

# Standard Procedure

**S-495**

**Issue: 8**

## Categorisation and Notification of Events

### Notes

Document templated. Scope clarified.  
References to :  
"the company/company" modified throughout this document.  
ONR-CNSS change to ONR modified through out this document.  
Amendment made to Table 7 Security Categories to clarify the consideration of informing the Personnel Security Manager for certain levels of events.  
\*Removed\* under TS07 - "Discussions with the relevant ONR Inspector should be undertaken to confirm if an event follow up may be more appropriate via routine inspection activity. If this is agreed, there is no requirement for a notification (via WIReD/INF1)" to ensure continuity of process.

<b>Impact of Revision</b>	Low
<b>Implementation Date</b>	Immediate
<b>Implementation Plan</b>	N/A

This Standard Procedure provides compliance arrangements for Licence Conditions as defined in PD-016.

Before any changes are made the Process Owner shall be consulted to ensure compliance arrangements remain unaltered or to invoke the necessary Nuclear Safety Committee consultation as required by PD-010.

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## 1. PURPOSE

This document specifies the arrangements for categorisation and notification of events to both internal and external stakeholders. It supports compliance arrangements and relevant legal notification requirements including environmental protection, nuclear, radiological, security, safeguards, safety, dangerous goods transport and data protection.

## 2. SCOPE

This Standard Procedure is used to categorise and notify stakeholders of events at **NRS Centre and NRS Sites Delivery Business Unit** and at other office locations. **This document excludes Dounreay who follow alternative arrangements.**

**NRS Sites Delivery Business Unit will be read as "Sites" throughout this document.**

The post and role holders responsible for completing the requirements of this procedure are specified.

The requirements for the investigation of events are described in S-190, S-039 etc.

Requirements for compliance with Nuclear Decommissioning Authority (NDA) 'loss control' are found in Financial Control Processes.

The following new ONR Guidance documents were issued in 2023 and 2024 to replace the previous arrangements in ONR-OPEX-GD-001. Their requirements are accommodated this document. Consequently, many of the highlighted changes in this version of S-495 result from the ONR documents.

ONR-RIO-PROC-002 - Process for Notifying Incidents to ONR

ONR-RIO-GD-002 - Incident notification guidance for Nuclear Site Licensees

ONR-RIO-GD-003 - Notification Guidance for Nuclear Security Incidents

ONR-RIO-GD-004 - Incident notification guidance for Nuclear Safeguards Incidents

ONR-RIO-GD-005 - Incident notification guidance for Transport of Radioactive Material

ONR-RIO-GD-006– Notification Guidance for Nuclear Site Health and Safety Incidents.

## 2.1. COMPLIANCE TABLE

Compliance Type	Specific Requirement	Compliance Delivered
Nuclear Site Licence	LC7(1)	Provision of arrangements for the notification, recording, and reporting of incidents occurring on the site
Nuclear Site Licence	LC23(3)	Take appropriate action to ensure that any matter indicating that the safety of any operation or the safe condition of any plant may be affected is notified, recorded and reported.
Nuclear Site Licence	LC34(2)	Ensure that any such leak or escape is notified, recorded and reported
NISR 2003	Regulations 4, 7, 9, 10, 18 & 22	Provision of arrangements for the notification, recording, and reporting of security events or matters.
The Nuclear Safeguards (EU Exit) Regulations 2019	Regulations 3, 4, 8, 13-16, 17, 21, 22, 23	Provision of arrangements for the notification, recording, and reporting of security events or matters.
UK/IAEA Voluntary Offer Safeguards Agreement (VOA)	Articles 43, 44, 62(b), 66, 66(a), 68-87, 89, 89(b)	Provision of arrangements for the notification, recording, and reporting of safeguards incidents.
Data Protection Act 2018	General Data Protection Regs	Provision of arrangements for the notification, recording, and reporting of Personal Data Breaches.
EPR 2016 Environmental Permit Conditions	Conditions 4.3.1, 4.3.2 and 4.3.7	Requirements for incident reporting and notification to the Environment Agency (EA) and Natural Resources Wales (NRW).
EA(S)R 2018	Conditions A.9.1 and A.9.2	Requirements for incident reporting and notification to Scottish Environment Protection Agency (SEPA).
The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009	Schedule 2 Paragraph 5  <i>ADR 1.7.6 and 1.8.5</i>	Requirements for incident reporting and notification to GB Competent Authority (ONR) for radiation emergencies during transport.  <i>ADR also has notification requirements implemented via CDG</i>

### 3. RESPONSIBILITIES

Where the post or role titles used in this Standard Procedure do not exist at a particular site or location, local interface arrangements are prepared which will result in all the mandatory requirements of this document being implemented in full.

Where the post or role holder does exist, the responsibility may be permanently delegated to others provided the delegation is recorded in local interface arrangements.

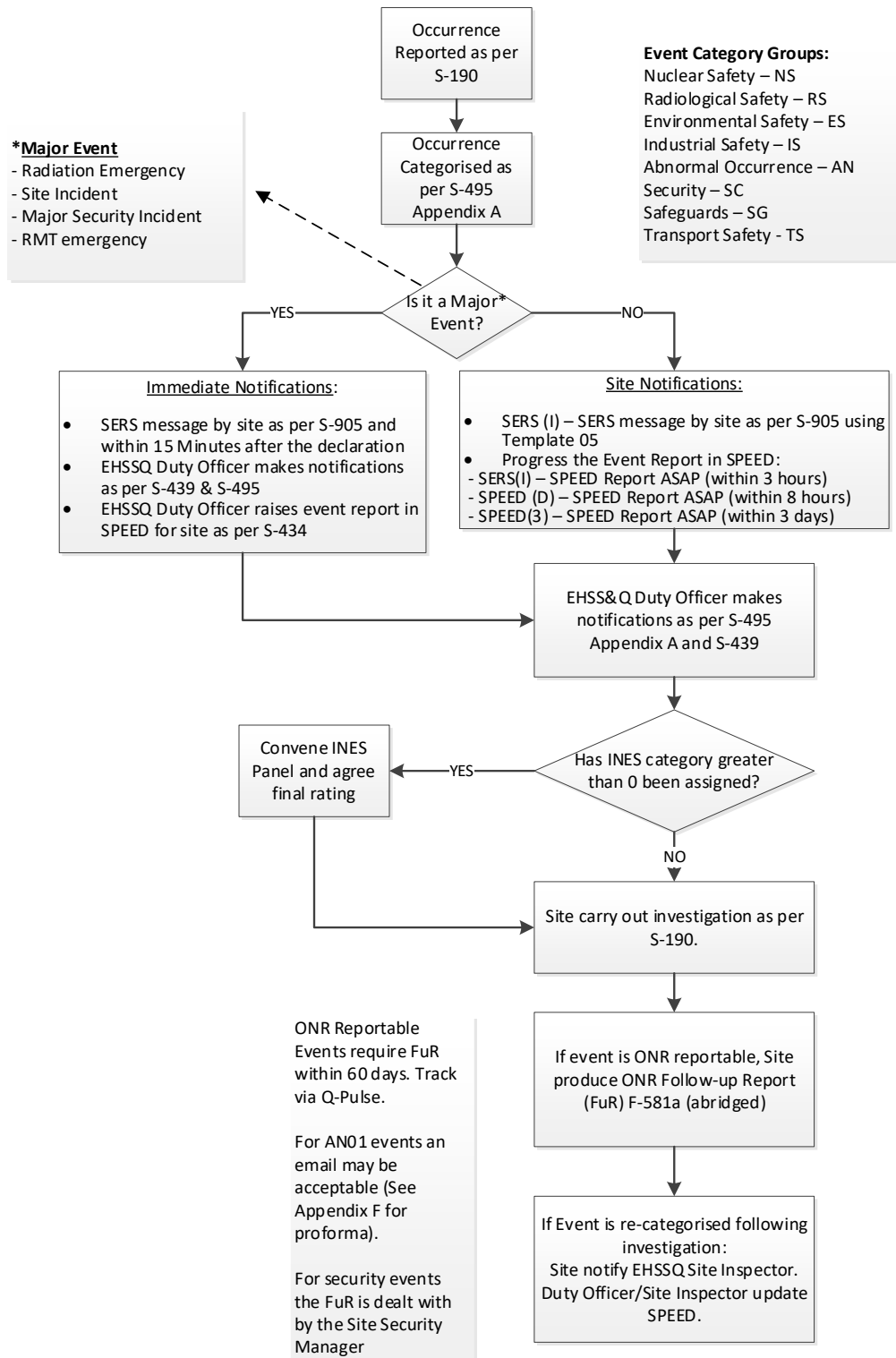
The Site Director is responsible for ensuring that adequate interface arrangements exist.

