



Environmental Incidents and Close Calls

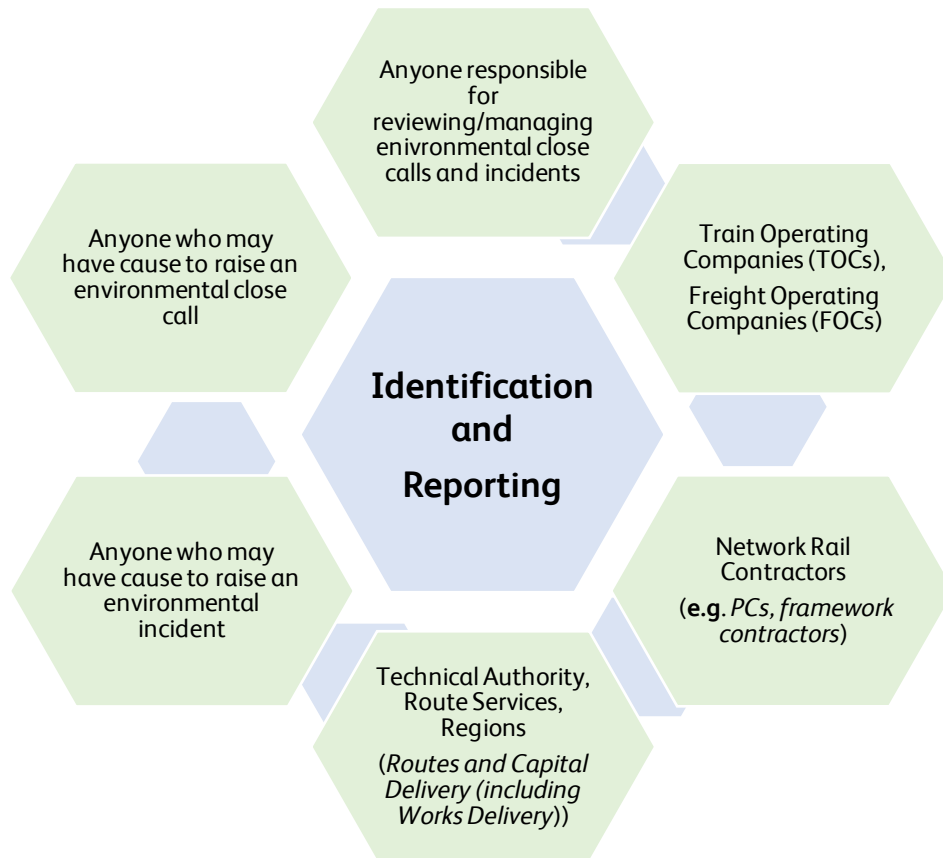
Guidance Note



Contents

Awareness Guidance	6
Identification	8
What <i>are</i> Environmental Close Calls?	8
What <i>are</i> Environmental Incidents?	8
Reporting	10
Environmental Close Calls.....	10
Network Rail Functions	10
Capital Delivery	10
Environmental Incidents.....	10
Who reports an environmental incident?.....	10
Who should an incident be reported to?	10
Train and Freight Operating Companies- Reporting.....	11
Supply Chain Operations (SCO)- Reporting	11
Responsibilities of Route Control.....	12
What happens next?	12
Specific Guidance.....	13
Reporting Noise as an environmental incident.....	13
Reporting Asbestos as an environmental incident.....	13
Regulators and Enforcement Action	14
Contacting Regulators.....	14
Reporting an intended or actual enforcement action from a regulator	14
Reporting enforcement action as an environmental incident.....	14
Technical Guidance	16
Investigation and Classification.....	17
Initial classification	17
Incident requiring preliminary investigation	17
Final classification	18
Further Investigations.....	18
Specific guidance	19
Identifying protected species and habitats.....	19
Classifying enforcement action by an enforcing authority	19
Classification Matrix	20
Appendix A. Abbreviations and Definitions.....	25

