

Applies to: ALL SSE	INCIDENT REPORTING MANAGEMENT AND INVESTIGATION STANDARD	MS-SHE-010
Classification: Internal	Uncontrolled if printed	Rev: 7.00

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Incident Reporting Management and Investigation Standard - Summary

Who is this Standard for? This Standard is for anyone who is involved in the reporting, management, and investigation of incidents.

What does this Standard do? It explains the accountabilities that all staff and managers have, to report and manage incidents. It sets out the requirements for immediate reporting, the definition of incidents, and those that need to be notified to government agencies.

Why do we need this Standard? This Standard reinforces SSE's core value: ***We believe all accidents are preventable, so we do everything safely and responsibly or not at all.***

Timely and accurate reporting and investigation of SHE Incidents helps to ensure:

- continual improvement in SHE performance
- prevention of incident recurrence; and
- that statutory obligations to report incidents are met.

What is the process used in this Standard? This Standard describes a process with 24 Mandatory Requirements and a series of Recommendations providing guidance.



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1 Accountabilities

Mandatory Requirements

1. Each Business Managing Director shall ensure that the mandatory requirements of this Standard are applied to SSE businesses and to Joint Ventures where SSE is the 'Operator'.
2. Managers shall ensure that all staff are aware of requirements to inform their line manager or supervisor immediately, or as soon as possible, when any incident has occurred.
3. Managers shall ensure that work related incidents are:
 - reported
 - managed
 - investigated, and the resulting;
 - learnings shared.
4. Managers shall ensure that any contractor staff are aware of the requirement to inform their SSE point of contact immediately, or as soon as possible, when any incident has occurred and that they shall assist with all aspects of the investigation.
5. Site Managers/Landlords shall put a process in place to ensure that any visitors to SSE sites are aware of the requirement to inform their SSE host immediately, or as soon as possible, when any incident has occurred.
6. The Heads of SHE in each Business shall ensure that:
 - incidents are thoroughly investigated and reported.
 - assistance is provided, when appropriate, during investigations.
 - investigation levels are appropriate to the actual or potential severity of the incident; and
 - incidents are reported in compliance with statutory requirements.
7. Legal Services shall ensure that advice is provided to Businesses on matters of Legal Professional Privilege (LPP).

Recommendations

- None

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2 Incident management and classification

Mandatory Requirements

8. **Managers shall ensure that when an incident is reported the priorities are that:**
 - any injured persons are treated.
 - instigate emergency procedures so that incidents do not escalate; and
 - the incident scene is protected so far as is practicable to ensure evidence is preserved for subsequent investigation.
9. **Managers shall ensure that when a work-related incident is reported they shall assess its actual and potential severity as follows:**
 - People, Environment, Assets and SSE's Reputation (PEAR) using the Table in Appendix A and Appendix C.
 - Process Safety Incidents using the Table in Appendix B; and
 - Road Traffic Collision (RTC) using the agreed definitions.

Recommendation

- In the most serious incidents, the scene may well be controlled by the Police or other statutory body.
- Guidance on the classification of international incidents occurring outside of the UK and RoI for SSE reporting and recording purposes is provided in Appendix D.

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3 Immediate reporting – 30-minute rule

Mandatory Requirements

- 10. Managers shall ensure that significant or potentially significant incidents are immediately reported and escalated through the Business management chain within 30-minutes of their occurrence and reported to the SHE Director (See Figure 1).**

The following 24-hour number must be used to report SHE related incidents:

- UK - 0800 107 3207 (Option 2)
- RoI – 1800 927 219 (Option 2)
- International - +44 2392 274935

- 11. The Heads of SHE in each Business shall assess wider implications of the incident and:**

- provide or request support in managing the incident effectively; and
- determine an appropriate level, methodology and output from the investigation.

Recommendations

- If in any doubt managers should report incidents following the “overreact and stand down” principle defined within MS-SHE-011, Emergency Planning and Response.
- Typical examples of significant incidents to be reported include:
 - where someone has been injured.
 - anyone leaving site for medical treatment e.g., hospital, doctors etc.
 - level 3 or above Process Safety Incidents or a Dangerous Occurrence.
 - potential Class 1 Road Traffic Collisions.
 - all HV electrical incidents and reportable electrical incidents defined within ESQCR.
 - requiring call out of Emergency Services including site emergency responders.
 - involving the carriage of dangerous goods.
 - marine incidents.
 - loss of containment of hazardous substances.
 - breaches of environmental permit or planning conditions; and
 - cyber threats to essential services in SSEN, Thermal Energy or SSE Renewables (0800 107 3207 Option 5 Cyber Security).

