

**EVENT NOTIFICATION
AND
RESPONSE MANAGEMENT PLAN**

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1. INTRODUCTION

The purpose of this document is to provide guidance to Service Providers on notification to the Regulated Industries Commission (RIC) of incidents and events, which by their nature have affected or are likely to have adverse affect on consumers. In addition, it will outline a systematic and consistent procedure for both the Service Provider and the RIC to follow on the occurrence of incidents and events.

The Event Notification And Response Management plan also seeks to ensure that consumers are informed on a timely basis of the occurrence, and findings of investigation on incidents and events.

The RIC intends, to implement this procedure with the cooperation of Service Providers. However, it must be noted that **any request by the RIC for the Service Providers to furnish information is enforceable under Part VII, Sections 57-60 of the RIC Act 1998.**

The remainder of the document is organized as follows:

- *Section 2* discusses the provision of information by Service Providers;
- *Section 3* provides some working definition of key words/concepts; and
- *Section 4* highlights how the RIC will respond to the occurrence of incidents and events

2. PROVISION OF INFORMATION

A. Service Providers in the Water Sector

A Service Provider shall notify the (RIC) of:

- (i) the occurrence of any event, which by reason of its effect or likely effect on the quality or sufficiency of water supplied by it, gives rise or is likely to give rise to a significant risk to the health of persons to whom the water is supplied.
- (ii) any reports of disease/illness in the community which might possibly be associated with a water supply.
- (iii) any other matter relating to the supply of water which
 - is of national significance; or
 - has attracted or is likely to attract significant local publicity; or
 - has attracted or is likely to attract significant media attention or interest.

B. Service Providers in the Electricity Sector

A Service Provider shall notify the (RIC) of:

- (i) the occurrence of any event, which by reason of its effect or likely effect on the supply of electricity gives rise or is likely to give rise to a significant risk to the health/safety of persons to whom electricity is supplied.
- (ii) any other matter relating to the supply of electricity which
 - is of national significance; or
 - has attracted or is likely to attract significant local publicity; or
 - has attracted or is likely to attract significant media attention or interest; or
 - has caused losses or damage or is likely to cause significant damage to equipment/appliances or losses to persons to whom electricity is supplied.

C. Media and the General Public

Information on events submitted to the RIC by the media/members of the public will first be verified with the service provider before the commencement of the official notification process.

3. DEFINITIONS

Event - any occurrence which by its nature is required to be reported under the RIC Act Section 57. Since it is not possible to provide an exhaustive list of situations that are regarded as events, Service Providers will have to use their judgement in any particular set of circumstances. Some examples are provided in **Appendix I**.

Incident - an event which by reason of its effect or impact, is considered worthy of further investigation, and which requires subsequent reports to be submitted.

Non-incident- all other events not classified as an incident.

The term '**significant**' is used frequently. It is not possible to give a precise definition of its meaning as that will depend on the particular set of circumstances. Generally, it should be taken to mean higher than normal levels of activity or concern. This will depend on the normal background level and the particular circumstances of the event being considered. Service Providers will need to exercise judgement. The terms 'unexpected' and 'unusual' are also used and they should be interpreted pragmatically.

4. NOTIFICATION AND SUBMISSION OF REPORTS

A. Notifying the RIC

- (i) Service Providers must notify the RIC by **telephone** (see (c) below) or other appropriate means:
 - In the case of the water sector, of all events within four (4) hours of the occurrence;
 - In the case of electricity sector, of all events within two (2) hours of the occurrence;
- (ii) The notification process is outlined in **Appendix II.A**.

B. Submission of Reports

- (i) If the RIC deems the event to be a significant one and considers it to be an incident, the Service Provider must:
 - submit an **interim report** within 3 working days (**See Appendix IIB for information requirements**).
 - submit a **final report** within 10 working days (**See Appendix III for information requirements**).

C. Officers to be Informed

- (i) Officers at the RIC to be informed about events:
 - During normal working hours Monday – Friday: 8:00 am – 5:00pm
 - Communications Coordinator
 - Executive Director
 - Deputy Executive Director
 - Assistant Executive Director

- (ii) On evenings and weekends:

A duty personnel will be appointed and a duty roster will be submitted to the Service Providers, indicating the relevant contact person from the RIC for the period.

D. Contact for the Service Provider:

A duty roster should be submitted by the Service Provider by the last working day of the month detailing the relevant contact persons.