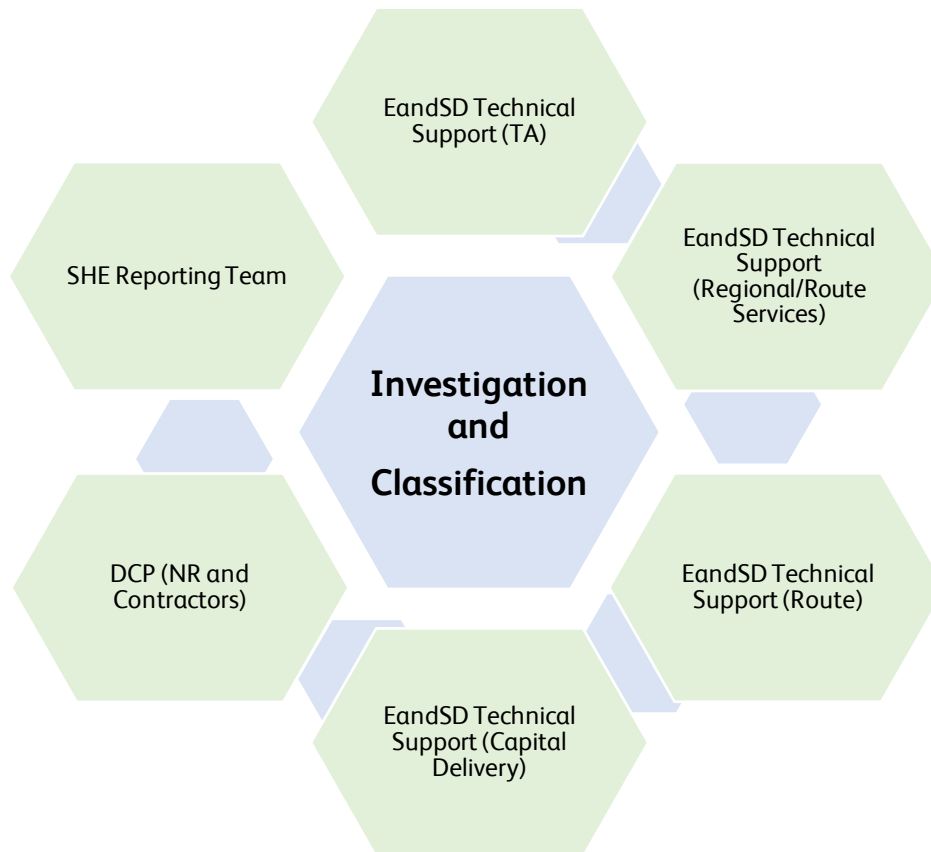
(1) Awareness Guidance



Is this what I'm looking for?

- I want to know if I should raise an environmental close call.
- I want to know if the incident I am raising is an environmental incident.
- I want to know where to find relevant Network Rail processes or guidance regarding raising an environmental close call or incident.
- I want to know if I need to contact a regulator regarding an environmental incident.

2) Technical Guidance



Is this what I'm looking for?

- I want to know if I need to investigate an environmental incident.
- I want to understand how to accurately classify an environmental incident I am investigating.
- I want to understand who manages the initial and the final classification of an environmental incident.

Reference Documentation with National Mandate

Network Rail Incident and Close Call governance – wide applicability but includes environment	
NR/L3/INV/3001	Reporting and Investigation Manual (Search Standards Page ' NR/L3/INV/3001/MANUAL ')
NR/L3/INV/3001/900	Leading an Investigation
NR/L3/INV/3001/901	Management of Recommendations and Local Actions
NR/L3/INV/3001/902	Reporting of Accidents, Incidents and Occupational Health
NR/L3/INV/3001/903	Risk ranking events including operational close calls, their reporting and level 1 investigations
NR/L3/INV/3001/904	Reporting of and Responding to Enforcement Actions
NR/L3/INV/3001/905	Actions in Response to CIRAS Reports Procedure
NR/L2/OPS/250	Network Rail National Emergency Plan
RIS-8047-TOM	SMIS Application Matrix
NR/L2/CIV/168	Asbestos Management

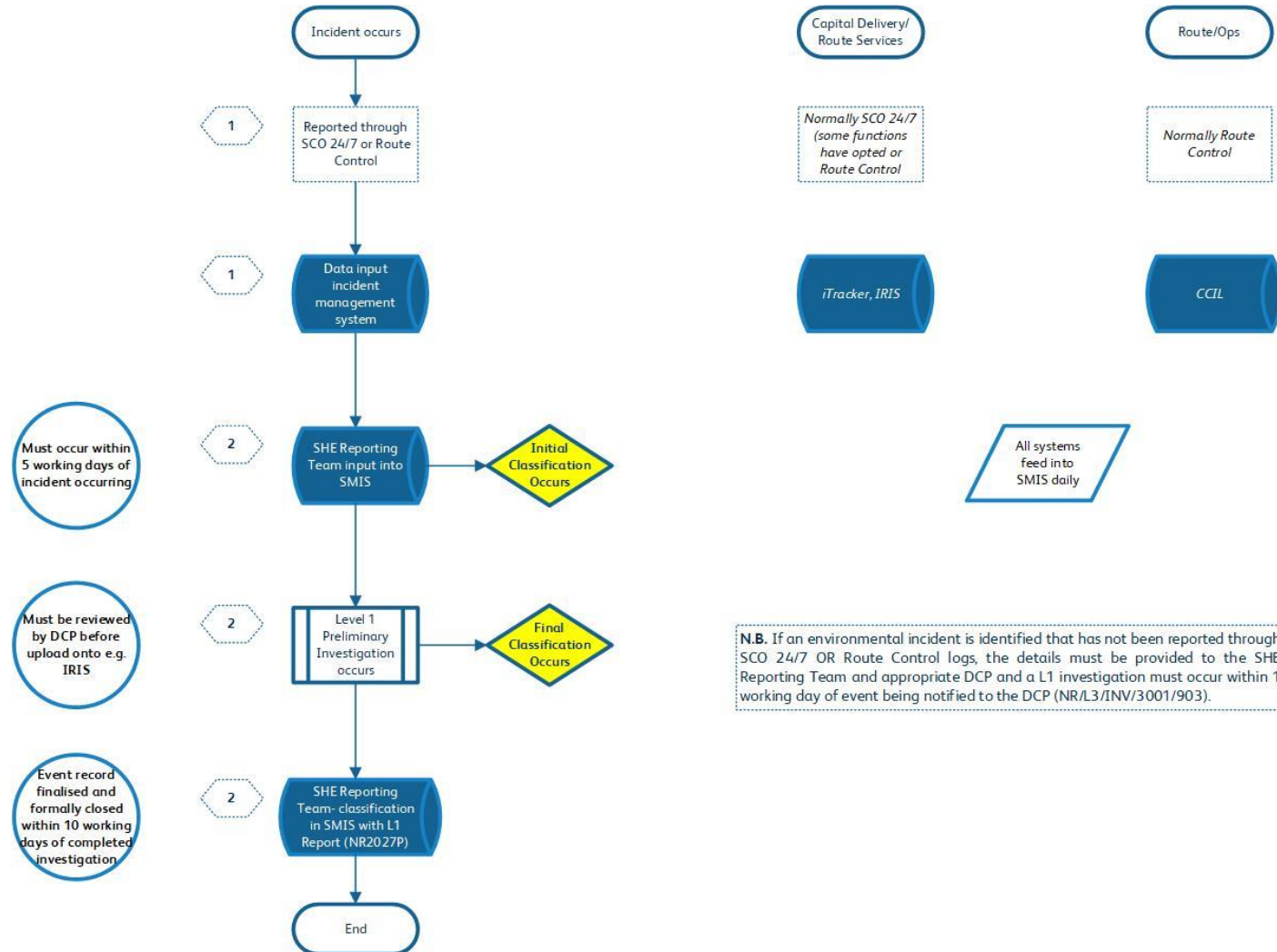
Environmental specific governance	
NR/L2/ENV/015	Environment and Social Minimum Requirements for Projects - Design and Construction
NR/L2/ENV/120	Waste Management
NR/L2/ENV/121	Managing Environmental and Social Impact of Noise and Vibration
NR/L2/ENV/122	Biodiversity
NR/L2/ENV/123	Prevention of Pollution to Land and Water
NR/L3/OHS/0046	The Reporting, Investigation and Recording of Safety and Sustainable Development Events and Close Calls within Infrastructure Projects
NR/L3/OPS/045/4.14	National Operating Procedures - Control of Environmental Incident Procedures
NR/L3/OPS/045/5.10	National Operating Procedures - Management of Environmental Arrangements