### 4. PROCEDURE

#### 4.1. Key Points

- Following an event, the determination of reporting requirements and the subsequent notification to external bodies is treated with high priority to ensure mandatory reporting timescales are met.
- For events which are to be reported to ONR, the category AN01 is used as a “catch-all” aimed at those with the potential to achieve a high public profile (i.e. events likely to attract, or that have attracted, significant national media or public attention, or local media attention with the potential to escalate) but do not appear to meet any of the immediate reporting categories. Often these events may be/may have been reported in the media. As such it is useful for ONR to be notified of these events in anticipation of requests for comment by other interested parties. AN01 may be used with or without the other categories, to give immediate effect to a notification. The presence or absence of other categories will provide an initial indication to ONR of the extent of any follow-up required.
- Occasionally event categorisation is not straightforward, the available information about the circumstances and consequences are interpreted differently. In such circumstances, in order to ensure that the appropriate category is selected, sites and office locations will consult with appropriate independent expertise for advice. When such discussions reach an impasse about the appropriate category of an event, accountability for the final decision of the event category remains with the Site Director. The justification for such a decision will be recorded in the event’s Q-Pulse report.
- If in doubt seek advice from the Internal Oversight Team/ relevant Head of Profession/ Duty Officer.
- The aim should be to conservatively over report than to fail to report, or not report within specified timescales.

**Event Categorisation and Onward Reporting – summary of procedure**



## 4.2. Categories and Levels of Significance

### 4.2.1. Event Category

Events are categorised using one or more of the following topic areas and the detailed categories specified in Appendix A:

Nuclear Safety Events (NS): Radiological Safety Events (RS): Environmental Safety Events (ES)

Industrial Safety Events (IS): Abnormal Occurrence Events (AN): Security Events (SC):

Safeguards Events (SG): Transport Safety Events (TS)

All applicable categories to the event are identified & recorded. Further guidance is provided in Appendix A.

### 4.2.2. Levels of Significance

Events are assigned one of five levels of significance based upon the selection of event categories. If more than one category is used, all the categories are considered and the one which is of greatest safety significance is used to determine the overall safety significance of the event. See details in following Table.

Level	Description	Examples	Report
1 Events of major significance	Any event where the consequences are of the highest significance due to an actual or potential threat to nuclear, radiological, industrial or environmental safety or affecting security.	<ol style="list-style-type: none"> <li>1. Fatality</li> <li>2. Site Incident</li> <li>3. Major Security Incident</li> <li>4. Release of radioactivity on or off site which requires, special action or special investigation</li> <li>5. Non-radioactive discharge to water or air that breached a limit in a regulatory permission</li> <li>6. An emergency arising during the carriage of radioactive material</li> </ol>	Level 1 events must be reported to regulators and external stakeholders immediately.
2 Events of high importance	Any event where the actual or potential outcome resulted in consequences affecting any of the six safety areas described in the Level 1 definition but which are considered to be of lesser significance than Level 1 events.	<ol style="list-style-type: none"> <li>1. Radioactive material or waste inadvertently brought on to or removed from the site</li> <li>2. Significant non-compliance with IRRs</li> <li>3. Non-compliance with Hazardous/Special Waste Regulations</li> <li>4. Reportable Injures, Diseases and Dangerous Occurrences as defined in RIDDOR.</li> <li>5. Loss or unauthorised disclosure of sensitive nuclear information</li> <li>6. Radioactive material transported with any non-compliance regarding radiation or contamination levels</li> <li>7. Loss of communication systems used during a security response to an incident.</li> <li>8. Significant and malicious breach/release of extensive amounts of Special Category Personal Data into the public domain.</li> </ol>	Level 2 events are reported to regulators and external stakeholders but in a timescale which may be other than immediately, typically within a day or a week as specified in Appendix A.

Level	Description	Examples	Report
3 Significant event or near-miss	Any event or near-miss where there is actual or a potential for significant consequences and where further investigation could be beneficial.	<ol style="list-style-type: none"> <li>1. Work commencing on a modification before it is formally approved</li> <li>2. Significant dose rate in an area where access was not made but reasonably could have been</li> <li>3. Where a person was actually in the immediate vicinity and only avoided a RIDDOR specified injury through luck</li> <li>4. Plant breakdown which could have caused serious pollution</li> <li>5. Significant shortcoming with fire safety management arrangements</li> <li>6. Breach/release of an extensive amount of Personal Data caused by omission or error rather than by malicious intent.</li> </ol>	The need for notification of Level 3 events to regulators and external stakeholders is determined by the EHSS&Q Duty Officer (unless mandated otherwise)
4 Moderate event or near miss	Any event where there is actual or a potential for only moderate consequences and where further investigation could be beneficial.	<ol style="list-style-type: none"> <li>1. Equipment behaviour that could lead to unexpected fuel temperature rise or degradation of nuclear safety related systems</li> <li>2. Unplanned event within a Supervised or Controlled Area where radiation or contamination is found to exceed the lower limits of the next highest designation</li> <li>3. Anomaly with waste discharge/disposal arrangements identified before waste discharged/disposed of.</li> <li>4. Injuries to staff or contractor's staff that falls within the OSHA guidance as recordable. (e.g. 1 day lost time accident, medical treatment beyond First Aid etc.)</li> <li>5. Non-radioactive dangerous goods consigned without a Transport Document.</li> <li>6. Malicious initiation of a fire alarm.</li> </ol>	Level 4 events do not need to be notified to regulators and external stakeholders.
5 Minor event or near-miss	Any event where there is actual or a potential for only minor consequences and the event is recorded for action and/or trending purposes.	<ol style="list-style-type: none"> <li>1. Minor radiological near miss involving the control of a source of radiation</li> <li>2. Where there is a spillage of oil but there is no risk of oil entering the drain</li> <li>3. Work-related first aid</li> <li>4. Minor theft or vandalism</li> <li>5. Transport safety related minor issues/near misses</li> <li>6. Minor plant degradation causing a potential industrial safety hazard</li> <li>7. Minor breach or near miss involving breach or release of Personal Data.</li> </ol>	Level 5 events do not need to be notified to an external outside body.

### 4.3. Notification of Events

#### 4.3.1. Internal Reporting and Communications

All events occurring on, or as a result of activities on sites (including office locations) are reported by site staff in accordance with S-190.

A weekly summary of all events at a Site is produced by site staff and made available to the local ONR inspector and relevant internal stakeholders with an email copy forwarded to the [Magnox.regulatory.interactions@magnoxsites.com](mailto:Magnox.regulatory.interactions@magnoxsites.com) mailbox.

**Note:** It is at the discretion of the local ONR Inspector to decide whether or not they want to receive the weekly summary of all events at their site. The site will check this when there is a change of ONR Inspector.

The notification requirements appropriate to each event category selected are completed by either Site staff or the EHSS&Q Duty Officer but are not repeated where the same requirement is called for by different categories. Details of event notification requirements are provided in Appendix A.

#### 4.3.2. Notification Reporting and Recording of Major Events

**Major Events** are defined as:

- Radiation Emergency (category AN01)
  - Site Incident (category NS04)
  - Major Security Incident (category from Table A7)
  - Radioactive Materials Transport (RMT) emergency (category TS01)
1. When such Major Events occur, a SERS message is sent by the site team within 15 minutes after the declaration is made. The SERS message initiates a response from the emergency arrangements. Standard Procedure S-905 explains how SERS is to be used to do this.
  2. The EHSS&Q Duty Officer contacts the site to confirm receipt of the SERS message and obtain any further information that is available before making the external and internal notifications following the process defined in this Standard Procedure and in S-439 and the guidance in its Appendix A.
    - **Note:** Before reports to Government are made by a Duty Officer, the circumstances and significance of the event must be discussed with the EHSSQ Director or, if not available, a member of their EHSSQ Lead Team. It may be decided that reporting the event to Government is not appropriate. See Appendix F.
  3. The EHSS&Q Duty Officer produces the Event Report (ER) on behalf of the site following the process defined in S-434 for SPEED.
  4. If SPEED is not available, e.g. due to a planned outage or some sort of system failure, the EHSS&Q Duty Officer will apply the arrangements in Appendix C to manage the notifications process until SPEED availability is returned.
  5. Instructions for generation of the ONR Incident Notification Form 1 (INF1) by the EHSSQ Duty Officer are provided in Appendix B. This includes using ONR's WIReD portal, and manual preparation.