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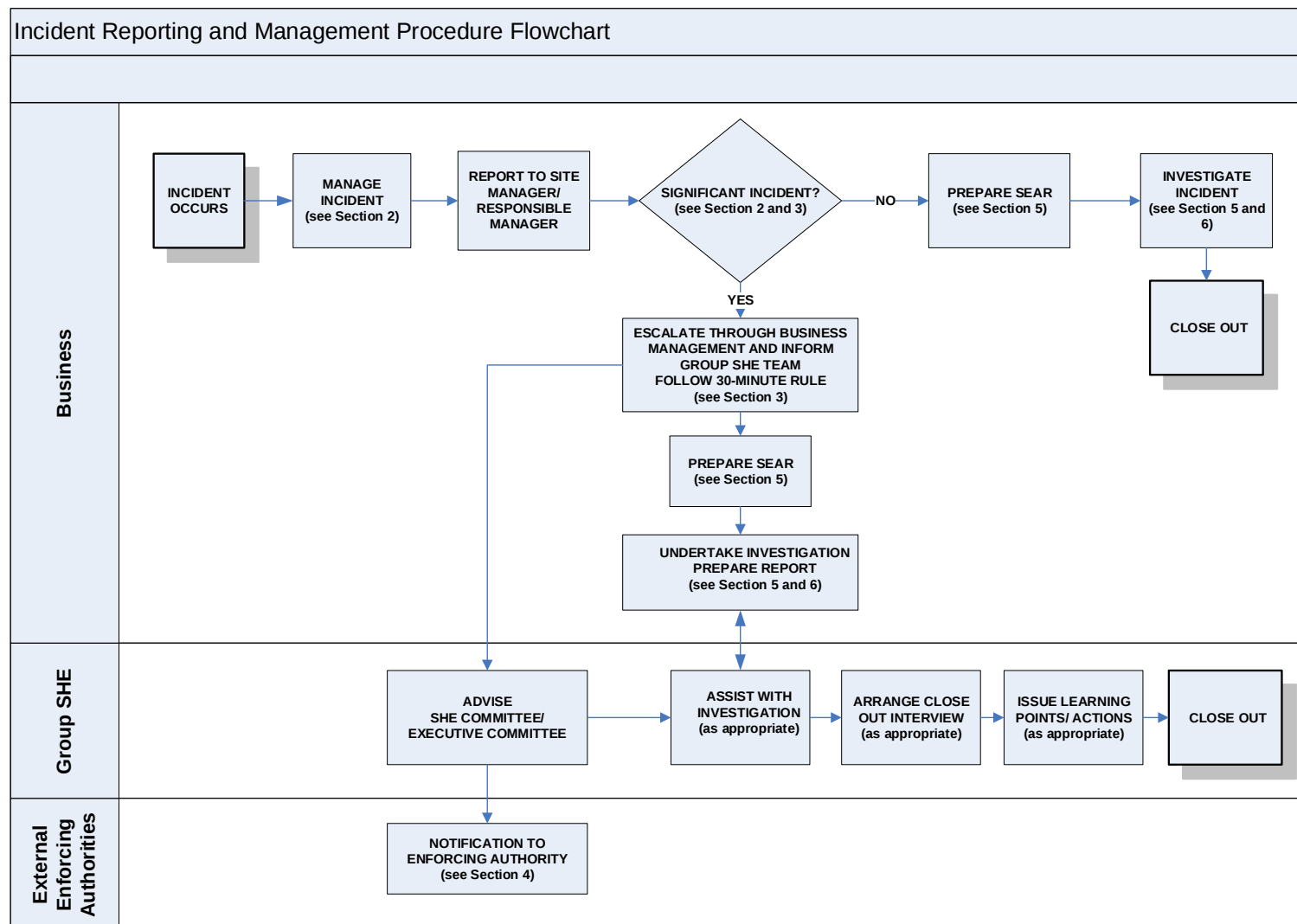


Fig 1: Incident reporting and management procedure flowchart

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4 External reporting

Mandatory

Requirement

12. Incidents shall be reported as follows:

RIDDOR - Group SHE shall formally report incidents or diseases to the HSE or HSA, involving SSE employees. Details contained in the submitted report form shall be agreed between the Group SHE and local Business manager prior to submission. The report forms are:

- F2508 - Injuries and Dangerous Occurrences
- F2508A – Diseases
- IR1 – Reportable Accidents (Republic of Ireland)
- IR3 – Dangerous Occurrences (Republic of Ireland)

Reporting of incidents relating to gas installations shall be submitted using form (F2508G) by the Business and copied to the Group SHE Team.

Marine Incidents - Group SHE shall escalate incidents to the HSE, Marine Coastguard Agency, Civil Aviation Authority, or other relevant bodies, as required.

Carriage of Dangerous Goods Regulations - Group SHE shall escalate incidents to the HSE and/or the Department of Transport in conjunction with the appointed Dangerous Goods Safety Advisor (DGSA).

Environmental Incidents - Businesses shall escalate environmental incidents (see Appendix C) to the appropriate body.

ESQCR - Businesses shall report ESQCR events to the System Control Manager who will enter the event into their database and ensure the appropriate enforcing authorities are informed.

NIS Directive – Potential cyber events to Operators of Essential Service (Transmission/Distribution/Thermal Energy/SSE Renewables) need to be reported to SSE Group Security and Group IT.

Recommendations

- Incidents that affect SSE employees or operational assets and occur in international jurisdictions other than the UK and RoI should be reported by the relevant business in-line with local legislative requirements.

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5 Reporting and investigation forms

Mandatory

Requirements

13. Businesses in the UK shall ensure that:

- an adequate number of approved “Accident Books” (reference BI 510) are made available and readily accessible to staff.
- for each “Accident Book” a manager is responsible for its use and security.
- all injury incidents shall be entered into an ‘Accident Book’ as soon as possible after the event, preferably by the injured person or if unable, his/her supervisor or colleague; and
- the “Accident Book” is regularly monitored, the records are removed, and the records and the book kept for 3 years after the date of the last entry.

14. All hazards, incidents and RTCs shall be recorded using the SEARS system. An electronic investigation form in the SEARS system shall be used for all:

- incidents with actual People or Environmental impact level of “minor” or above.
- Process Safety incidents with actual impacts of “serious” or above.
- High Potential Incidents or any other incident identified by the Business Head of SHE or SHE Director; or
- actual or potential Class 1 RTCs.

15. Incident Investigation Form ([FO-SHE-010-012](#)) shall be used for all cases of Occupational Ill-health.

Recommendations

- Copies of the standard “Accident Book” are available from the Group SHE Team.
- A record should be entered onto the SEAR system within 24 hours.
- If a Word Document is preferred by an investigation team to assist in the investigation process, then [FO-SHE-010-003](#) should be used. Any completed form must be added as an attachment to the SEAR ticket and data transferred into the electronic investigation form in SEARS (Mandatory Requirement 14 of this Standard).
- Investigation reports subject to legal privilege should not be stored as part of the SEAR.
- Supporting calculations required to demonstrate if dangerous occurrence thresholds have been exceeded should be loaded as an attachment(s) to the SEAR.

