

# Framework Diagram – Reportable Incident & Complaint Investigation

Step	Activity by Responsible Person	Incident / Complaint Management			Senior Approval			Technical Support	Notes <i>(Time recording category: Investigation)</i>
		OSDR Admin	Lead Inspector (HSE or DECC)	Decision Maker (HSE or DECC Team Leader)	Operational Manager (HSE Band 1/ DECC)	Operational Management Team (OMT)	SOB Senior Oversight Board		
<p><b>Dutyholders must inform OSDR about reportable incidents and events in accordance with the OSDR 'Notifying a Reportable Oil and Gas Incident' Process Framework. The available information will be used to initiate the appropriate level of response and, where appropriate, investigation. Investigations should be conducted in a timely manner without undue delay and in accordance with the lead organisation's procedures.</b></p>									
1	<p><b>TAKE INVESTIGATION DECISION</b></p> <ul style="list-style-type: none"> <li>For mandatory investigation or;</li> <li>For non-mandatory investigation; or</li> <li>Not for Investigation</li> </ul>								<p>Allocate an inspector to undertake initial enquires if information is insufficient to enable an investigation decision.</p> <p>All valid complaints are for mandatory investigation and must be investigated in accordance with the following <a href="#">complaints guidance</a>. A complaint is a concern, originating from outside OSDR, in relation to an offshore activity for which DECC or HSE has regulatory jurisdiction, that is sufficiently specific to enable identification of the issue and the dutyholder and/or location and that has caused or has potential to cause a major offshore accident or appears to constitute a significant breach of law.</p> <p>Offshore reportable incidents and events are candidates for mandatory investigation. A major [offshore] accident is defined in Regulation 2 of <a href="#">SCR2015</a> and includes 'significant potential' as well as events with actual consequence. Use <a href="#">HSE's Revised Incident Selection Criteria</a> to take the investigation decision, supported by <a href="#">HSE's Offshore Hydrocarbon Release Investigation Policy</a> and <a href="#">Major Hazard Precursor Events Investigation Criteria</a>.</p> <p>Refer to <a href="#">DECC Enforcement Policy</a> to determine when environmental incidents should be investigated.</p>
2	<p><b>RECORD AND COMMUNICATE INVESTIGATION DECISION</b></p> <ul style="list-style-type: none"> <li>Send Early Day Report / Incident Notification as required.</li> </ul>								<p>Record on COIN the investigation decision, and the reasons for the decision. Include relevant approval authority for not investigating a valid complaint or incident meeting mandatory criteria and for investigating a non-mandatory event.</p> <p>Inform relevant parties and stakeholders using HSE Early Day Report or DECC Incident Notification.</p>
3	<p><b>INITIATE MAJOR INCIDENT RESPONSE</b> (where relevant)</p>								<p>Each agency declares major incident response according to their own internal procedures and communicates with each other on this. <a href="#">HSE's Major Incident &amp; Civil Contingencies Procedure National Contingency Plan</a></p>
4	<p><b>ESTABLISH PRIMACY AND LEAD AGENCY</b></p>								<p>Police might have primacy depending on event. Allocate case to relevant OSDR partner to lead, other party supports as necessary.</p>
5	<p><b>ALLOCATE INVESTIGATING INSPECTOR(S) TO CASE</b></p>								<p>Environmental Inspectors involved in response functions must not be allocated investigative roles.</p> <p>Staff investigating and enforcing must act according to their powers and the appropriate enforcement policy.</p>
6	<p><b>UNDERTAKE INVESTIGATION</b></p> <ul style="list-style-type: none"> <li>Establish reasonable lines of inquiry</li> <li>Collect evidence</li> <li>Consider compliance with relevant statutory provisions</li> <li>Consider and take enforcement action as necessary</li> </ul>								<p>DECC and HSE policies for offshore regulation are aligned; separate OSDR policies &amp; procedures are not required.</p> <p><a href="#">Enforcement Policy Statement – DECC</a>  <a href="#">Enforcement Policy Statement – HSE</a>  <a href="#">Enforcement Guide (HSE) – E&amp;W</a>  <a href="#">Enforcement Guide (HSE) – Scotland</a></p> <p>Follow lead organisation's policies and procedures:  <a href="#">Offshore Intervention Guide - Incident Investigation – HSE</a>  <a href="#">Investigation Procedure – HSE</a>  <a href="#">Work Related Death Protocol - E&amp;W</a>  <a href="#">Work Related Death Protocol -S</a>  <a href="#">Major Incident &amp; Civil Contingencies Procedure - HSE</a>  <a href="#">Enforcement Management Model - HSE</a>  <a href="#">DECC Investigation Guidance</a></p>
7	<p><b>REVIEW INVESTIGATION PROGRESS</b></p>								<p>All investigations should be reviewed in accordance with relevant policies and procedures.</p>
8	<p><b>CONCLUDE INVESTIGATION</b></p>								<p>An Investigation Report should be produced in accordance with relevant policies and procedures, in the required timeframe. For incidents occurring in Scotland, and where prosecution is recommended, a report should be sent to the Procurator Fiscal. For major incidents a report to the European Commission is required.</p> <p><a href="#">Framework For Reporting to the European Commission</a>  <a href="#">Article 26 Investigation Summary Report</a></p>