Awareness Guidance



This section provides guidance on **identifying** and **reporting** all environmental incidents and close calls in line with Network Rail standards and processes resulting from, or associated with the operation, maintenance, enhancement, or renewal of Network Rail assets (and other SMIS inputs referenced in **NR/L3/INV/3001**).

Incident Occurrence to Incident Closeout- Flowchart



Identification

What are Environmental Close Calls?

An environmental close call is an event that, in other circumstances, could have resulted in potential harm to the environment. Examples of environmental close calls include:

- an unexpected find (e.g. *due to not being identified during a dilapidation survey*) of contaminated soils, or other potentially hazardous substances during construction or maintenance works but has not been spread/mixed with non-contaminated soils or caused harm or damage to people, the environment or property;

'Our Senior Construction Manager found a load of fly tipping at our proposed work site. Some of the material looked a bit questionable so was sent off for testing. Looks like it contains asbestos. Good thing it wasn't disturbed before we found it.'

- an unexpected protected species finds, which has not been disturbed, injured or killed.
- an unexpected archaeological find, which has not been disturbed, damaged or destroyed; or

'We only called out for a small job to manage some vegetation either side of a bridge for signal sighting. There was an up to date report of ecological constraints for the location and our ecologist provided us with some precautionary methods of working. What we didn't expect was to find a dormouse sleeping at the base of the shrubs! Work stopped immediately, that's for sure. Close call!'

- tools specified within project deliverables have not been used e.g. the RSSB Carbon Tool or the Environment and Social Appraisal (ESA) tool (EN1); or petrol-powered chainsaws used instead of battery-operated chainsaw specified in Work Package Plan (WPP)

What are Environmental Incidents?

An environmental incident is— 'a specific unplanned event or occurrence that has an environmental impact and may require an immediate response in order to minimise the impact'. An environmental incident can (but not always) result in a quantifiable loss e.g. of fuel, or a result of a breach of an agreed process or practice. Table 1 provides some context as to the various 'impact areas' for environmental incidents and some examples of what constitutes an environmental incident.

Table 1: Environmental impact categories and incident examples

Impact categories	Incident examples
<i>‘incidents that result in or have the potential to result in an impact to/in...’</i>	
‘land and water’	<ul style="list-style-type: none"> • Hydrocarbon spillages e.g. <i>petrol, hydraulic oils and cable, lubricant and cutting oils</i> • Spillages of hazardous and non-hazardous materials including those with polluting potential e.g. <i>detergents, disinfectants, foodstuffs, fertilisers, paints and dyes, other organic liquids</i> • Discharge of waters from site not in accordance with any regulatory requirements or permissions • Construction or operational activities occurring over or within a watercourse without the necessary regulatory permissions • Unauthorised/illegal disposal or transport of hazardous and/or non-hazardous waste e.g. waste movements with incomplete/missing Hazardous/Special Waste Consignment Note or Waste Transfer Note
‘nature conservation – protected sites and species’	<ul style="list-style-type: none"> • Damage or destruction to a statutory site (e.g. Special protection Area (SPA), Special Area for Conservation (SAC), Site of Special Scientific Interest (SSSI)) • Disturbance, injury, or death of protected species (with regards to disturbance, where those legal protections are afforded) • Breach of a Tree Preservation Order (TPO) • Failure to adhere to the prescriptions of a Site Management Statement for a SSSI
‘local or national heritage’ <i>(e.g. designated building or structure)</i>	<ul style="list-style-type: none"> • Causing damage to a listed building, building with a preservation order, or a scheduled monument • Causing damage to areas of archaeological relevance or other relevant designation • Breach of planning consent in relation to protection of heritage
Statutory nuisance <i>(‘any action which may be prejudicial to health or a nuisance’)</i>	<ul style="list-style-type: none"> • Dust or other airborne particulates detected outside of operational boundary (including smoke and steam) • Odour detected outside of operational boundary • Noise detected outside of operational boundary including vehicles in a street • Artificial light emitted outside of operational boundary • Fly tipping

Reporting

Environmental Close Calls

Network Rail Functions

Guidance on reporting close calls can be accessed via [Safety Central](#). Environmental close calls are raised in the same way as those for safety. Further assistance on raising close calls in your area can be sought from your local HSEA Specialist or Environmental Specialist/Manager.