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6 Incident investigation

Mandatory Requirements

- 16. The SHE Director or Heads of SHE shall ensure that incidents are investigated, and a report prepared within 20 working days identifying the immediate, underlying and root causes. If this is not practicable, an appropriate time-period shall be agreed with the Business Head of SHE.**

Actual incident level	Approval of investigation team and final report	Investigation lead	Investigation process support	Review of investigation report and confirmation of actions	Verification
Major	SHE Director	Senior leader/ Head of SHE from another BU	Senior SHE Manager	SHE Director Head of SHE BU MD	Group SHE Assurance (sample) BU SHE teams
HIPO	SHE Director/ Head of SHE	Senior BU Manager appointed – Independent	SHE Manager	SHE Director Head of SHE BU MD	BU SHE teams
Serious	Head of SHE	Senior BU manager appointed – Independent	SHE Manager	Head of SHE Head of SHE - direct report Another BU Director – direct report	BU SHE teams

- 17. Managers shall ensure that Safety Representatives are notified of incidents within their workplace and are given the opportunity to independently investigate or be involved in any investigation.**
- 18. Personnel leading investigation teams shall be competent in the techniques for incident investigation, root cause analysis, and utilising a Just Culture process where Human Failure is identified as a contributory factor.**
- 19. A safety review, involving a senior manager, shall be carried out in each business area for the following incidents:**
- SSE reportable injury.
 - SSE RTC1 (where SSE driver is accountable); or
 - SSE or Contractor high potential Incident or reportable dangerous occurrence.

Recommendations

- For PEAR incidents at Incidental outcome severity, Line Managers are responsible for an investigation appropriate to the actual or potential severity of the incident and ensuring that appropriate action is taken. The SHE teams in each BU should maintain oversight and increase the level of investigation as required.
- In the event of an SSE employee(s) being involved in an incident on a contractor's site, in addition to the SSE investigation, an investigation should be carried out by the Contractor to determine the appropriateness of their control measures.

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7 Share learnings

Mandatory Requirements

20. Actions taken following incidents shall be communicated appropriately to demonstrate what action has been taken to reduce the risk of this incident or similar incidents occurring in the future.
21. Managers shall ensure that relevant operational restrictions are implemented without delay and that all affected parties are notified, and their understanding is confirmed.
22. Managers shall ensure that they share learnings from incidents and good practices as soon as practicable.

SHE Learnings ([FO-SHE-010-005](#)) shall be considered for:

- specific SHE incident (severity level 4 e.g., fatality) requiring SSE locations to take immediate action; and
 - a specific SHE issue that without immediate action being taken could result in a major impact in terms of PEAR, e.g. when dangerous equipment, processes, procedures or substances are identified during or after an investigation, or as the result of a notification from Regulatory Authority or from within the industry.
23. Any SHE Learnings report shall be progressed through a defined process whereby:
 - Business/Group SHE shall select incidents that require reports to be prepared.
 - Business shall prepare a draft report which shall be checked/agreed with Group SHE prior to issue; and
 - agreed reports shall be issued and stored on an SSE communications network.
 24. The Business Head of SHE shall notify certain incidents to trade bodies e.g., Energy Networks Association (ENA), Energy UK or Generators Safety and Integrity Programme (GENSIP).

Recommendations

- Each Business may wish to communicate within the business incidents with lesser severity or other good practices. Administration for Business SHE Communications is the responsibility of the originating business.

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Definitions

The following are definitions adopted by SSE which reflect:

- US Occupational Safety & Health Administration (OSHA) recordkeeping and general recording criteria
- UK Health and Safety Executive and RoI Health and Safety Authority definitions, reporting, recording and investigation criteria as detailed in RIDDOR and other guidance; and
- incident classification and compliance assessment criteria of the Environment Agency (EA) and Scottish Environment Protection Agency (SEPA).

Accident An incident that leads to injury or ill health.

Accident Frequency Rate (AFR) The Accident Frequency Rate (AFR) is the Reportable Major Injury and Lost Time Injury Rate (not including Medical Treatment Incidents (MTI)) expressed per 100,000 hours.

$$AFR = \frac{\text{Number of Reportable Major and Lost Time Injuries} \times 100,000 \text{ hours}}{\text{hours worked}}$$

Business Used to represent a discrete operation within the SSE Group; each Business is led by a Managing Director.

Carriage of Dangerous Goods Regulations Some incidents may involve the transport of dangerous goods. There are statutory duties to report certain incidents under RIDDOR and potentially to the Department of Transport under the Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations.

Incidents likely to be reported are those **DIRECTLY** related to the dangerous goods being transported, and include the following:

- dangerous goods (above threshold limits) were released.
- there is an imminent risk of loss of product.
- there is any personal injury caused by the dangerous goods.
- there is any material or environmental damage; or
- any external authorities are involved.

Competence (for incident investigation) Is the “ability to do” and relates to an employee having sufficient combination of knowledge, skills, experience, and behaviours to properly carry out their roles within the Company. In the context of an incident investigation, a competent Investigation Team Leader is one who:

- is trained and competent in applying incident fact finding and analysis tools.
- has previous experience in comparable scale investigations.
- is skilled in effective management of a small investigation team; and
- is able to act as liaison between senior management and the investigating team.

A competent Investigation Team should:

- have one or more members who have attended formal incident investigation training and have previous experience in incident investigations.
- possess collective managerial, technical, and investigative skills; and
- have access to specialist consultants, advisors or technical personnel, and legal advice as required.

Containment Plant or equipment used to mitigate the initial uncontrolled release of energy and/or hazardous substances.

Critical Fault Any fault which would prevent that SHE critical protective device from operating on demand.

Environmental Impact Descriptors Detailed definition for environmental impact descriptors is provided in Appendix C Environmental Impact Classification.