### 4.3.3. Notification Reporting and Recording of Major Events

The requirements specified below vary between event categories. Refer to Appendix A for the specific requirements of a category. The activities are listed in approximately chronological order.

1. Site staff make the notifications required by the event category(ies) specified in the "Site" Column of Tables A1 to A9 in Appendix A.
2. Dependent upon the requirements of the category selected for the event, Site staff will initiate the necessary notifications using SERS and/or SPEED. Event categories with 'SERS(I)' will require a SERS message using Template 05 as explained in Standard Procedure S-905 and also a SPEED report to facilitate external and internal notifications by the EHSSQ Duty Officer. Event categories with SPEED(D) or 'SPEED(3)' require the event to be promptly reported using SPEED.
  - **Note:** Before reports to Government are made by a Duty Officer, the circumstances and significance of the event must be discussed with the EHSSQ Director or, if not available, a member of their EHSSQ Lead Team. It may be decided that reporting the event to Government is not appropriate. See Appendix F.
3. The EHSS&Q Duty Officer makes external and internal notifications following the process defined in Appendix A, and due consideration of the requirements in S-439, and S-434.
4. The EHSS&Q Duty Officer progresses the Event Report (ER) following the process in SPEED.
5. If SPEED is not available, e.g. due to a planned outage or a system failure, the EHSS&Q Duty Officer will apply the arrangements in Appendix C to manage the notifications process until SPEED availability is returned.
6. If an ONR INF1 is required by the event category the EHSS&Q Duty Officer prepares an INF1 in ONR's WIReD portal using the information provided in the ER and details sourced from Q-Pulse, and (if necessary) the site's Further Information Contact, as identified in the SPEED ER. Instructions for generation of the INF1 by the EHSSQ Duty Officer are provided in Appendix B. This includes using ONR's new WIReD portal & manual preparation of INF1s.
7. For non-security events with a manually prepared INF1 issued to ONR by the EHSSQ Duty Officer, a copy of that INF1 will also be emailed to the site OEF Engineer (or equivalent) by the EHSSQ Duty Officer for [the site OEF Engineer \(or equivalent\) to attach it to Q-Pulse for site records/reference](#).

If required, the Site Director prepares a Matter for Special Report for the Nuclear Safety Committee using Form F-487.

The list of contact telephone numbers for notification of events and emergencies is available in Appendix G.

**Note:** Before reports to Government are made by a Duty Officer, the circumstances and significance of the event must be discussed with the EHSSQ Director or, if not available, a member of their EHSSQ Lead Team. It may be decided that reporting the event to Government is not appropriate. See Appendix F.

For some event categories (e.g. environmental safety events, industrial safety events), reporting to ONR is not mandated by their requirements. However, in order to satisfy local stakeholder requirements, an additional ONR reportable category, AN01, may be added (although this will strictly require 'immediate' reporting protocols to be adopted). For some event categories this reporting requirement is already mandated, for others it will depend on the circumstances and a judgement is made as to whether ONR need to be formally notified. The event significance level assigned to the event in circumstances where the use of AN01 is not mandated by ONR is a matter for judgement. In most cases it will not be Level 1.

#### **4.3.4. RIDDOR 2013 reportable incidents**

ONR is the enforcing authority for nuclear site health and safety. In accordance with ONR requirements stated in Section 1.2 of their ONR-RIO-GD-006 'Notification Guidance for Nuclear Site Health and Safety Incidents' document (available on their 'Notify ONR' webpage): From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR using ONR's WIReD Dutyholder portal as described in Appendix P of this document. See Table A5's Generic Notes, Table A10, Appendix O and Appendix P for applicable information.

Accordingly, as the 'Responsible Person' under RIDDOR Regulation 3(1), it is the employer's responsibility to notify, report and record a RIDDOR-related event in accordance with the requirements of The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013.

Dutyholders are required to notify ONR of the reportable incident by the quickest practicable means without delay. In the event of an emergency, e.g. a fatal accident or an incident necessitating immediate contact with ONR, please call 0151 922 5911 to notify them.

A RIDDOR report is to be submitted to ONR within 10 days of the incident. The 'within 10 days' timing is the prescribed limit for making the report in an approved manner.

Sites should NOT use an Incident Notification Form 1 (INF1) to notify ONR of a relevant RIDDOR incident. If an incident meets the reporting criteria for RIDDOR 2013 and INF1, it should be reported via both routes. ONR's WIReD Dutyholder portal is now the primary route for doing both. See Appendix B for INF1 and Appendix P for RIDDOR.

#### **4.3.5. Notifications to key environment agencies**

Site staff follow the relevant conditions specified in site environmental permits and/or authorisations in respect of reporting any environmental event to the relevant environmental regulator(s), including completing any notification forms specified in relevant permits and/or authorisations. Environment Agency and SEPA have formally communicated their expectations to NRS about being notified of a range of examples of incidents on Nuclear Licensed Sites. See Appendix H for details. For consistency, it is advised that the same approach will apply for notifying SEPA and NRW; Contact details are provided in Appendix G for use by sites and Duty Officers.

### **4.4. Investigation Reporting**

Investigation reporting is performed in accordance with S-190.

#### 4.5. Final Reports, Further Information Report and Follow-Up Reports (FURs)

Most events that require an ER will also require a Final Report (FR) as described in S-039. In Appendix A the term 'FR' against an event category is also interpreted as 'FUR', thereby identifying events required to be reported to ONR.

##### **Further information report for notifiable security events:**

In the days after a security event has been notified to ONR using the ONR WIReD portal (or an INF1 form if WIReD is not available – see Appendix B), it may be appropriate for additional protectively marked details about that event, and immediate actions taken by the site, to be provided to ONR in the form of a further information report and clearly identifying it as a "further information report" within the title or body of that report. This approach will be discussed by the Site (i.e. Site Security Manager or their delegate) and ONR to confirm it is acceptable to the Regulator.

To enable accurate traceability, the unique SPEED reference of the security event will be used to link the initial notification and any subsequent reports to ONR about the event.

When agreed, the further information report can suffice as the record to complete reporting of the event to ONR and in such cases a FUR may not be required. The Site Security Manager or their delegate ensures that agreement from ONR about this is clearly recorded in Q-Pulse by the site.

However, certain security events may require initial notification, a further information report and a FUR to be provided.

For all security related events notified to ONR, the initial notification, the further information reports and FURs may be classified as Official Sen\$itive or above. Consequently those records will not be attached to SPEED or Q-Pulse. Advice about this will be obtained from the Site Security Manager or their Deputy.

**Should an event occur that raises concerns about a National Security Vetting (NSV) clearance holder's suitability to hold such clearance, the Site are required to inform the Personnel Security Manager (PSM (or delegate)) at the earliest opportunity. Following this, the PSM (or delegate) will submit an Aftercare Incident Report (AIR) to ONR.**

##### **Follow-Up Report (FUR):**

When events are notified to ONR, Site staff prepare a Follow-Up Report (FUR) and submit it to ONR within 60 calendar days following the date the event notification was made. ONR's WIReD Dutyholder portal will be used to submit notifications and FURs, or, if the WIReD portal is not available, a manually prepared FUR (Form F-581A) will be issued to ONR's email address: [onr.incidents@onr.gov.uk](mailto:onr.incidents@onr.gov.uk).

**Note:** Access to WIReD portal can be requested by emailing Carol Williams of Regulatory Communications.

When an event is submitted in ONR's WIReD Dutyholder portal it is automatically given a unique reference (e.g. INF-1234). When the event notification is recorded as 'submitted' by the process the 'FUR deadline' date and time are identified at the bottom of the report/screen. Sites will use Q-Pulse to track this 60 calendar day period through appropriate action(s) placed on the person(s) responsible. FURs issued to ONR will be attached to the relevant Q-Pulse

event record. However, because FURs issued to ONR may be classified as Official Sensitive or above they will not be attached to Q-Pulse or SPEED.

FURs contain ONR-specified information sourceable from the ONR document ref: ONR-RIO-PROC-002 'Process for Notifying incidents to ONR' which is available by searching for it on their website. Form F-581a accommodates those ONR requirements.

