included in a full investigation report as a minimum:

(a) Executive summary: A brief description, of the Incident, the consequential losses (people, assets, environment and Licensees reputation) and major recommendations.

(b) Introduction: A brief description of why the report is being prepared and legal obligations for undertaking the investigation.

(c) Incident description
   (i) Detailed description of scene – location, people involved, etc.
   (ii) Sequence of events
   (iii) Impact of the event – people, environment and property
   (iv) Emergency procedures – actions taken, agencies involved
   (v) Witness accounts
   (vi) Work activities – identified and controlled

(d) Investigation and observations
   (i) Investigation procedure – background information
   (ii) Documentation review
   (iii) Interviews and discussions
   (iv) Site visits
   (v) Equipment analysis and review

(e) Analysis and conclusions

(f) Summary of key findings
   (i) Immediate causes
   (ii) Root causes

(g) Recommendations and action plan
   (i) Immediate actions – short term
   (ii) Follow-up actions – long term
   (iii) Action plan – tracking, times and responsibilities

(h) Appendices