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ESQCR (Electricity Safety, Quality and Continuity Regulations)	ESQCR Regulation 31 requires SSE to report any event whereby a third-party contact our electrical network. Events likely to be reported are: • Fatalities from electric shock when contacting our network. • Injury including electric shock and burns from our network. • Contacting an overhead line reducing its clearance without injury from the network. • Fire, explosion, or implosion contacting our network. • Fatality from the presence of energy on the customers' side of supply terminals • Damaging underground cables without injury or death. The network comprises any overhead lines, underground cables and Company fuse, cables, and metering. These events do not apply to SSE staff or contractors working on our behalf on our network.
Fatality	The death of any person arising out of or in connection with work; including where the deceased has suffered a reportable injury which is the cause of death within one year of the accident date.
First Aid Injury	An injury which requires simple medical treatment that is self-administered or by a first aider, doctor or nurse but does not result in lost time or long-term medical care. These include: • using a non-prescription medication at non-prescription strength. • tetanus immunisations. • cleaning, flushing or soaking wounds on the surface of the skin. • wound coverings such as bandages, Band-Aids, gauze pads etc. or using butterfly bandages or steri-strips. • use of surgical glue as a precaution to prevent infection - Note: If the surgical glue is being used to seal the surface of a minor wound to keep the wound clean and prevent infection then this is First Aid. If the surgical glue is being used to close a wound i.e., as a substitute for a suture or staple then this is a Medical Treatment Injury • hot or cold therapy • non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc. • using temporary immobilisation devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards, etc.) • drilling of fingernail or toenail to relieve pressure or draining fluid from a blister. • using eye patches. • removing foreign bodies from the eye using only irrigation or a cotton swab. • removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means. • using finger guards e.g., tubular dressing, or stalls. Use of a finger guard providing rigid support is a Medical Treatment Injury. • massages other than physical therapy and chiropractic treatment. • drinking fluids for relief of heat stress; or • tick-bites, whether treated with antibiotics or not, however a diagnosed case of Lyme disease acquired at work is a reportable occupational disease under RIDDOR. Lyme disease can cause a circular rash around a tick bite and flu-like symptoms although a blood test may be required to confirm the diagnosis.

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Hazard	A hazard is a condition or a situation which has the potential to cause harm to people, environment, assets, or SSE's reputation. It is important to remember that "nothing has happened, and no harm has occurred". Typical examples include: • slip or trip hazards in the work area • vehicles parked in contravention of accepted practice • damaged or unsecured walkways or scaffold at height • unsecured excavations • damaged/missing handrails or machinery guards • unsecured objects likely to fall • equipment out of test date • operating plant outside the operating envelope • bare electrical conductors which are live • fire hazards such as storage of gas bottles near hot surfaces, waste build-up, flammable dust build-up etc. • health hazards such as dead pigeons, food waste, high dust levels, soiled equipment, hypodermic needles etc. • environment e.g., un-bunded oil storage, rainwater in a bund, or waste deposited in the wrong container.
High Potential event (HiPo)	An event with the realistic potential to cause major harm to People, the Environment, Asset or SSE's Reputation (potential PEAR Impact Level 4, fatality, process safety, RTC or environmental incident). An assessment of a HiPo should consider the event under different circumstances that might easily have resulted in a fatality, significant damage to the environment or an asset. In most cases an incident would be considered a HiPo where there is just one instance of good fortune, such as a change to the timing of the event, location or proximity to people had been different then the incident severity would have been at Level 4 (Major). The assessment of a HiPo is subjective – in situations where the assessment is in the balance then it should be referred to the SHE Director to ensure consistency.
Incident	An incident is defined as being any unplanned and/or undesired event which leads to or has the potential (near hit) to cause harm to either: • Persons e.g., injury or ill health to employees, contractors, or members of the public. • Environment e.g., pollution of air, land, or water. • Asset e.g., plant, apparatus, equipment, property. • Reputation of the Company e.g., adverse reaction by media, investors. Typical examples include: • any reportable dangerous occurrence. • a chemical, hazardous substance, or oil spill. • pressure relief valve lift. • loss of containment e.g., release of steam, gas, or fluid under pressure. • fires/explosion. • incorrect classification of waste on transfer note. • road traffic collision. • collapse of pole / tower structure. • operation of safety trip devices which shut plant down. • damage to buried services e.g., electric, gas, water, telecoms etc; or • property damage e.g., barriers, buildings.

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<i>Incident - Outside Work</i>	This is an incident which has happened to an employee, while not at work and includes: • voluntary participation in exercise, wellness programmes or a fitness/recreational activity. • the employee is present as a member of the public at the time of the illness or injury. • injury or illness is solely the result of an employee doing unauthorised personal tasks (unrelated to their employment) at the location outside of the employee's assigned work hours. • signs or symptoms of illness or injury at work but result solely from a non-work-related event or exposure that occurred outside the work environment; or • the injury or illness is solely the result of self-medication for a non-work-related condition or is intentionally self-inflicted (note: injuries sustained as a result of the failure or malfunction of equipment or facilities provided by the employer are considered work related). The SHE Director is required to approve a non-work-related classification that occurs on work premises or during work time.
<i>Incident – Work-related</i>	An incident is work related if the event or exposure leading to the illness or ill-health takes place on Company premises or Company business. A case is presumed work related if: • an event or exposure in the work environment is a discernible cause of the injury or illness or of a significant aggravation to a pre-existing condition • the way the work was carried out • any machinery, plant, substances, or equipment used for the work; or • the condition of the site or premises where the accident happened, and for • marine incidents on third-party vessels where the activity is directly related to the work scope of the project and occurs in the CDM zone. Routine vessel maintenance is excluded.
<i>Injury</i>	Harm to someone's body. Usually, the result of contact with a source of energy or substance, which is above the threshold limit of the body. This could either be an immediate reaction e.g., cuts or delayed ill-health effects.
<i>Joint Venture Operator (JV Operator)</i>	The partner in a Joint Venture (JV) that is defined as the JV operator with clearly specified responsibilities and liabilities for SHE. Where a JV is created as a distinct legal entity and legally separate from the partners that own them, the JV may be responsible for managing its own operations (be 'self-operating') or one of the partners is specified in the JV formation agreements as the JV 'operator'. For a JV where SSE is the Operator, SSE are responsible for investigating, recording, and reporting all incident that occurs within the CDM zone for the work scope, at the construction site, or is part of the SSE contracted work. Hours worked will contribute to determination of TRIR or AFR. Where SSE is not the Operator then SSE is not responsible for investigation, recording, or reporting an incident, and hours worked do not contribute to the determination of Contractor TRIR or AFR. Learnings from serious incidents should be shared with SSE.
<i>Just Culture</i>	A culture in which employees are not punished for actions, omissions or decisions taken by them which are commensurate with their experience and training, but where gross negligence, wilful violations and destructive acts are not tolerated.