RIC'S RESPONSE

A. Within twenty-four (24) hours of receiving the Initial Report on the event the RIC will:

- (i) determine whether a site visit is required;
- (ii) ascertain what other relevant agencies need to be contacted;
- (iii) determine whether to issue a press release with initial details or hold a press conference.
- (iv) determine if an internal/independent investigation is required by RIC and/or by independent body.

B. Within five (5) working days of receiving the Interim Report the RIC will:

- (i) hold internal meetings to analyse the interim report and determine strategies to pursue.
- (ii) inform the service provider, whether :
 - the event has been defined as an incident and a final report is required; or
 - the event has been defined as a non-incident and no further action is required by the service provider; or
 - the service provider has provided insufficient information to classify the event and a final report should be submitted.
- (iii) determine if an internal/independent investigation is required by RIC and/or by independent body.
- (iv) determine whether to issue a press release or hold a press conference.

C. Within ten (10) working days of receiving the Final Report the RIC will:

- (i) hold internal meetings to analyse the final report and determine strategies to pursue.
- (ii) determine if further investigation is required and initiate such action.
- (iii) inform the Service Provider in writing of our findings and/or recommendations on the basis of information received.
- (iv) monitor to ensure the Service Provider implements action,
- (v) facilitate compensation to affected customers where appropriate.
- (vi) determine whether to issue a press release or to hold a press conference.

A Flow Diagram of the Event Notification And Response Management Plan is shown in Appendix IV.

EXAMPLES OF EVENTS THAT REQUIRE NOTIFICATION – WATER SECTOR

- (a) Any situation leading to a significant and unexpected or unusual deterioration in the quality of the water (parameters not easily identifiable to consumers) entering supply or in supply;
- (b) Any situation leading to a significant and unexpected loss of supply of water;
- (c) Any situation leading to a significant deterioration in the aesthetic quality of the water supplied and resulting in consumer concerns (e.g. taste/odour; discolouration);
- (d) The issue of an advisory to boil water (except when issued prior to carrying out pre-planned work);
- (e) The issue of an advisory to refrain from using water (except when issued prior to carrying out pre-planned work);
- (f) Any significant failure of disinfection equipment, whereby water which has not been subjected to the service provider's normal operational level of disinfection may have left a water treatment works;
- (g) Any failure of electrical and mechanical equipment which results in extended loss of water supply to a significant proportion of the population supplied;
- (h) Any risk to health whether affecting occupants of a single property or more than one property;
- (i) Any occurrence leading to health/safety hazards affecting persons (staff and the public) due to work undertaken by the service provider;
- (j) An unexpected deterioration in quality of a raw water source leading to a deterioration in the microbiological or chemical quality of treated water;
- (k) A significant loss of supplies and/or potential depressurisation of part of the distribution system (e.g. major burst main; unexpected emptying of a service reservoir; or depressurisation as a result of the operation of booster pumps);
- (l) Significant publicity related to drinking water service and water quality issues;
- (m) Accidents occurring within the service provider's distribution network or treatment works which lead to significant and unexpected loss of supply of water or deterioration in water quality; and
- (n) *Force Majeure* events. See Appendix 1C.

EXAMPLES OF EVENTS TO BE NOTIFIED – ELECTRICITY

- a) Any failure of electrical and mechanical equipment which results in extended loss or deterioration of electricity supply to a significant proportion of the population supplied;
- b) The occurrence of an electrical fire at a substation or generating station.
- c) Any risk to life or injury to persons or any occurrence leading to health/safety hazards affecting persons (staff and the public) due to work undertaken by the service provider;
- d) An event or sequence of events leading to a significant and unexpected or abnormal deterioration in the quality of the electricity supply for a sustained period, causing damage to customers' equipment and/or electrical appliances;
- e) Accidents occurring within the service provider's Transmission or Distribution network or Generating stations which lead to significant and unexpected loss of supply of electricity or deterioration in quality of electricity supply;
- f) The issue of advisory to refrain from using electricity (load shedding) (except when issued prior to carrying out pre-planned work); and
- g) *Force Majeure* events. See Appendix 1C.

NOTIFICATION OF “FORCE MAJEURE” EVENTS

“Force Majeure” (FM) refers to events outside of the control of the Service Provider (SP) that may have caused the supply or service to be adversely affected. FM events include (but are not limited to) acts of God, strikes, lockouts, or other industrial disturbances, acts by the public, enemies, wars, blockades, insurrections, riots, landslides, earthquakes, lightning, storms, floods, washouts, civil disturbances, explosions, breakage or accident to machinery, operating equipment or apparatus, and all other causes which the SP is unable to prevent or overcome and which may affect its performance.