Capital Delivery

Principal Contractors must report environmental close calls periodically. Refer to [NR/L3/OHS/0046 -The Reporting, Investigation and Recording of Safety and Sustainable Development Events and Close Calls within Infrastructure Projects](#), for detailed guidance on reporting close calls within Capital Delivery projects.

Environmental Incidents

When reporting and managing an environmental incident, **Network Rail's National Operating Procedures – Control of Environmental Incident Procedures- [NR/L3/OPS/045 4.14](#)** and **Network Rail's Reporting and Investigation Manual [NR/L3/INV/3001/MANUAL](#)** should be followed. This guidance note seeks to provide further clarity and detail in addition to these documents.

Who reports an environmental incident?

As per [NR/L3/INV/3001/902– Reporting of Accidents, Incidents and Occupational Health.](#), 'all employees/contractors shall report any 'incidents to the appropriate control office and responsible manager' (see Appendix A for definition of 'Responsible Manager').

Who should an incident be reported to?

Environmental incidents within the Route and Capital Delivery must be reported to the relevant control office, this is either Route Control or SCO 24/7 (see *Incident Occurrence to Incident Closeout-Flowchart*, page 7 as the relevant "Control Office" [NR/L3/INV/3001/902](#) may differ) who input the environmental incident into their relevant incident management system (e.g. Incident Reporting and Investigation Software (IRIS), iTracker, Control Centre Incident Log (CCIL), or Level 1 form (if a Principal Contractor)) it will then be received by the SHE Reporting Team (see [NR/L3/OHS/0046 - The Reporting, Investigation and Recording of Safety and Sustainable Development Events and Close Calls within Infrastructure Projects](#) for reporting environmental incidents in Capital Delivery).



Train and Freight Operating Companies- Reporting

Train and freight operating companies (TOCS and FOCs respectively) will advise Route Control in the event of any environmental close call or incident (Part E of Commercial Manual- Environmental Protection).

Part E gives Network Rail, TOCS, and FOCs have the right to take action to address environmental damage. Each TOC/FOC is obliged to give Network Rail a copy of its Environmental Policy and to notify the other promptly of any circumstances that could lead to environmental damage.

Environmental damage is defined as in Part E as: *'any material injury or damage to persons, living organisms or property (including offence to man's senses) or any pollution or impairment of the environment resulting from the discharge, emission, escape or migration of any substance, energy, noise or vibration.'*

Supply Chain Operations (SCO)- Reporting

For environmental incidents involving On Track Machines (OTM) provided by SCO (either directly operated or operated by suppliers), the OTM Operator will advise SCO 24/7 who in turn will raise an IRIS entry. This will trigger an incident investigation by SCO.

The incident shall also be reported to Route Control by the Responsible Manager (NR personnel) in charge of the worksite (e.g. Track Quality Supervisor) and recorded into CCIL.

When the incident is above threshold for reporting to the Environmental Regulator; Route Control will report the incident to the Environment Agency, and, SCO 24/7 will liaise with Route Control to obtain the environmental regulator's (e.g. EA) incident reference number and add it to the IRIS report (see next section *'Responsibilities of Route Control'*).

Responsibilities of Route Control

For environmental incidents reported to Route Control, it is the responsibility of Route Control to upload details of the incident to CCIL which reaches the SHE Reporting Team ([NR/L3/OPS/045/4.14](#) details the minimum information required by Route Control to report the incident). Table 2 details some further responsibilities of Route Control from advisement of an environmental incident through to management of the incident. This includes liaison with the relevant regulator (see '*Regulators and Enforcement Action*').

Table 2 Responsibilities of Route Control during an environmental incident

Route Control Responsibilities
Receive reports of environmental incidents from business and supply chain
Enable full assessment of impact of incident
Provide internal communications from incident discovery to close out
Report incidents to regulatory bodies
Engage the Emergency Spill Response Contractor (ESRC) if required
Notify Train/Freight Operating Companies that may be affect by the incident

What happens next?

After Route Control (or SCO 24/7 if the relevant Control Office) reports the incident to the SHE Reporting team (through CCIL, iTracker, or IRIS) the incident will be assigned an initial classification by the SHE Reporting Team within 5 days of the incident occurring.

A Level 1 - Preliminary Report and Investigations Form (NR2072P) must be completed for all Category 3, 2 and 1 incidents ([NR/L3/INV/3001](#)). More on investigations can be found in the second part of this guidance note: '*Investigation and Classification-Technical Guidance*'.

Specific Guidance

This section gives further guidance on how to appropriately identify incidents or close calls specific to some environmental disciplines. This section will continue to be updated, with further information steered by lessons learned and business need.

Detailed guidance on waste, land and water related incidents specifically, as well as their associated mitigation measures, can be found within the corresponding standards: [NR/L2/ENV/120](#) - Waste Management; and [NR/L2/ENV/123](#) - Prevention of Pollution to Land and Water.

Reporting Noise as an environmental incident

All noise complaints raised must be directed to the National Helpline and should be noted in the site daily log. To prevent duplication when reporting of complaints as an environmental incident, complaints should be monitored locally on a weekly basis, consolidated, and reported against the relevant category outlined in Table 1.