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<i>Lost Time Injury</i>	Any injury arising from a work-related incident which is not reportable but results in an absence from work less than eight days (UK, less than 4 days in RoI/NI). The first day of absence starts from the day after the incident and is continuous thereafter. Saturdays and Sundays are always included even if they are not part of a normal working week. For SSE incident recording, 'Minor' impact is a Lost Time Injury of 1-3 days and 'Serious' impact >3 (4-7) days.
<i>Lost Time Injury - Reportable</i>	Where any person at work is incapacitated for routine work for more than seven consecutive days (excluding the day of the incident) because of an injury resulting from a work-related incident. A report to the relevant enforcing authority is required as soon as practicable and in any event within 15 days of the incident. In the Republic of Ireland/Northern Ireland, a work-related injury that results in the employee being unable to carry out their normal work duties for more than three consecutive days, excluding the day of the incident. In the Republic of Ireland non-fatal accidents should be reported to the HSA within ten working days of the event.
<i>Marine Incidents</i>	An incident in the marine environment which includes: • any 30-minute rule events. • incidents involving vessels e.g., collisions or near hits. • incidents involving helicopters including refuelling and procedural non-compliance; and • incidents involving personnel transfer (include those which wouldn't be reported otherwise as occurrence during personnel transfer raises the potential).
<i>Medical Treatment Injury</i>	Management and care of a patient to combat disease or disorder but does not result in a lost time injury. It DOES include: • using prescription medications or non-prescription medications at prescription strength on the recommendation of a physician or other licensed health care professional • administering immunisations e.g., Hepatitis B or rabies • wound closing devices such as sutures, staples, surgical glue etc. • devices with rigid stays or other systems designed to immobilise parts of the body; or • physical therapy or chiropractic treatment for a work-related injury. It DOES NOT include: • visits to a physician or other licensed health care professional solely for observation or counselling • the conduct of diagnostic procedures, such as x-rays and blood tests, including the administration of prescription medications used solely for diagnostic purposes (e.g., eye drops to dilate pupils) • exercise recommended by a health care provider for employees who do not exhibit signs or symptoms of an injury or illness; or • first-aid.

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Near Hit	A near hit is any incident which could have resulted in a work-related accident but did not either by chance or timely intervention. Typical examples include: • a chemical, hazardous substance, or oil spill. • an object falling from a height. • stepping into the path of a moving vehicle. • commencing works on incorrectly identified plant and equipment; or • observed dangerous behaviour (unsafe acts). For SSE SHE performance reporting Near Hits are SEAR Incidents where the actual outcome for people is 'No Effect'.
NIS Directive	The EU Security of Networks & Information Systems (NIS) Directive addresses the cyber security threats posed to network and information systems. SSE is an Operator of Essential Service (Transmission, Distribution, Thermal Energy, Gas Storage, and SSE Renewables) and need to report potential cyber events in the same way as any other major incident.
No Treatment Injury	An accident under which no treatment was required but physical pain has been endured. Typical examples include minor slips or trips, struck by object, bump to head etc.
Offshore/Inland waters	For environmental incident classification: Offshore comprises sea areas more than three nautical miles from the coast. Inland waters include any area of water not categorised as "sea" – for example, canals, tidal and non-tidal rivers, lakes, harbours, and lochs.
Oil or chemicals	For environmental incident classification: Reference to oil describes oil, diesel and similar products that have the potential to harm the environment. Reference to chemicals describes chemical products (including solids that have become waterborne) that by virtue of their properties may cause pollution and environmental harm.
Permit	For environmental incident classification, 'Permit' is a generic term for environmental and planning authorisations, permissions, consents, and licences. The term includes PPC authorisations, Environmental Permits, Industrial Emissions Licences, CAR licences, abstraction licences, wildlife licences, planning permissions, Electricity Act section 36&37 consents, discharge consents, waste management licences and waste carrier registration.
Positive Observation	A pro-active behaviour, measure taken, suggestion or other opportunity that improves Safety, Health, or Environment performance. Positive Observations can be record in SEARS.
Pre-existing injury	A pre-existing condition is an injury or illness resulting solely from a non-work-related event or exposure. A pre-existing condition is not where an employee has experienced a recorded injury or illness of the same type which affected the same part of the body but had recovered completely (i.e., all signs and symptoms had gone, and the employee was performing the full range of normal duties).
Process Safety	Focusses on prevention of major accidents that typically have low probability of occurrence, however with major impact. Process Safety is concerned with the prevention of harm to people, the environment, and assets from major accidents such as fires, explosions, loss of containment of substances (both hazardous and otherwise) and release of stored energy (including electrical, kinetic, and potential energy).

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Process Safety Incident

An unplanned event which, either results in, or has the potential to cause an injury (including illness), environmental impact, asset damage or reputational impact through:

- any loss of containment of a substance
- any release of stored energy
- any loss of structural integrity; or
- any potential for fire, explosion associated with a process.

Process Safety Incidents can be with SSE staff and/or with contractors working on SSE sites or joint ventures (where SSE has operational control). Typical Process Safety Incidents include:

- loss of containment of substances with potential for fire and explosion.
- loss of pressurised or high-temperature containment (e.g. steam, SF₆) with potential for personal injury.
- loss of structural integrity of assets.
- significant unplanned event involving process plant e.g., fires involving bunker, transformers, or turbine, dropped straddle into well, major failure of primary containment even if contained, process plant struck by falling object; or
- in-service failure of HV & EHV components e.g., arcing, explosion etc.