FM events that would be unique to T&TEC’s operations as a Transmission and Distribution SP are the breakdown or collapse of the generation system and the failure of the natural gas supply to power stations.

FM events that would be unique to WASA’s operations as a Water Supply and Distribution SP are severe drought and the breakdown of the Desalination Plant at Pt. Lisas.

The SP has the responsibility of informing the Regulated Industries Commission (RIC) of any event that the SP considers appropriate to this category. Once the RIC agrees that it is indeed an FM event, the SP will so advise its customers. It is reasonable to expect that these events will be relatively infrequent and that they will affect large numbers of customers when they do occur.

Notwithstanding these arrangements, the SP is charged with taking all necessary steps to ensure the restoration of normal service as soon as possible.

THE NOTIFICATION PROCESS

Three distinct stages of the Notification Process may be identified as follows:

- 1.1 Initial Notification to the RIC by the SP as soon as possible
- 1.2 Certification of the Events as a FM by the RIC
- 1.3 Notification to affected customers by the SP

Not only is there a clear requirement for this process to be executed as promptly as possible on each occasion, but also a proper record needs to be maintained of the execution.

1.1 **Initial Notification to the RIC by the Service Provider**

Once the SP assesses its inability to ensure the continuity of supply/services because of an event of the nature of those described above, it will notify the RIC of same using any appropriate means of communication.

1.2 **Certification of the event as a FM**

The RIC in turn will certify its acceptance of the application/notification and respond to the persons authorized using the same or any other appropriate communication medium.

In the event that the RIC is not in agreement with the proposed categorization of the event as an FM, it will so indicate giving its reason(s) for refusal.

1.3 **Notification of affected customers**

Notification will be construed as properly made once advertised in at least one daily newspaper. Such notification must be given not later than seven working days following the receipt of approval from the RIC.

Other forms of notification such as posting on its website, etc. will be at the discretion of the SP.

INITIAL NOTIFICATION – INFORMATION REQUIREMENT

INFORMATION REQUIRED AND TO BE SUBSEQUENTLY CONFIRMED IN INTERIM REPORT

Service Provider:

Date of Event:

Notified By:

Date of Notification:

Service Provider Contact

Time of Notification:

Geographical Location:

Brief description of works:

- (a) Nature of event;
- (b) Criteria for notification;
- (c) Which Quality of Service standard has been breached, or is likely to be breached;
- (d) Population affected;
- (e) Is there or could there be a possible risk to public health and safety;
- (f) Any medical, scientific or technical advice received and what action has been taken or will be taken in respect of that advice;
- (g) Likely cause(s) of event;
- (h) Action taken to inform and protect consumers (residential, institutional and business customers included);
- (i) Action which has been or is being taken to rectify the situation;
- (j) Local authorities informed (give names and telephone numbers of contacts);
- (k) Any other organisations informed;
- (l) Any local or national publicity attracted;
- (m) Copies of any notice issued to the press; and
- (n) Any other relevant information.

The interim report must include any further relevant information that has become available since the initial notification, together with copies of notices to consumers where these have not already been provided.

FINAL REPORTING – INFORMATION REQUIREMENT

INFORMATION TO BE SUPPLIED

1. Background description, including details of:

- (a) supply areas and population affected;
- (b) supply source(s) and associated works;
- (c) supply facilities and distribution/transmission system;
- (d) operating procedures, instructions or policies relevant to the event;
- (e) any problems or abnormal occurrences in operation of works, facilities and/or distribution/transmission system experienced prior to the event;
- (f) any relaxation of measures related to the incident;
- (g) any relevant historical analytical data;
- (h) any projects associated with incident; and
- (i) where relevant, a map of the area and diagrams of works, distribution/transmission systems etc.

2. Log of events with times and dates, including details of:

- (a) identifying the supply areas affected or likely to be affected and advisories informing and protecting consumers;
- (b) action taken to restore supply or provide alternative supply;
- (c) liaison with other organisations;
- (d) advice received from medical, scientific or technical experts and any action taken as a result of the advice.