Refer to [NR/L2/ENV/121](#) - Managing Environmental and Social Impact of Noise and Vibration for guidance on the complaints process.

Reporting Asbestos as an environmental incident

There are various circumstances where asbestos may be found on the railway. It is vital to identify when it should be reported as an environmental incident (see table 3):

Table 3: Asbestos incident examples

Incident type	Description	Action
Discovery of damaged or suspect asbestos – no exposure	intact asbestos discovered does not appear in a survey; or previously unknown asbestos inadvertently disturbed by operative; or asbestos had previously been unknowingly disturbed and then discovered	Follow the processes laid out in Asbestos Management Standard (NR/L2/CIV/168) and appropriate Regional or Property Asbestos Management Plan that underpins it: <i>Discovery 'shall be reported to the responsible person and the reactive fault line. The close call procedure shall be followed once emergency actions have been completed.'</i>
Fly tipped asbestos – no exposure	asbestos is known in fly tipping; or asbestos is suspected in fly tipping; or testing of fly tip contents in advance of removal show the presence of an Asbestos Containing Material (ACM)	Follow the processes laid out in NR/L2/CIV/168 and within the appropriate Regional or Property Asbestos Management Plan that underpins it.
Confirmed exposure	Where there is potential or confirmed exposure to asbestos	Follow the relevant emergency procedure in NR/L2/CIV/168 (Appendix G). Must be reported to the DEAM and Incident Contact Centre (HSE) under RIDDOR by the HoRSHE/DoRSHE or HoSS. N.B. RIDDOR reporting is driven by SMIS.

Regulators and Enforcement Action

Contacting Regulators

It is Route Control's responsibility to contact the relevant national Regulator (e.g. EA, NRW, SEPA, NE) if any of the following environmental incidents occur and/or exceeds the volume thresholds in Table 4 or follows into one of the following categories:

- is, on, or within 250m of a statutory protected site
- has or may have affected protected species/habitats (including watercourses)
- does not fit in a particular category; and/or
- there is any doubt regarding the actual extent or impact of the incident.

Route Control shall confirm to the regulatory body that Network Rail is dealing with the incident (supply the contact number of the nominated person (e.g. Railway Investigation Officer (RIO) attending site); and that the nominated person will contact them and advise what measures are being taken to deal with the incident.

NOTE 2: Reporting requirements will vary between the three Regulators: Scottish Environment Protection Agency (SEPA), Environment Agency (EA), and Natural Resources Wales (NRW). SEPA does not conform to the thresholds in Table 4 and should be notified in the case of any spill. This guidance note is intended as a guide and, if further information is required, visit the appropriate Regulator's website, or contact your local environment specialist/manager.

Reporting enforcement action as an environmental incident

Enforcement action should not be reported as an environmental incident if it is associated with an event that has already been reported, investigated, and uploaded to SMIS. If already reported as an incident, the relevant incident report on SMIS should be updated to denote any related enforcement action.

If the enforcement action relates to an event that has not previously been reported as an environmental incident, it itself should be raised according to the standard reporting procedure illustrated in the flowchart on Page 7 (see also 'Classifying enforcement action by a enforcing authority' in the Technical Guidance).

Reporting an intended or actual enforcement action from a regulator

The following detail has been extracted from [NR/L3/INV/3001/904 – Reporting of and Responding to Enforcement Actions](#). This manual should be referred to for Network Rail's structured process on reporting of enforcement actions and the management of the response to any enforcement actions served on network Rail.

National Authorities that have the power to serve Network Rail with an Enforcement Notice for environmental incident include:

- Environment Agency
- Natural Resources Wales
- Natural England



- Scottish Environment Protection Agency
- NatureScot
- Marine Management Organisation
- Local Authorities

Intent of or actual enforcement action may be served at a local level regarding a local matter, it may be served at a local level regarding an enforcement action that requires national oversight or at a formal meeting with Network Rail staff (N.B. actual enforcement action should be served formally on Network Rail at its registered office but this is not always the case).

It is important that any *intent* to serve Network Rail with an Enforcement Notice is recorded on the Network Rail Regulatory Risk Register which is managed by the Director of Regulator Liaison (please search for the individual in post and their contact details using [OrgPlus](#) on MyConnect) within 1 working day. This may be escalated to the person's line management for further escalation to the Director of Regulator Liaison.

Actual enforcement action received outside a registered Network Rail office should be sent to the Director of Regulator Liaison and to General Council (National Policy 7 Strategy) within 1 working day.

.

Technical Guidance



This section provides guidance on **investigating** and **classifying** environmental incidents and close calls in line with Network Rail standards and processes (section 3). The guidance note serves to assist in the proper classification of environmental incidents to ensure the appropriate level of investigation is undertaken.

Investigation and Classification

Initial classification

When Route Control or SCO 24/7 input environmental incident into their relevant incident management system (e.g. IRIS, iTracker, CCIL) it will then be received by the SHE Reporting Team (*flowchart, page 7*).

An **initial** classification is then attributed to the incident by the SHE Reporting Team utilising the information provided and in consideration of the impact prior to the appropriate level of investigation being undertaken locally.

Category 4 events

If the event is a Category 4 incident, a Level 1 (L1) investigation is not required. The SHE Reporting Team are responsible for confirming the assignment of the category within 10 working days of the incident occurring. If further information about the event is required, the SHE Reporting Team shall contact the responsible manager or Route Control for more information. A suggestion that the event constitutes a Category 4 event may be provided in the detail of the incident to the SHE Reporting Team by Route Control or SCO 24/7 (or on the Level 1 provided by a Responsible Manager).