Control measure / Key barrier failures

- initiation (inadvertent or intentional) or failure to initiate final layer of protection that prevents uncontrolled release of energy and/or hazardous substance e.g. Relief device, Bursting discs, ESD / HIPPS, well control safety device.
- activation (inadvertent or intentional) of Active Fire Protection.
- prolonged breaching of operational limits (e.g. exceeding rate of rise); or
- failure of secondary containment.

Procedural/Human Factors related

- failures of Safe System of Work (SSoW) involving isolations, interlock system, ignition source controls associated with substance containment or stored energy systems.
- uncontrolled / unauthorised inhibit to electrical, mechanical or control system SHE critical device which prevents its operation on demand.
- inability to manage alarm conditions in control room; or
- failure to complete task according to SHE critical procedures.

Escalation

- any incident or underlying condition that has the potential to cause or substantially contribute to the development of a major accident. For example, Untrained personnel completing SHE critical procedure, identified structural failure in blast walls, or Cyber security failures in relation to control systems.

Process Safety Incident Rate

Process Safety Incident Rate (PSIR) is the Recordable Process Safety Incident rate per 100,000 hours worked.

$$\text{PSIR} = \frac{\text{Number of Recordable Process Safety Incidents} \times 100,000 \text{ hours}}{\text{Hours worked (SSE + contractor)}}$$

Recordable Injury

Used for TRIR calculation. These are any Reportable Injuries, Lost Time Injuries and Medical Treatment Injuries.

Recordable Process Safety Incident

Used for PSIR calculation. These are any Process Safety Incidents at Level 3 or above (see Appendix B).

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Reportable Dangerous Occurrences	A dangerous occurrence that has been specified by the national statutory body for health and safety legislation. Users should refer to appropriate guidance for their country of operation: • UK - Health and Safety Executive (HSE) under RIDDOR; or • RoI - Health and Safety Authority (HSA), "General Application Regs" and Safety, Health and Welfare at Work (General Application) (Amendment) (No.3) Regulations 2016.
Reportable Diseases	A reportable disease that has been specified by the national statutory body for health and safety legislation. Users should refer to appropriate guidance for their country of operation: • UK - Health and Safety Executive (HSE) under RIDDOR; or • RoI - Health and Safety Authority (HSA), "General Application Regs"
Reportable Major Injury	For England, Scotland, and Wales an injury or condition specified as: • fractures, other than to fingers, thumbs, and toes. • Amputations. • any injury likely to lead to permanent loss of sight or reduction in sight. • any crush injury to the head or torso causing damage to the brain or internal organs. • serious burns (including scalding) which: ○ covers more than 10% of the body; or ○ causes significant damage to the eyes, respiratory system, or other vital organs. • any scalping requiring hospital treatment. • any loss of consciousness caused by head injury or asphyxia. • any other injury arising from working in an enclosed space which: ○ leads to hypothermia or heat-induced illness; or ○ requires resuscitation or admittance to hospital for more than 24 hours. For Northern Ireland, an injury or condition specified as: • fracture other than to fingers, thumbs, or toes. • Amputation. • dislocation of the shoulder, hip, knee, or spine. • loss of sight (temporary or permanent). • chemical or hot metal burn to the eye or any penetrating injury to the eye. • injury resulting from an electric shock or electrical burn leading to unconsciousness or requiring resuscitation or admittance to hospital for more than 24 hours. • unconsciousness caused by asphyxia or exposure to harmful substance or biological agent. • acute illness requiring medical treatment, or loss of consciousness arising from absorption of any substance by inhalation, ingestion or through the skin. • acute illness requiring medical treatment where there is a reason to believe that this resulted from exposure to a biological agent or toxins or infected material; and • any other injury leading to hypothermia, heat induced illness or to unconsciousness; or requiring resuscitation; or requiring admittance to hospital for more than 24 hours. For the Republic of Ireland any accident occurring at a place of work as a result of which any person carrying out work is prevented from performing his normal work for

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	more than three consecutive days, excluding the day of the accident, but including any days which would not have been working days. In the case of any person who is not at work but who as a result of an accident related to a place of work, or a work activity suffers any injury or condition as a result of an accident which results in the person requiring treatment from a registered medical practitioner or in a hospital.
RIDDOR	Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013.
Road	A road refers to a public highway used for travel and transportation and within SSE is taken to mean roads which are maintained by public bodies such as councils, highways agency, local authority etc. It does not include other roads such as roadways on large sites, access roads across country to remote sites, construction site access tracks etc.
RTC	Road Traffic Collision (RTC) are work-related when involving a company vehicle whilst on business or arising out of, or in connection with work. A Company vehicle is any car, van, lorry or any form of transport that operates on public roads; this includes pool cars, hire cars, company cars, cars purchased under the Car Ownership Scheme or cars bought under the cash alternative scheme, or personal vehicle. A work-related RTC involving a company vehicle, excludes any regular commute to, or from, an employee's permanent workplace. Where a work-related RTC results in Medical Treatment Injury or Lost Time Injury, the incident will be reported and recorded as both a RTC and a Medical Treatment or Lost Time Injury as appropriate.
RTC Class 1	Potential for Major harm to people and the environment These are incidents involving an SSE member of staff with a high potential for major injury and are normally defined by the following: • when someone requires Medical Treatment. • vehicle (SSE or third party) completely leaves the road or overturns. • when the SSE driver loses control of the vehicle. • significant damage to vehicle (SSE or third party) which as a result is unsafe to drive or requires to be towed or transported from the scene. • vehicle roll-away of >3m or vehicle roll-away results in any of the above. • trailer or load being towed (SSE or third party) leaves the road, overturns, or becomes detached; or • items fall from a moving vehicle, trailer or load being towed.
RTC Class 2	Potential for Serious harm to people and the environment These are incidents where the SSE vehicle is in motion and are normally defined by the following criteria: • when someone requires first-aid treatment. • vehicle (SSE or third party) partially leaves the road. • moderate damage to vehicle (SSE or third party) - including body work repairs; or • damage to SSE vehicle following large animal strike (deer, horse, cow, ass, mule, pig, sheep, goat, or dog).
RTC Class 3	Incidental damage – vehicle in motion These are incidents where the SSE vehicle is in motion and are normally defined by the following criteria: • minor damage to vehicle (SSE or third party) – including wing mirror(s) and paintwork. • damage to SSE vehicle following small animal or bird strike; or • damage to SSE vehicle when temporarily stationary.