Note that in the case of events categorised under ONR's category AN01 code, it may be acceptable for the FuR to be replaced by a simple e-mail to close out the event, subject to approval by the relevant ONR Site Inspector. An example of the text of such an e-mail is provided in Appendix E.

FuRs can now be issued to ONR via the ONR WIReD platform, or by e-mail to 'onr.incidents@onr.gov.uk' if the ONR WIReD portal is not available (See Appendix B). Ensure that the ER reference number generated by SPEED is quoted. Each time an INF1 form is generated manually, a copy is also emailed to 'magnox.onr.inf1@magnoxsites.com'.

**Note:** The ONR e-mail address: 'ONR.CNS.Event.Reports@onr.gov.uk' is no longer supported and is not to be used.

#### 4.6. International Nuclear Event Scale (INES) Rating of Events

Process	Responsibility
Following a notification from site of an event which requires an INES rating, use the best available information to produce a provisional INES rating.	EHSS&Q Duty Officer
Review the provisional INES rating and, if possible, have it peer checked by an EHSSQ Site Inspector before issuing it.	EHSS&Q Duty Officer/ EHSS&Q Site Inspector
If the provisional INES rating is greater than zero, or if requested by the EHSS&Q Duty Officer, convene the INES Panel and agree the final rating.	Head of Internal Oversight
Notify the Site Director or their nominee and the relevant EHSSQ Site Inspector of the final INES rating.	Head of Internal Oversight
Review the provisional INES rating, e.g. in response to the INES Panel decisions, make necessary changes and then define it as the final INES rating.	EHSS&Q Site Inspector

INES ratings will no longer be uploaded to SPEED. Instead, sites will be provided with the relevant provisional/final INES ratings by the EHSSQ Site Inspector for that site and the rating will be attached as a Q-Pulse record for the event.

#### 4.7. Re-categorisation of Event Following Investigation

Where an event is re-categorised following an investigation, the site staff discuss it with the EHSS&Q Site Inspector and the record held on SPEED is modified accordingly. The detail of how this is to be undertaken is described in S-434 and S-439.

If an event is re-categorised following investigation and becomes externally reportable for the first time, this is made clear in the description when the event is entered onto the SPEED database.

Occasionally event categorisation is not straightforward, the available information about the circumstances and consequences are interpreted differently. In such circumstances, in order to ensure that the appropriate category is selected, sites and office locations will consult with appropriate external/independent expertise for advice.

When such discussions reach an impasse about the appropriate category of an event, accountability for the final decision of the event category remains with the Site Director. The justification for such a decision will be recorded in the event's Q-Pulse report.

If in doubt seek advice from the Internal Oversight Team/ relevant Head of Profession/ Duty Officer.

The aim should be to conservatively over report than to fail to report, or not report in specified timescales.

#### 4.8. Records

Record	Format	Storage Location	Retention Period	Keeper
Notification letters to the external agencies	Electronic	Database/backup on server	Until obsolete or superseded +2 years	IT
INF1 to ONR	Electronic	Database/backup on server	Until obsolete or superseded +2 years	IT
Completed ER	Electronic	Database/backup on server	Until obsolete or superseded +2 years	IT
INES rating	Electronic	Database/backup on server	Until obsolete or superseded +2 years	IT

### 5. MONITORING AND MEASUREMENT

N/A

## 6. DEFINITIONS

Term used	Explanation
<b>Event</b>	<p>Any unintended event, including operating errors, equipment failures, initiating events, accident precursors, near misses, potential mishaps, or unauthorised acts, malicious or non-malicious, the consequences or potential consequences of which are not negligible from the point of view of protection or safety.</p> <p><i>Note: The use of the word, “event” is intended as a generic term to include all other commonly known terms such as abnormal occurrence, dangerous occurrence, significant event, site incident, reportable incident, recordable incident etc.</i></p>
<b>Major Event</b>	<p>An event which is of such significance that the Declaration Conditions are incorporated into the Site Emergency Plan/ Accident and Emergency Arrangements. There are four categories:</p> <p style="text-align: center;"> <b>Radiation Emergency (AN01)</b>  <b>Site Incident (NS04)</b>  <b>Major Security Incident (Category from Table A7)</b>  <b>Radioactive Materials Transport (RMT) emergency Event (TS01)</b> </p>
<b>Company Event</b>	<p>Any other event or near miss which warrants recording and may need internal and/ or external notification or reporting.</p>
<b>Incident</b>	<p>Any event that requires notification to ONR as prescribed within relevant legislation including notification required by specific LCs, is deemed to be an ‘incident’ for the purposes of compliance with LC6 and LC7.</p>

## **APPENDIX A – EVENT CATEGORISATION AND REPORTING**

### **A.1 Event Categorisation**

Tables A1 to A9 list the categories within each area. An event can attract one or more categories and all relevant categories are selected and recorded.

Column 1 provides the category for the event.

Column 2 provides a description of the event.

Columns 3, 4 and 5 identify the site staff and EHSS&Q Duty Officer reporting and notification timescales. See the 'Timescales' section below for details.

Occasionally event categorisation is not straightforward, the available information about the circumstances and consequences are interpreted differently. In such circumstances, in order to ensure that the appropriate category is selected, sites and office locations will consult with appropriate external/independent expertise for advice.

When such discussions reach an impasse about the appropriate category of an event, accountability for the final decision of the event category remains with the Site Director. The justification for such a decision will be recorded in the event's Q-Pulse report.

If in doubt seek advice from the Internal Oversight Team/ relevant Head of Profession/ Duty Officer.

The aim should be to conservatively over report than to fail to report, or not report within specified timescales.

### **A.2 Notification and Reporting Requirements**

The Notification/Reporting Requirements columns determine the routes, specific requirements and timescales for notifications and reporting. For the EHSS&Q Duty Officer, the SERS message triggers a parallel set of activities. The notification requirements information is divided into sub-sections for each category. These are: SERS message with timing, external notification and reporting requirements, internal notification and reporting requirements, site reporting requirements and records and INES rating requirements for the Duty Officer.

#### **A.2.1 Routes and Specific Requirements for Notification and Reporting**

The notification and reporting requirements are identified in Tables A1 to A9 using a set of acronyms given in Table A10. If an acronym is suffixed with (C) then the notification or reporting requirement is not obligatory and is to be "considered"; dependent upon the circumstances of the actual event.

The list of contact telephone numbers for notification of events and emergencies is available in Appendix G.

Specifically for MSR(C), the Site Director or delegate communicates their decision to the NSC Secretary and Chair. The NSC Chair can request the Site Director to submit a MSR to the Nuclear Safety Committee.

## A.2.2 Timescales

### SERS messages

The specified timing of the SERS message is consistent with the seriousness of the event.

For **Major Events** the SERS message has to be sent by the Site within 15 minutes after having declared a Major Event. The relevant SERS template will be selected in accordance with S-905 for such events.

For all of the other event categories in this Standard, the timescales for SERS messages by Sites are:

**SERS(I)** send SERS message as soon as possible but in any case within 3 hours.

For event categories requiring SERS(I) message timescales, sites are to use Template 05 of S-905.

### SPEED messages

SPEED(D) send SPEED message as soon as possible but in any case within 8 hours after the event occurring, or it becoming known to the site.

SPEED(3) A report is raised in SPEED within 3 days of the event occurring, or it becoming known to the site.

### Notifications and Reporting

An initial telephone notification will be made by the Site to the stakeholders identified in the "Site" Column of Appendix A.

For security events that are reportable in accordance with Regulations 10, 18 and 22 of NISR 2003; as soon as practicable and in any event within 24 hours of the event becoming known to the site the required verbal report will be made by telephone to the nominated ONR Site Inspector directly during Business Hours (Monday to Friday: 08.30 - 17.00hrs) or Out of Hours by calling 0330 313 5695 for the Constabulary Communications Centre (CCC) of the Civil Nuclear Constabulary (CNC) and asking to leave a message for the Duty ONR Inspector to call the site representative back.

Initial telephone notification by the EHSSQ Duty Officer to stakeholders is required for Major Events and a few other SERS(I) events as specified in the "External" and "Internal" columns.

**For Sites and the EHSSQ Duty Officer:** timescales for formal notifications are indicated in the brackets after the recipient(s), e.g. ONR(D), and identified in applicable columns of Appendix A using the following codes.