3. Results of all analysis carried out in association with the event.

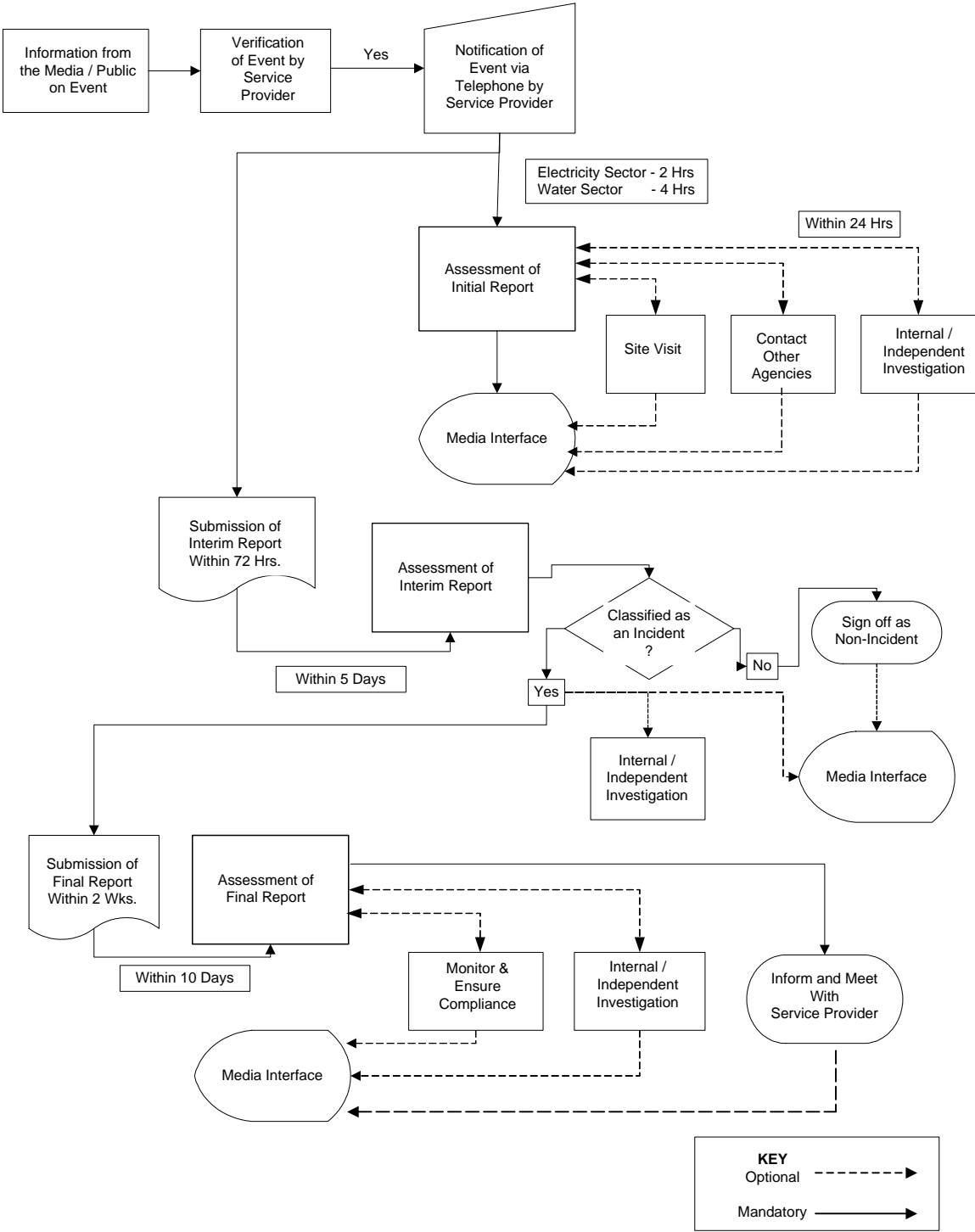
4. Details of investigations into the cause(s) of the event.

5. Discussion where appropriate on:

- (a) the suitability and effectiveness of the action taken;
- (b) analytical systems and methods used;
- (c) whether existing organizational procedures or policies were followed;
- (d) the adequacy of liaison arrangements with other organisations;
- (e) the adequacy of communications with the public;
- (f) potential risk to public health and safety; and
- (g) details of any further action taken or proposed to prevent the event recurring.

6. Copies of any press releases, press reports, information and advice provided to consumers.

EVENT NOTIFICATION AND RESPONSE MANAGEMENT PLAN-FLOW DIAGRAM



REFERENCE

Drinking Water Inspectorate: *Information letters* 13/99-28 July 1999 – obtained from web site:
www.dwi.gov.uk/regs/infolett/1999/info1399.htm