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RTC Class 4	Incidental damage – vehicle parked These are incidents where the SSE vehicle is parked.
SEARS	Safety and Environmental Awareness Report System (SEARS). An individual record is often referred to as a SEAR.
SHE Critical	Consequences of failure or malfunction may result in or prevent the mitigation of Major impact on People, Environment, Asset and Reputation (PEAR). This equates to Level 4 severity or above as defined in MS-SHE-003, SHE Risk Management. Typically applied to plant, equipment, component, processes, information, training, instruction, supervision, communication, documents, or tasks.
Significant	A significant Incident is an incident with an impact level of 2 (Minor) or above across any of the PEAR categories. A potentially significant incident is an incident with a potential impact of level 3 (Serious) or above across any of the PEAR categories.
Significant aggravation	A significant degree of aggravation is required before a pre-existing injury or illness becomes work related. A pre-existing injury or illness has been significantly aggravated, when an event or exposure in the work environment results in any of the following: • loss of consciousness or death, provided that the pre-existing injury or illness would not have resulted in death or unconsciousness, but for the occupational event or exposure. • medical treatment in a case where no medical treatment was recorded for the injury or illness before the workplace event or exposure, or a change was necessitated by the workplace event or exposure; or • one or more days away from work, or days of restricted work, or days of job transfer, that otherwise would not have occurred but for the occupational event or exposure. Whilst not part of the definition, determination of significant aggravation may require review of diagnostic or clinical findings, or objective test results.
TRIR	Total Recordable Injury Rate (TRIR) is the Recordable Injury rate per 100,000 hours. TRIR = $\frac{\text{Number of Recordable Injuries} \times 100,000 \text{ Hours}}{\text{Hours worked}}$
Unexpected challenges to asset integrity	Events or situations arising which could compromise the asset integrity, examples: • operating beyond safe operating limits (not normal operating limits), • failures of agreed SSOW detected during maintenance or commissioning, or • unexpected or greater than expected faults detected during inspection, testing, or maintenance.

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Supporting documents

MS-SHE-011	Management Standard – Emergency Planning and Response
FO-SHE-010-003	Form – Incident Investigation Form - Template
FO-SHE-010-008	Form – Witness statement
FO-SHE-010-013	Form – Incident Response - checklist
RF-SHE-426	Reference – SSE Just Culture
TB-MS-SHE-010-002	Training brief – Process Safety Incidents
CA-SHE-010-001	Risk Card – Reporting SHE incidents under the 30-minute rule

Reference

SI-2013/1471	SO	The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
SI-2002/2665	SO	The Electricity Safety, Quality and Continuity Regulations 2002
SI 1993/44	DAIL	Safety, Health and Welfare at Work (General Application) Regulations 1993
SI-2016/370	DAIL	Safety, Health and Welfare at Work (General Application) (Amendment) (No. 3) Regulations 2016
website	HSE	Guidance on the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013
HSG245	HSE	Investigating accidents and incidents
INDG453	HSE	Reporting Accidents and Incidents at Work
HSA0451	HSA	Guidance on the Safety, Health and Welfare at Work (Reporting of Accidents and Dangerous Occurrences) Regulations 2016
1904	OHSA	1904 - Recording and Reporting Occupational Injuries and Illness

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Appendix A – PEAR Impact Levels

No.	Descriptor	People	Environment	Asset	Reputation
4	Major	- Fatalities - Serious disability	- Major environmental Impact - Major Permit breach	- Damage to key operational component - Disruption to operation (<1 year)	- Regional media coverage - Prohibition notice or similar/Business unit prosecution
3	Serious	- Reportable Injury - Reportable disease	- Serious environmental impact - Serious Permit breach - Prohibited activity	- Damage to major item - Disruption to operation (<1 month)	- Prolonged local media coverage - Other enforcement 'notice' from SHE Regulator
2	Minor	- Medical Treatment Injury - Lost Time Injury (Not Reportable)	- Minor environmental impact - Minor Permit breach	- Damage to large stock item - Disruption to operation (< 1 week)	- Local media coverage - Fee For Intervention (material breach) or equivalent from SHE Regulator
1	Incidental	- First-aid injury - No treatment accident	Incidental environmental impact	Damage to small stock Item	- Complaints from neighbours - Informal corrective action from SHE Regulator
0	None	No Effect	No Effect	No Effect	No Effect

- Note 1 – Cells across each row are not equal impacts e.g., “first aid” does not equal “Incidental Environmental Impact”.
- Note 2 – Items within a cell are equal impacts and to satisfy that impact level only one criterion needs to be met.
- Note 3 – Minor impact level for People includes Non-reportable Lost Time Injury events; the duration of absence to make the incident Reportable (Serious impact level) varies, in the UK this is more than 7 days and Republic of Ireland more than 3 days.
- Note 4 – Additional information on incident classification for Environmental incidents is included in Appendix C.