However, when an event or incident becomes known to a site it is of the utmost importance that the applicable prescribed (legal) reporting and notification timescales are achieved. Regulators and legal requirements use terms such as 'Without delay', 'by the quickest practicable means without delay', 'as soon as practicable' to emphasise the importance of notifying and reporting incidents/events to them. To ensure it is achieved, occasionally, e.g. during 'Out Of Hours' periods, this may mean that it is necessary to categorise an event outwith the meeting-based categorisation process usually operated during the site's 'Normal Hours', e.g. Daily Event Review Meeting (DERM). In such cases, to ensure prescribed (legal) reporting and notification timescales are achieved, sites (e.g., Duty Controller/SIO) can seek advice and support from the on-call team, i.e. EHSSQ Duty Officer, Duty Security Officer, etc.

**(I)mmediate** notify/report as soon as possible but in any case within 8 hours.

**(D)ay** notify/report as soon as possible but in any case within 24 hours.

**(W)eek** notify/report as soon as practicable/within 7 calendar days.

Where the seriousness of an event only becomes apparent after investigation, testing or calculation, the timescales refer to the point at which the seriousness is recognised. However, where the potential seriousness can be foreseen, it is acted upon without delay.

For those sites that have tenant agreements with third parties located on their sites, again the timescales refer to the point at which the Site has been provided with sufficient information regarding any 'qualifying' events that occur within the Tenant's area of control. If the Tenant does not provide the required information in a timely manner then this can be recorded as mitigation in Q-Pulse and on SPEED.

In regard to 'out of hours'/'silent hours' events where the site is not operational 24/7 then notifications should be made as soon as possible. In this instance some judgement may be required with respect to categorisation and the local EHSS&Q Site Inspector or the Duty Officer can advise on this. Likewise, for SPEED(D) events where the EHSS&Q Duty Officer reporting requirement is '(I)Immediate', or SPEED(3) events where the EHSS&Q Duty Officer internal reporting requirements is '(D)ay' the timescales refer to the point at which the event was entered onto SPEED.

When a SERS message or SPEED report is made by Site staff, the person identified as a point of contact (i.e. for further information) is required to be both available and have sufficient knowledge of the event to deal with the return call made by the EHSS&Q Duty Officer.

**Note for EHSS&Q Duty Officers:** ONR is the generic term used throughout this document for all divisions of this regulator i.e.

ONR (Safety)

ONR-(Security) - Formerly ONR-CNSS

ONR-Transport) - Formerly referred to in this standard as ONR(T)

ONR (Safeguards). Formerly referred to in this standard as ONR(S)

When these events are raised onto WIReD, the appropriate division will be selected within the WIReD process for the correct onward notification.

**Table A1 – Major Event Categories**

**GENERIC NOTES:**

**\*The SERS message is sent by the site within 15 minutes after a declaration is made.**

Site: see Approved Site Emergency Plan, Site Security Plan/Security Contingency Plan, Standard Procedure S-463 (RMT Emergency Plan) for notification requirements.

EHSS&Q Duty Officer: also refer to S-439 and check any required notifications under other categories for notification requirements.

Detailed instruction on the process for NDA(I) notifications is provided in S-495 Appendix J.

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
AN01	<p><b>Radiation Emergency - See Site Emergency Plan for Declaration Conditions</b>                      ONR Notifiable - Immediate.                      Guidance: See Appendices K &amp; L of this Standard for applicability of relevant Ministerial Reporting Criteria.                      Origin of Category: LC11 – Emergency Preparedness                      Note: AN01 can be used as a “catch-all” category for events or occurrences likely to attract, or that have attracted, national media or public attention, or local media attention with the potential to escalate. See Table A6 for Guidance about reporting/notifications in that context.</p>	SERS *	GOV(I) ONR (I) EA/SEPA/ NRW (I) NDA(I)	Exec(I)  DPO(I) CS(I)  TPCC(D) CNA(C)
		MSR	INES	
		FR	ER	
NS04	<p><b>Declaration of a site incident or condition, where personnel or resources are mobilised in response to an unexpected occurrence that creates a hazard to the safe operation of the facility, and/or to the health and safety of personnel on or off the site.</b>                      See Site Emergency Plan/ Accident and Emergency Arrangements for Declaration Conditions.                      ONR Notifiable - Immediate.                      *The SERS message is sent by the site within 15 minutes after declaration of a Site Incident.                      This category is aimed at conditions and incidents on the site that are not classified as nuclear emergencies but nevertheless lead to one or more of the site’s incident control centres being set up to control response to nuclear or radiological related event by persons on or off the site.                      A Site Incident is a hazardous condition that is confined in its effects to within the boundary of the site security fence. Such a condition is not limited to events with a radiological hazard. Any serious situation which requires the withdrawal of staff to a safe area, assembly of response personnel and accounting for any missing persons should be considered a Site Incident by the Duty Controller.                      Origin of Category: LC11 - Emergency Preparedness.</p>	SERS *	GOV(I) ONR (I) EA/SEPA/ NRW(I) NDA(I)	Exec(I) DPO(I) CS(I) CNA(I) HoP(Rel)(I) TPCC(D)
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>Select from Table A7</b> <b>Major Security Incident</b> <b>ONR Notifiable - Immediate.</b> A Major Security Incident is when a security threat threatens to compromise, or already has compromised, nuclear safety or the security of the site. 'Major Security Incident' is a declaration state initiated by a SQEP who is competent and has authority to do so, e.g. Duty Controller (DC), Emergency Controller (EC). If necessary, they should contact the Site Security Manager for support and advice during normal working hours. A Duty Security Officer and an EHSSQ Duty Officer are available to call on a 24/7 basis via the on-call rota.  Major Security Incident is one of four types of 'Major Event'. Sites will select the appropriate category from Table A7 'Security Categories' that reflects the circumstances and significance of the Major Security Incident, e.g SC10a, SC10b.  <b>Origin of Category:</b> NISR 2003, Specified in the Ministerial Reporting Criteria (MRC); sub-category (c): For details of MRC see Appendix L.	SERS *	GOV(I) ONR((I) NDA(I) EA/SEPA/ NRW(I) PSM (C)	Exec(I)  CS(I) CNA(C) HoP(SS)(I) TPCC(D)	
	MSR	INES		
	FR	ER		
<b>TS01</b> <b>Radioactive Materials Transport (RMT) emergency</b> <b>A radiation emergency: a situation arising during the course of the carriage of a consignment of class 7 (radioactive) goods that requires urgent action in order to protect workers, members of the public or the population (either partially or as a whole) from exposure.</b> <b>or</b> <b>Any occurrence during the carriage of nuclear matter, causing or likely to cause death, or serious injury to persons by reason of the radioactive properties of such nuclear matter.</b>  <b>ONR Notifiable - Immediate.</b> <b>NOTE:</b> * The SERS message is sent as soon as possible by the Individual in Charge, as per S-463, after receiving an incident call. <b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies. <b>Such as:</b> <ul style="list-style-type: none"> <li>Initiation of the Radioactive Materials Transport (RMT) Emergency Plan in response to a radiation emergency for a Company owned consignment where countermeasures to protect the public are initiated or advice has resulted in an extension beyond the standard (L1) response. Note: S-463 is the RMT Emergency Plan.</li> </ul> Reporting Responsibility: CDG 2009 - The carrier (or consignor on their behalf) is responsible for making a notification using this category. NI(DO)R – The site licensee is responsible for making a notification using this category (defined by NIA 65 22(1)(b)).	SERS *	GOV(I) ONR (I) NDA(I) EA/SEPA/ NRW(I)	Exec(I)  DPO(I) CS(I) HoP(RMT)(I) HoP(RS)(I)  TPCC(D) DGSA(I)	
	MSR	INES		
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
	<p><b>Note:</b> Seek advice from HoP(RMT) or DGSA about whether Form ADR 1.8.5.4 is also required.</p> <p><a href="#">Origin of Category:</a>                      Regulation 24 and Schedule 2, Part 5 of the CDG Regulations 2009 (as amended by the Carriage of Dangerous Goods Amendment Regulations 2019 (CDG19). Nuclear Installations (Dangerous Occurrences) Regs 1965 (NI(DO)R), Regulation 2b(i).                      Ministerial Reporting Criteria for Transport events - MRCT1. See Appendix K.</p>			