N.B. The decision to undertake a L1 report for a Category 4 event may be taken locally, e.g. for a Capital Delivery function that has embedded this into their processes as a tool to identify trends.

Incident requiring preliminary investigation

For all Category 3, 2 and 1 incidents the Responsible Manager (who either actually reported or was responsible for the reporting of the incident to the relevant Control Office) must ensure that a nominated person (or in Capital Delivery, a PC) completes a Level 1 - Preliminary Report and Investigations Form (NR2072P) within **5 working days** ([NR/L3/INV/3001](#)).

The nominated person should add initial data for any event recorded in the Route Control, or SCO 24/7 log to a Level 1 investigation form within one working day of the event occurring. Risk ranking data completed by a competent person must also be included on the completed preliminary investigation form (this also assists the DCP in determining if additional levels of investigation may be required).

Incidents should be uploaded to IRIS where possible. The Level 1 form is also available from the Investigation HUB site. Other Level 1 online forms within an approved system may be used.

Although the Level 1 (preliminary) investigation may be completed by a nominated person it must be reviewed by a Designated Competent Person (DCP) (a 'live' list of DCPs can be found on MyConnect). If the review confirms it accurately reflects the circumstances of the event, it shall be signed and forwarded to the relevant SHE Reporting Team ([NR/L3/INV/3001/903](#)).

NOTE 3: for Network Rail led investigations, the lead investigator (DCP) must hold the relevant (e.g. the most recently mandated) Network Rail competency for conducting investigations and for PC led investigations the individual must be suitably trained and competent in accordance with their management system and the most recently mandated Network Rail requirements for investigation competencies.

Final classification

During the Level 1 investigation the initial incident classification will need to be reviewed and may need to be revised by the DCP to reflect the actual harm to the environment. Tables 4 and 5 illustrate each of the 4 impact categories referenced in Table 1 and provide examples to assist in attributing a Category (3-1) to the incident.

Further Investigations

The level of investigation required is determined by the risk ranking and the process set out in [NR/L3/INV/3001/900](#). Should a Level 2 or Level 3 investigation be required, a copy of the completed Level 1 (preliminary investigation) form shall be provided to the Lead Investigator.

Specific guidance

This section gives further guidance on how to appropriately classify incidents specific to some environmental disciplines. This section will continue to be updated, with further information steered by lessons learned and business need.

Identifying protected species and habitats

As incidents involving ecology may require specialist knowledge, further guidance on the process for identifying ecological constraints can be found in [NR/L2/ENV/122/01 - Module 01 'Management of Biodiversity'](#) and [Safety Central](#). Also, the following pieces of legislation list species that receive legal protection in the UK.

- A full and comprehensive list of protected species in the UK can be found under [Schedule 5](#) (animals) and [Schedule 8](#) (plants) of the Wildlife and Countryside Act 1981.
- A full and comprehensive list of invasive non-native species in the UK can be found under [Schedule 9](#) of the Wildlife and Countryside Act 1981.
- A full and comprehensive list of European protected species can be found under [Schedule 2 \(animals\)](#) and [Schedule 5 \(plants\)](#) of the Conservation of Habitats and Species Regulations 2017 (as amended)

An up to date list of priority species and priority habitats is available for England ([JNCC](#)), Wales ([Wales Biodiversity Partnership](#)) (N.B. The list is still the same as that previously under Section 42 of NERC and is under review by NRW), and Scotland ([NatureScot](#)).

If you are unsure about the about identifying a species or habitat, you must seek advice from a competent person e.g. a Network Rail or Principal Contractor ecologist, framework ecological consultant, environment manager or environment specialist.

Classifying enforcement action by an enforcing authority

If enforcement action by an enforcing authority (list in 2.2.3) is served on Network Rail concerning an incident that has not previously been subject to reporting or investigation by Network Rail, then that the notice shall constitute a Category 3 event at initial classification by the SHE Reporting Team when input into SMIS. This is to ensure the event is subject to a Level 1 Preliminary Investigation, and the final classification of the incident is the subject of approval by a DCP and any further investigations that may be required are cited as appropriate.

Classification Matrix

‘...environmental impact or effect on the environment, people, and/or property.’		Category 3 Minor or minimal	Category 2 Significant	Category 1 Major, serious, persistent and/or extensive
Category 4 Negligible impact or effect				
Pollutant	Max Volume			
Organic liquids/slurries e.g. blood, offal, sewage sludges, antifreeze, cutting lube, cooking oils, glycerine, alcohol	25 litres	the spill is greater than the maximum volume <i>and</i> ; the incident fits any of the statements listed under Category 3 in the table below.	the spill is greater than the maximum volume and; the incident fits any of the statements listed under Category 2 in the table below.	the spill is greater than the maximum volume and; the incident fits any of the statements listed under Category 1 in the table below.
Pesticides (inc herbicides)	5 litres			
Inorganic powders e.g. silt, sand, cement chalk, gypsum/plaster	50kg			
Paints and dyes	50 litres			
Fertilisers	250 litres			
Beverages	250 litres			
Food stuffs particularly sauces, sugars, salt, syrups, milk, cream, yoghurt and vinegar	250 litres			
Disinfectants e.g. household bleach, toilet cleaners, surface cleaners	5 litres			
Detergents e.g. washing powders/liquids, shampoos, soaps, car/train cleaning chemicals	25 litres			
Hydrocarbons e.g. lubricating oil, transmission fluids	20 litres			
Fuel e.g. l, diesel, gas oil	50 litres			

Table 4: to categorisation of the environmental impact of spills.