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Appendix B – Process Safety Incident Levels

PS Level *	Category	Process Safety Incidents	Record system
6	Catastrophic	Catastrophic process safety incident leading to impact ranking 6* High potential process safety incident which could lead to a catastrophic incident.	Escalation 30 minute rule SEARS
5	Severe	Severe process safety incident leading to impact ranking 5* High potential process safety incident which could lead to a severe incident.	
4	Major	Major process safety incident leading to impact ranking 4* High potential process safety incident which could lead to a major incident. In service failure on demand of an electrical, mechanical or control system SHE critical protective device. In service failure on demand of fire, explosion or gas detection and protection equipment.	
3	Serious	Serious process safety incident leading to impact ranking 3* High potential process safety incident which could lead to a serious incident. Reportable process safety incident. Critical fault on electrical, mechanical or control system SHE critical protective device detected during testing or Critical fault on fire, explosion or gas detection and protection equipment found during testing or inspection.	
2	Minor	Minor process safety incident leading to impact ranking 2* Not reportable but uncontained process safety incident. In service operation of an electrical, mechanical or control system SHE critical protective device. In service operation of fire, explosion or gas detection and protection equipment.	Site system (as appropriate) e.g. SEARS Maximo Excel OPRA Log EFOR
1	Incidental	Incidental process safety incident leading to impact ranking 1* Not reportable but contained process safety incident. False operation of an electrical, mechanical or control system SHE critical protective device. False operation of fire, explosion or gas detection and protection equipment. Unexpected challenges to asset integrity detected during operation, inspection or maintenance.	

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Appendix C – Environmental Impact Classification

Impact Ranking	Permit or Licence breach	Environmental Impact - No Permit	Report to Regulator
Catastrophic	Impact of international environmental significance		
Severe	Impact of national environmental significance		
Major	Significant breach of limit (more than one gross breach - more than 20% of emission limit or >1 pH unit) Planning condition breach giving rise to formal enforcement action Prohibited activity (undertaking activity without permit) giving rise to formal enforcement action	• Damage to ecosystem over 1km (water) or 1 km² (land) • Fish kill >100 • release >10,000 litres of oil or chemicals to land • releases >100 litres of oil or chemicals to inland waters • releases >1,000 litres of oil or chemicals to offshore waters • materially discolours a watercourse over 3km • releases >50kg SF₆	Permit – Mandatory Non-Permit - Mandatory
Serious	Single gross breach (more than 20% of emission limit or >1 pH unit) of limit Frequent and repeated minor limit breach Planning condition breach giving rise to multiple complaints and/or regulatory intervention Prohibited activity (undertaking activity without permit)	• Damage to ecosystem <1km (water) or <1 km² (land) • Fish kill >10 - <100 • affects Protected Species or their habitats • releases >100 - 10,000 litres of oil or chemicals to land • releases >10 - 100 litres of oil or chemicals to inland waters • releases >100 - <1,000 litres of oil or chemicals to offshore waters • materially discolours a watercourse >100m - <3km • systematic failure of waste management systems • involves hazardous / special waste • releases >10 -50kg SF₆	Permit – Mandatory Non-Permit - Mandatory

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Minor	Minor limit breach (less than 10% of the emission limit or <1 pH unit) Planning condition breach Breach of permit/licence condition not related to emission limit values	- Limited and localised damage to ecosystem <10m (water) or <10 m² (land) - Fish kill <10 - gives rise to an isolated Valid Complaint - releases >10 - <100 litres of oil or chemicals to land - releases >1 - 10 litres of oil or chemicals to inland waters - releases >10 - <100 litres of oil or chemicals to offshore waters - materially discolours a watercourse >10m – 100m - releases 5 - 10kg SF₆ - isolated waste management incident not involving special / hazardous waste - is not easily recoverable	Permit – Mandatory Non-Permit – Mandatory if oil/substance released can impact watercourse or sensitive habitat, otherwise Voluntary
Incidental		- is not classified as Minor or more severe; and - has limited material impact; and - is easily recoverable; and - does not cause Valid Complaints	Non-Permit – reporting not required

Notes

Where the release of oil or chemicals is contained in an engineered bund, hard standing, contained surface water drainage system served by an interceptor (and does not enter surface waters, sea or public/municipal drainage systems), preventing the release of oil or chemicals to ground or the environment, and is fully recoverable, the impact classification can be reduced by one level.

For any offshore incidents located within or in close proximity of a protected site (e.g. Special Protection Area, Special Area of Conservation, Marine Protected Area, Marine Conservation Zone), consideration should be given to the spill quantities and potential impacts on the designating features of the protected sites (e.g. seabirds, benthic habitat, marine mammals etc). In such cases the impact classification can be increased by one level.

A valid complaint is a complaint from a Stakeholder leading to regulatory intervention or damage to reputation.

Major environmental incidents will result in one or all of the following - major environmental impact and/or major permit breach and/or formal regulator intervention and/or potential to damage SSE's reputation.

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Appendix D – Equivalence of definitions for international jurisdictions

Specific incident classifications in this Management Standard are based on UK or RoI legislation or guidance, the table below provides equivalent definitions for incidents for internal reporting purposes.

SSE classification	Where used?	International jurisdiction - definition used for SSE reporting
Reportable Injuries	TRIR and AFR	An injury that involves: - fractures, other than to fingers, thumbs, and toes. - Amputations. - any injury likely to lead to permanent loss of sight or reduction in sight. - any crush injury to the head or torso causing damage to the brain or internal organs. - serious burns (including scalding) which covers more than 10% of the body or causes significant damage to the eyes, respiratory system or other vital organs. - any scalping requiring hospital treatment. - any loss of consciousness caused by head injury or asphyxia; or - any other injury arising from working in an enclosed space which leads to hypothermia or heat-induced illness or requires resuscitation or admittance to hospital for more than 24 hours.
Lost Time Injury – Reportable	TRIR and AFR	Any accident occurring at a place of work as a result of which any person carrying out work is prevented from performing their normal work for more than three consecutive days, excluding the day of the accident, but including any days which would not have been working days.
Dangerous Occurrence	Recording of High Potential Incidents (HiPo)	Follow local legislation on what constitutes a Dangerous Occurrence. To be classified as a HiPo, it is any event with the realistic potential to cause major harm to People, the Environment, Asset or SSE's Reputation (potential PEAR Impact Level 4, fatality, process safety, RTC or environmental incident).
Process Safety Incident	SHE Metrics	See definition of Process Safety. Classification of Process Safety Incident levels is provided in Appendix B of MS-SHE-010.
Environment Impact Classification	SHE Metrics	Appendix C of MS-SHE-010.