**Table A2 – Nuclear Safety Events**

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
NS01	<p><b>Any explosion or outbreak of fire on a licensed site affecting or likely to affect the safe working or safe condition of the nuclear installation.</b>  <b>ONR Notifiable - Immediate.</b></p> <p>Notification under this category requires an element of judgement. For example, a small fire on site that did not or could not reasonably be expected to endanger significant safety related plant should not be notified under this category. However, if one of the principal safety functions of controlling reactivity or, cooling fuel or containing radioactive material was significantly at risk of failing or was disabled then this would be reportable under this category.</p> <p>However, if the dutyholder judges it necessary to take significant precautionary action such as shutting down a reactor or process plant and the off-site fire services attended to assist in extinguishing a fire then the event should be notified to ONR.</p> <p>The extent of damage to safety related plant from a fire or explosion may not be immediately obvious or fully assessed for some time after a fire is extinguished, but if there is any doubt it would be prudent to promptly report a significant fire under this category or other appropriate categories, such as NS10.</p> <p><b>Origin of Category:</b> This category is established in the Nuclear Installations (Dangerous Occurrences) Regulations (DOR) 1965 (Statutory Instrument 1965/1824); Reg. 3 sub-paragraph (c).</p> <p>In addition, it is reportable under Ministerial Reporting Criteria (MRC); sub-category (a): For details of MRC see Appendix L.</p>	SERS(I)	GOV(I) ONR (I) NDA(I) EA/SEPA/ NRW(I)	Exec(I)  DPO(I) CS(D)  TPCC(D)
		MSR	INES	
		FR	ER	
NS02	<p><b>Any uncontrolled criticality excursion.</b>  <b>ONR Notifiable - Immediate.</b></p> <p>This category is relevant to any uncontrolled criticality, whether or not personnel are directly affected.</p> <p><b>Origin of Category:</b> This category is established in the Nuclear Installations (DOR) 1965; Reg. 3, sub-paragraph (d). In addition, it is reportable under the Ministerial Reporting Criteria (MRC); sub-category (a). For details of MRC see Appendix L.</p>	SERS(I)	GOV(I) ONR (I) NDA(I)	Exec(I)  DPO(I) CS(D)  TPCC(D)
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>NS03</b> <i>Any incident that meets the criteria of NS08 or NS12 and the overall impact means that an adequate safety case to continue operations cannot be made.</i> ONR Notifiable - Immediate. ONR intends for notifications under this category to represent losses of defence in depth with the highest level of safety significance. Licensees should use the impact of the loss of defence in depth on continued safe operations as the threshold for safety significance. Licensees should consider the applicability of this category for all NS08 and NS12 incidents. For this category: <ul style="list-style-type: none"> <li>An “adequate safety case” complies with the licensee’s LC23 (1) and LC14 (1) arrangements.</li> <li>“Continued operations” means operation of facility for its primary purpose.</li> <li>“Cannot be made” is without resolution of the loss of defence in depth that met the criteria of NS08 or NS12.</li> </ul> Origin of Category: Specified in the Ministerial Reporting Criteria (MRC); sub-category (c) : For details of MRC see Appendix L.	SERS(I)	GOV(I) ONR (I) NDA(I)	Exec(I) CS(D) TPCC(D)	
	MSR	INES		
	FR	ER		
<b>NS04</b> <i>Declaration of a site incident or condition, where personnel or resources are mobilised in response to an unexpected occurrence that creates a hazard to the safe operation of the facility, and/or to the health and safety of personnel on or off the site.</i> ONR Notifiable - Immediate. *The SERS message is sent by the site within 15 minutes after declaration of a Site Incident. This category is aimed at conditions and incidents on the site that are not classified as nuclear emergencies but nevertheless lead to one or more of the site’s incident control centres being set up to control response to nuclear or radiological related event by persons on or off the site. A Site Incident is a hazardous condition that is confined in its effects to within the boundary of the site security fence. Such a condition is not limited to events with a radiological hazard. Any serious situation which requires the withdrawal of staff to a safe area, assembly of response personnel and accounting for any missing persons should be considered a Site Incident by the Duty Controller. Origin of Category: LC11 - Emergency Preparedness.	SERS *	GOV(I) ONR (I) EA/SEPA/ NRW(I) NDA(I)	Exec(I) DPO(I) CS(D) CNA(I) HoP (Rel)(I) TPCC(D)	
	MSR	INES		
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 2 EVENTS</b>				
NS05	<p><b>Any operation or condition of plant that is prohibited by operational limits and conditions or operating rules.</b>  <a href="#">ONR Notifiable - Day.</a>                      The requirement of LC23 is to ensure that all operations that may affect safety are supported by an adequate safety case and this safety case identifies the limits and conditions for operation (LCO) which ensure that the plant or process remains safe i.e. it defines a “safe operating envelope”.                      The LCO include values for safety limits, limiting safety system settings, limiting conditions for operation, levels for surveillance, design features, and various administrative and organizational requirements, directly connected with safe operations. Occurrences where operating limits and conditions are not adequate or are not being complied with should invoke LC7 incident notification and investigation arrangements, leading to ONR being notified.                      There may be instances where it becomes apparent at some later time or date that an operation or condition prohibited by LCO or operating rules occurred, but the operators were unaware of it. If such a case is identified, then the occurrence should be retrospectively notified to ONR under this category.  <a href="#">Origin of Category:</a> LC23 (3): Operating Rules. IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations.</p>	SPEED (D)	ONR (D) NDA(D)	Exec(D) TPCC(D)
		MSR	INES	
		FR	ER	
NS07	<p><b>Any automatic or manual reactor, chemical processing plant or other nuclear facility shutdown as required by the operational limits and conditions, or as a result of other significant safety related considerations.</b>  <a href="#">ONR Notifiable - Day.</a>                      This category is intended for those incidents whereby the licensee’s arrangements or other significant safety related considerations require the plant to be manually shutdown or installed safety provisions automatically actuate causing a plant to shut down. ONR should be notified of conditions affecting safety that are significant enough to warrant the plant be shut down.                      The category ends with the words “or as a result of other significant safety related conditions”. This phrase is intended to cover occurrences when it is not strictly necessary to shut down immediately but has been judged so because a condition adverse to safety has been identified, and if left unchecked could worsen, ultimately leading to an automatic or manual shutdown.                      There are exceptions where notification is not necessary, as follows:</p> <ul style="list-style-type: none"> <li>• Periodic shutdown (often called statutory outage) under LC 30 to perform maintenance schedule work;</li> <li>• Shutting down a chemical process plant when a routine batch production run has been completed; and,</li> <li>• Shutting down a radioactive waste store.</li> </ul> <p><a href="#">Origin of Category:</a> IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations</p>	SPEED (D)	ONR (D) NDA(D)	Exec(D) TPCC(D)
		Adj(C)		
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>NS08</b></p> <p><b><i>Any operations that identify defects or misconfigurations with higher classification safety Systems, Structures and Components (SSC) that prevent performance of the SSC's safety case defined nuclear safety functions.</i></b></p> <p>ONR Notifiable - Week.</p> <p>ONR intends for notifications under this category to be for plant problems that led to losses of defence in depth.</p> <p>For this category to apply, it would be expected that there would be a significant degradation of the ability of the SSC to perform its safety function against a significant fault or hazard (see NS32). Practically this means SSCs claimed against DB1 or DB2 faults (in accordance with S-259) that are no longer able to perform their claimed safety function as detailed in the safety case.</p> <p>For this category:</p> <p>“Operations” use the licence condition handbook definition. This includes any maintenance, examination, testing and operation of the plant and the treatment, processing, keeping, storing, accumulating or carriage of any radioactive material or radioactive waste.</p> <p>Origin of Category: LC 28 (8) – Examination, Inspection, Maintenance and Testing</p> <p>IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations</p>	SPEED (3)	ONR (W) NDA(W)	Exec(D) CS(D)  TPCC (W)	
	MSR(C)	INES		
	FR	ER		
<p><b>NS09</b></p> <p><b><i>Any event or abnormal condition that resulted in the manual or automatic operation of a significant safety related protection system or other engineered safety features thereby challenging safety systems.</i></b></p> <p>ONR Notifiable - Week.</p> <p>This category is intended to report incidents whenever a significant safety related system, mechanism, device or circuit actuates either manually or automatically. This is based on the premise that that these systems are provided to mitigate the consequences of significant events, and as such they should function as designed when called upon, and they should not be challenged frequently or unnecessarily. ONR is interested both in incidents where a system was demanded to mitigate the consequences of an event, and those where a safety system actuated unnecessarily. However, there are some exceptions, such as actuation from any part of a pre-planned maintenance or testing sequence, or if the actuation occurred after the safety function had already been performed.</p> <p>ONR has not specified which engineered safety systems are applicable here so a degree of judgement will be necessary. Typical nuclear safety systems to consider would typically include reactor protection systems, emergency power systems, emergency cooling systems, emergency ventilation systems and pressure relief mechanisms. The intent is to seek notification of instances of actuation of systems that mitigate the consequences of significant events.</p>	SPEED (3)	ONR (W) NDA(W)	Exec(D)  TPCC (W)	
	MSR(C)	INES		
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>NS09</b> <i>(Cont'd)</i></p>	<p>Usually this would not necessarily include single component actuations for redundant provisions because these by themselves do not provide the totality of the protection, however where it provides a critical safety function, it should be notified to ONR.</p> <p>Significant engineered safety feature means those SSCs claimed against DB1 or DB2 faults in the safety case.</p> <p><b>Origin of Category:</b> LC27: Safety Mechanisms, Devices and Circuits IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations.</p>			
<p><b>NS10</b></p> <p><b><i>A fire or other internal hazard that posed an actual threat to the safety of the nuclear installation or that significantly distracted site personnel in the performance of duties necessary for safe operation.</i></b></p> <p><b>ONR Notifiable - Week.</b></p> <p>The actual threat referred to in this category is from internal events, principally fires, but also from release of toxic/asphyxiating gases, flooding, radioactive releases etc. The intent is to ensure notification of events that threaten or may compromise the safety of the plant or disrupt personnel in the performance of duties necessary for safe operation.</p> <p>The phrase “significantly distracts personnel” applies to those events which significantly affect the ability of site personnel to perform safety related activities.</p> <p>Any fire at a nuclear installation represents a shortfall in expected standards. The threat posed by a fire to a nuclear installation is well documented and the consequences of such events can be severe. Fires have the potential to affect the operation of safety systems with the consequence of quickly eroding defence-in-depth provisions that most nuclear plants are designed with.</p> <p>Limiting the consequences of fires that threaten plant protecting nuclear safety or containing radioactive material is of interest to ONR therefore consideration should be given to notifying ONR of relatively minor fires. In addition, it should be noted that fires on nuclear sites are likely to attract media interest, and thus may also be considered for notification to ONR under the category AN01.</p> <p><u>Sites and EHSSQ Duty Officers are reminded that environment agencies expect to be notified about events that are likely to attract media interest.</u></p> <p>ONR expects this category to include incidents that impact facilities under construction or modification. This includes fires that posed an actual threat to safety of construction personnel or where the fire resulted in damage to safety significant installations that were under construction.</p> <p><b>Origin of category:</b> IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations</p>	<p><b>SPEED (D)</b> Adj(C)</p>	<p>ONR (D) NDA(D) EA/SEPA/ NRW(D)</p>	<p>Exec(I) DPO(D) CS(W)  TPCC (W)</p>	