NOTE 5: If the volume of the spill is either below or at the maximum volume for the pollutant specified, use Category 4.

NOTE 6: For spills exceeding the maximum volume Table 4 - *Classifying Other Environmental Incidents* MUST also be utilised for further assessment of the impact e.g. a spillage involving 55 litres of fuel and contamination of a nearby watercourse requiring 1 week of remediation works would fall under Category 3.

NOTE 7: The below matrix is an extract from **NR/L3/OPS/045/4.14** - *Control of Environmental Incident Procedures*.

NOTE 8: The environmental impact to fish stocks can vary depending on the type of material spilt and the species of fish impacted. For additional guidance on assessing the impact to fish stocks, please refer to the

- [Environment Agency's](#) Common Incident Classification Scheme,
- the [Natural Resources Wales'](#) Incident Categorisation Guidance Note; and
- the [Scottish Environment Protection Agency's](#) Compliance Assessment Scheme Manual.

Impact Category	Category 4 Negligible	Category 3 Minor or minimal	Category 2 Significant	Category 1 Major, serious, persistent and/or extensive
<i>Could apply to any Impact Category in Table 2 = All</i>		Breach of consent, licence, or permit which results in a minor/minimal negative environmental impact; or enforcement notice for an incident not previously reported within NR (initial classification)	Breach of legislation, consent, licence or permit which leads to a significant negative impact on the environment; or Absence of/failure to obtain an approved consent, licence, or permit where one is required to carry out works.	Major, serious, persistent, and/or extensive negative environmental impact as result of breach of legislation, absence of consent, licence, or permit.
All		Short term remediation required (less than 2 weeks) and / or temporary impact on quality or use of the land, water or air	Medium term remediation required (between 2 weeks and 6 months) and/or environmental regulator involvement	Long term remediation required (more than 6 mo) and/or enforcement action taken by an environmental regulator with potential for prosecution
All	Scale of the area impacted by the incident is less than 200m and; any persistent pollution is less than 7 days and; does not meet statements in categories 3, 2 and 1 (Tables 2and3)	Scale of the area impacted by the incident is less than 200m and any persistent pollution is less than 7 days.	Scale of the area impacted by the incident is between 200m - 2km and any persistent pollution is less than 7 days.	Scale of the area impacted by the incident is more than 2km AND/OR Persistent pollution (7 days or more)
All		Planned/Unplanned works taking place without an appropriate environmental risk assessment and/or control measures in place and with minimal subsequent impact to the environment, people, or property.	Planned/Unplanned works taking place without an appropriate environmental risk assessment and/or control measures in place leading to a significant environmental impact.	

Table 5: Categorisation of the impact of environmental incidents within the given impact categories

NOTE 9: For incidents characterised by statements in more than one category, select the highest category.

NOTE 10: This list is not an exhaustive list. Further guidance is available from the

- [Environment Agency's Common Incident Classification Scheme](#);
- the [Natural Resources Wales' Incident Categorisation Guidance Note](#); and
- the [Scottish Environment Protection Agency's Compliance Assessment Scheme Manual](#).

Impact Category	Category 4 Negligible	Category 3 Minor or minimal	Category 2 Significant	Category 1 Major, serious, persistent and/or extensive
'to land and water'	Fly tipping involving non-toxic, non-hazardous, non-infectious waste; and which poses no serious risk to human health; and does not require decontamination	Fly tipping involving toxic, hazardous; and/or infectious waste; and/or with serious risk to human health	Fly-tipping with any of the fly tipping characteristics listed under category 3 and requiring decontamination under 6 months	Extensive clean-up/remediation operations required to address major pollution or fly tip incident involving toxic, hazardous or infectious materials/substances over 6 months.
'to land and water'			Closure of a minor unlicensed potable water abstraction e.g. serving 1-2 households Significant but localised or temporarily deterioration in status of a Water Framework Directive water body. NOTE: This may be discovered during the investigation.	Closure of a licensed potable water extraction point required Persistent long-term deterioration in status of a Water Framework Directive water body that the effects prevent it reaching its favourable condition. NOTE: This may be discovered during the investigation.

Impact Category	Category 4 Negligible	Category 3 Minor or minimal	Category 2 Significant	Category 1 Major, serious, persistent and/or extensive
'to nature conservation – protected sites and species'	N.B. If the fish is a protected species, the incident is a <u>Category 1 incident</u> , if watercourse/waterbody is adjacent to or within a non- statutory site, it is a minimum of a <u>Category 2 incident</u>	Water pollution causing the death of less than 10 fish	Water pollution causing the death of 10 or more but less than 100 fish	Water pollution causing the death of 100 or more fish
'to nature conservation – protected sites and species'		Injury or death to a priority species or damage or destruction to a priority habitat	Damage or destruction to a non-statutory protected site (e.g. SINC, LWS)	Damage or destruction to a statutory protected site (e.g. SSSI, SPA, SAC, NNR); Disturbance, injury, or death to a protected species; Damage or destruction to the habitat of a protected species (where afforded legal protection),
'to nature conservation – protected sites and species'			Confirmed uncontrolled spread of a native or non-native species (which is not listed on Schedule 9), but which is deemed to be having a significant negative impact on the habitat.	Confirmed uncontrolled spread of a Schedule 9 invasive non-native species.
'to nature conservation – protected sites and species'				Damage to or removal of a tree protected under a TPO without permission from the Local Authority; damage to or removal of a protected hedgerow without a hedgerow removal notice from the Local Authority.