	<p>MSR(C) FR</p>	<p>INES ER</p>		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>NS11</b></p> <p><b><i>Significant inadequacy in or significant failure to comply with the arrangements made under a condition attached to the Nuclear Site Licence or permission granted under a Licence Instrument.</i></b></p> <p><b>ONR Notifiable - Week.</b></p> <p>This category is open to interpretation and will require some judgement on the part of the licensee. Often it is possible to make an error in following a procedure or instruction or to find documented arrangements that might be improved by clarification or addition, however such occurrences are not often considered to be significant in terms of safety.</p> <p>A non-compliance is a failure to comply with any aspect of the licence conditions or the licensee’s compliance arrangements. This category is for licensees to notify ONR the subset of these non-compliances that have the greatest impact on nuclear safety, defence-in-depth and licence condition compliance.</p> <p>To determine whether an incident meets the criterion for this category, licensees should consider the specific non-compliance against the following definitions:</p> <ul style="list-style-type: none"> <li>• “Significant inadequacy” is the absence of arrangements that the licence conditions require. This includes failures to make appropriate arrangements or to implement compliance arrangements that have the same impact as an “absence”.</li> <li>• “Significant failure to comply” means a non-compliance with licence condition compliance arrangements that has the same impact as an “absence”.</li> </ul> <p>The licensee should ensure that their arrangements have a notification threshold that defines “<b>absence</b>” in the context of their facility and arrangements. In this context, an <b>absence</b> is a failure to meet the intent of the licence condition. The threshold should ensure adequate notification under this category without presenting the licensee an excessive burden.</p> <p>Licensees should assess non-compliances based on the specific areas that the licence conditions or licensee’s compliance arrangements require. These areas could be SSC, operations, documentation or records of compliance. This means that the category should include non-compliances that are isolated to one area while other areas are compliant</p> <p><b>Origin of Category:</b> Site Licence Conditions.</p>	<b>SPEED (3)</b>	ONR (W) NDA(W)	Exec(D) TPCC (W)	
	MSR	INES		
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
NS12	<p><b>Any safety analysis and/or quality assurance activity that identifies higher safety classification Systems, Structures and Components (SSCs) cannot perform their safety case defined nuclear safety functions.</b></p> <p><a href="#">ONR Notifiable - Week.</a></p> <p>This category covers losses of defence in depth that safety analysis or quality assurance activities detect. It includes all safety analysis, design, construction, manufacturing, supply chain, commissioning or operational problems that resulted in, or could have resulted in, an operating condition that had not previously been analysed or that could have exceeded design basis conditions.</p> <p>This category is intended to cover a wide range of activities whereby defects, faults or other conditions are discovered that have not been considered in the existing safety case or that could affect the assumptions made by, or intent of, the designers.</p> <p>For this category to apply, it would be expected that there would be a significant degradation of the ability of the SSC to perform its safety function against a significant fault or hazard. Practically this means SSCs claimed against DB1 or DB2 faults that would not be able to perform their claimed safety function as detailed in the safety case.</p> <p>ONR expects licensees to use this category for notification of:</p> <ul style="list-style-type: none"> <li>• Adverse chemical condition that may degrade defence in depth.</li> <li>• Counterfeit, Fraudulent, and Suspect Items or quality falsification that impact defence in depth.</li> </ul> <p>For facilities under construction or being modified, licencees should use this category to notify ONR of incidents that had the potential to impact SSC's future nuclear safety functions including losses in defence-in-depth. The licensee's notification threshold should be based on safety classification and incident's impact on performing nuclear safety functions if the problem were not detected.</p> <p>For this category:</p> <ul style="list-style-type: none"> <li>• Safety analysis refers to any activity as part of the licensee's LC 14 or 15 arrangements.</li> <li>• Quality assurance activities are the licensee's LC17 arrangements that support compliance with LC 19, LC 20, LC 21 and LC 22.</li> </ul> <p><a href="#">Origin of category:</a>LC23: Operating Rules IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations</p>	SPEED (3)	ONR (W) NDA(W)	Exec(D)  TPCC (W)
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>NS13</b></p> <p><b>Any natural phenomenon or other external condition that posed an actual threat to the safety of the nuclear installation or that significantly hampered site personnel in the performance of duties necessary for safe operation.</b></p> <p>ONR Notifiable - Week.</p> <p><b>NOTE:</b> For aircraft events, no further investigation and FuR to ONR are required, nor is an MSR.</p> <p>ONR expects licensees to use this category to notify incidents that resulted from severe weather incidents. Similarly worded to NS10, this category is intended to cover external natural events such as earthquakes, fires, high winds, lightning, snow, ice, floods and any other relevant external hazards.</p> <p><b>The judgement to be exercised here is in deciding if there is an actual threat to the site or plant from the external hazard</b> i.e. where it challenges the ability of the site or plant to continue to operate in a safe manner.</p> <p>The phrase “significantly hampers personnel” applies narrowly, i.e. only to those events which significantly hamper the ability of site personnel to perform safety related activities. The judgement to be made here is to what extent personnel were significantly hampered. Consideration should be given to whether the personnel duties are significant to maintaining nuclear safety.</p> <p>As well as their relevant Contingency Plans, Sites will refer to Company Standard S-649 ‘Severe Weather Conditions Guidelines’ for relevant definitions and thresholds of severe weather conditions, and Company Standard S-477 ‘Company Business Continuity Plan’ which defines the plans and responses to any sudden, unforeseen event that can seriously affect the operational delivery, commercial viability or reputation of the company.</p> <p><b>Origin of Category:</b> IAEA Specific Safety Guide (SSG) 50: Operating Experience Feedback for Nuclear Installations</p>	<p><b>SPEED (3)</b></p>	<p>ONR (W)</p> <p>NDA(W)</p>	<p>Exec(D)</p>	
	<p>Adj(C)</p>		<p>CS(W)</p> <p>TPCC (W)</p>	
	<p>MSR(C)</p>	<p>FR</p>	<p>INES</p>	
			<p>ER</p>	
<p><b>NS14</b></p> <p><b>Any fault or mal-operation of lifting equipment that had or may have had a significant effect on nuclear safety.</b></p> <p>ONR Notifiable - Week.</p> <p>Incidents associated with lifting machinery or equipment in nuclear plants is of interest because the potential for damage to safety related plant is significant when failures occur. This category is to cover failure of lifting equipment to perform as it should, from misuse or poor maintenance of the equipment by operators. This category does not just cover actual physical damage to safety related plant but also significant procedural deviations and near-misses where loss of control of a load might have easily damaged safety related plant, but by chance did not.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>There is the potential to cause a significant nuclear safety event, or the event threatened an SSC that provides protection against a significant fault or hazard.</li> </ul>	<p><b>SPEED (3)</b></p>	<p>ONR (W)</p> <p>NDA(W)</p>	<p>Exec(D)</p>	
			<p>TPCC (W)</p>	
	<p>MSR(C)</p>	<p>FR</p>	<p>INES</p>	
			<p>ER</p>	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>NS14</b> <i>(Cont'd)</i></p> <ul style="list-style-type: none"> <li>Whilst transferring contaminated engineering waste to a container, part of the load weighing approximately 150 kg slipped and fell 10m down a hoist-well. No personnel were injured, however there was a spread of radioactive contamination within a temporary Controlled Area as a result of the rupturing of the load's PVC containment wrapping.</li> <li>During examination of the lifting yoke for a nuclear flask, a fault was identified by the Competent Person. The fault was judged to be "of immediate or imminent risk of danger to personnel" and an Immediate Report was raised and copied to the Competent Authority. The yoke was not in use at the time.</li> </ul> <p><b>Origin of Category:</b> IAEA Safety Guide NS-G-2.11: A System for the Feedback of Experience from Events in Nuclear Installations.</p>				
<p><b>NS15</b></p> <p><b><i>If a Duly Authorised Person appointed under licence condition 12 is prevented by the licensee from continuing to act in that capacity.</i></b>  <b>ONR Notifiable - Week.</b></p> <p>This category is aimed at identifying when Duly Authorised Persons with important safety related duties (see Company Standard S-743) are deemed to be unfit to meet the requirements of the post. This may reveal an issue with training or other arrangements and which ONR should be informed about. Exceptions to notifying under this criteria include where individuals may be absent from work for long periods due to sickness, they leave their employment or where they are transferred for career development purposes to other work which does not require DAP status.</p> <p>A significant operational activity is one where there is an identified risk of an accidental dose in excess of 20mSv for persons on site (worker dose) or 1mSv for persons off site (public dose). In practice, this means activities where the nuclear safety case identifies a DB1 or a DB2 fault. It is only the specific activities which could lead to the identified DB1/ DB2 faults that are significant operational activities. For decommissioning sites, at most this will cover only a small subset of the ILW operations being undertaken.</p> <p>For sites working to Contingency Arrangements, the site emergency response is no longer a significant operational activity.</p> <p><b>Origin of Category:</b>LC12(5): Duly Authorised Persons unfit for the role.</p>	<p><b>SPEED (3)</b></p>	<p>ONR (W) NDA(W)</p>	<p>Exec(D)  TPCC (W)</p>	
	<p>MSR(C) FR</p>	<p>INES ER</p>		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>NS16</b> <b>Any event or occurrence that could significantly compromise the effectiveness of the arrangements for emergency preparedness and response on the site.</b> ONR Notifiable - Week. This category relates to events which could potentially adversely affect the response of the licensee to deal with an accident or emergency on and off site. Incidents which may adversely affect response activities should be notified. However, some judgement will be necessary by licensees; an isolated failure of a component such as a radio-set or phone or a flat tyre on a non-specific vehicle need not be notified. Failure of a complete communications system or of an important vehicle declared in the arrangements to be deployed should be notified to ONR. Consideration should also be given to the potential scale and significance of potential emergencies and incidents on site and the site's arrangements. i.e. if the site's assessment in accordance with S-170 concludes that there is no potential for a radiation emergency, and the site is working under the Contingency Arrangements model, these play a less significant role in maintaining nuclear safety. Such as <ul style="list-style-type: none"> <li>The site siren and public address (PA) system do not function adequately during an incident on the site or as revealed during rehearsals of the emergency arrangements, and there are no alternative contingency arrangements.</li> <li>The site radio communications system does not function adequately during an incident on the site or as revealed during rehearsals of the emergency arrangements, preventing an acceptable response from being effected.</li> <li>The minimum staffing levels necessary to discharge the responsibilities in the emergency plan/ accident and emergency arrangements are not deployed on the site.</li> <li>The site muster arrangements used to account for persons do not function adequately during an incident on the site or as revealed during rehearsals of the emergency arrangements.</li> <li>Failure of external notification systems for an extended period.</li> <li>Unexpected loss of the key methods of communication required by contingency/emergency arrangements to provide an adequate emergency response, e.g site analogue telephone system (for internal and external calls), including the Emergency '2222' phone (or equivalent), and radio-communications. During this time, for a short period, connection to the mobile phone network is lost too, affecting communications.</li> </ul> Not applicable: Loss of a single person, system or facility, on a Site under contingency plan arrangements (or the equivalent), where alternatives are available and are effective in providing an adequate emergency response. Origin of Category:LC11 Emergency Arrangements.	<b>SPEED (3)</b>	ONR (W) NDA(W)	Exec(D)  TPCC (W)	
	MSR(C)	INES		
	FR	ER		