Impact Category	Category 4 Negligible	Category 3 Minor or minimal	Category 2 Significant	Category 1 Major, serious, persistent and/or extensive
'to local or national heritage '			Actual removal or damage to a locally listed building or structure	Actual removal or damage to a nationally listed building or structure
Statutory nuisance		Minimal effect on the local public's normal use of land and/or water where the impact is reduced to an individual or a localised area. Typical incidents could include (but not limited to) temporary disruption to the water supply of a local residential building.	Significant effect on the <u>local public's</u> normal use of land and/or water. Typical incidents could include (but not limited to) temporary closure of a local public road or footpath, temporary disruption to the water supply of a group of residential homes/community building/school/care home/commercial building without consents/permits/DIA.	Significant effect on the <u>national public's</u> normal use of land and/or water. Typical incidents could include (but not limited to) cancellation of a national event or temporary closure of a national road without consents/permits/DIA.
Statutory nuisance		Short term, localised impact to air quality e.g. dust, odours such as smoke	Noticeable and sustained deterioration in air quality from; visible sources (dust and particulate fallout) or emission of toxic materials impacting on the locality; or Unintentional or accidental release of large quantities of ozone depleting substance or those linked to global warming e.g. over an extensive area. RECOVERED	Extensive deterioration of air quality from; a large release of toxic substances following loss of control, major fire or equipment failure; or Unintentional or accidental release of very large quantities of ozone depleting substance or those linked to global warming e.g. over an extensive area. Unrecovered

Appendix A. Abbreviations and Definitions

Close call	An occurrence that had the potential to develop into environmental incident. N.B. There will have been no injury, loss or damage to any person, asset or the environment, as the occurrence was identified, and actions taken locally or by a responsible manager prevented the situation developing into an environmental incident.
DCP	Designated competent person
Event	An action or activity that results in a consequence to or for the surrounding environment.
EandSD	Environment and Sustainable Development
F-Gas	Fluorinated gases (F-gases) are a type of man-made gases which are typically used as substitutes for ozone-depleting substances. This family of gases include hydrofluorocarbons (HFCs), perfluorocarbons (PFCs) and sulphur hexafluoride (SF ₆).
Incident (General)	Extracted from NR/L3/OHS/0046: An event that results in a quantifiable loss or breach of an agreed process or practise. An event that results in the uncontrolled addition/unwanted discharge of an unwanted chemical or biological substance to land, air or water; or the endangerment, damage or destruction of any flora or fauna protected by law.
Invasive species	Any non-native animal or plant that has the ability to spread, causing damage to the environment, our economy, human health and the way we live. It is an offence to cause the spread of Sch 9 invasive species.
Level 1 Investigation	A preliminary investigation to establish the facts and preliminary causes of an accident or incident, and whether there is a need for further investigation. Also known as a preliminary investigation. Note: Level 1 (preliminary) investigations must be completed on the approved Level 1 form or on an approved system such as IRIS.
Localised Area	An event that occurs in a particular boundary which is relative to the magnitude of the event or subject.
Nominated person	The person nominated by the designated competent person (DCP) to complete a Level 1 Preliminary form risk ranking from the drop-down box in accordance with this module.
Non-native species	A species which it has been introduced to the UK by human intervention and is outside its natural range.
Non-statutory protected site	Sites of local conservation interest and protected by planning processes and the Local Authorities, known as Local Wildlife Sites (LWSs).
Ozone depleting substance	Chemicals that damage the ozone layer in the upper atmosphere.
Priority Species/Priority Habitats	Habitats and species identified as being the most threatened and requiring conservation action under the UK Biodiversity Action Plan (N.B. The UK BAP was succeeded by the UK Post-201 Biodiversity Framework in 2012 but remains an important reference source utilised in drawing up statutory lists of priority species in England, Wales and Scotland as required under: Section 41 of the Natural Environment and Rural Communities Act 2006 (England); Section 7 of the Environment (Wales) Act 2016; and Section 2(4) of the Nature Conservation (Scotland) Act 2004, respectively. Most BAP work is now undertaken at county level.
Responsible Manager	For the purposes of this guidance note, this includes: <ul style="list-style-type: none"> a) Persons with the competence and responsibility within their function for: <ul style="list-style-type: none"> • the safe and sustainable operation, maintenance or renewal of the railway; • briefing the reporting or investigation process to employees; • managing or supporting the reporting or investigation process. b) Persons responsible for managing, administering and delivering contracts

	either for major or minor works schemes, e.g. Project Managers.
SHE	Safety, health, and environment
Statutory protected site	<p>Sites which receive protection through certain recognition of its biodiversity and/or geological value. This includes:</p> <ul style="list-style-type: none"> • Sites of Special Scientific Interest (SSSIs) • Special Areas of Conservation (SACs) • Special Protection Areas (SPAs) • Ramsar sites • National Nature Reserves (NNRs) • Local Nature Reserves (LNRs) • Sites of Importance for Nature Conservation (SINCs)
Tree Preservation Order (TPO)	An order made by a local planning authority which prohibits the cutting down, uprooting, topping, lopping, wilful damage, or wilful destruction of protected trees without the local planning authority's consent, under the Town and Country Planning Act 1990.
Water Framework Directive	EU Directive (Water Framework Directive 2000/60/EC) which commits EU Member States to achieve 'good' qualitative and quantitative status of all water bodies.