Category	Description	Notification/Reporting Requirements			
		Site	EHSS&Q Duty Officer		
			External	Internal	
<b>NS17</b> <i>If it is intended to reject, in whole or in part, any advice given by a Nuclear Safety Committee to the licensee.</i> This category is established directly by the licence condition, and as such, it is clear and legally binding. The licence condition states that ONR should be notified as soon as practicable, which for the purposes of ONR is considered to be within a week. ONR Notifiable - Week. Origin of Category: LC13(10) Nuclear Safety Committee	<b>SPEED (3)</b>  MSR FR	ONR (W) NDA(W)	Exec(D)	TPCC (W)	
		INES			
		ER			
<b>LEVEL 3 EVENTS</b>					
<b>NS32</b> <b>(AN01)*</b> *AN01 is only applicable if a report is made to ONR.	<b>A nuclear safety event or near-miss with potentially significant consequences.</b> This category relates to events of 'high' nuclear safety significance (i.e. Category 1), in accordance with the definition in MCP-099: "An unmitigated dose to a worker that results in significant harm [which equates to a dose above 1Sv]; or a radiological hazard to the public that requires the need to take a considered and proactive measure under emergency arrangements for the protection of the public (i.e., sheltering or evacuation)". It is unlikely to be credible for this to apply at the majority of Company sites following their completion of defueling. Such as: <ul style="list-style-type: none"> <li>Plant event or near-miss with the potential to result in significant radiological consequences, as detailed above.</li> <li>Significant anomalies in commissioning records for were found, including inaccurate dates and sign-off of incomplete commissioning activities relating to a Category 1 modification.</li> <li>Duty Controller or duty first responder unable to attend site to investigate a high priority (high safety significance) alarm in accordance with site contingency/emergency arrangements. Suitable alternative cover was found from the on-call rota/pool. However there was a short period of time when the site could not fulfil its minimum resource level under the contingency/emergency arrangements.</li> <li>No analogue phones (for internal or external calls) were working for a few hours or more, including the Emergency '2222' phone (or equivalent). Radios, mobiles phones, and PA system remained available as means of communication in accordance with contingency/emergency arrangements.</li> <li>Adequate arrangements for the relevant LC were not in place to satisfy the Licence Condition Requirement.</li> </ul> **Note: Where a breach of Licence Condition occurs the site must produce a MSR for presentation to the NSC. <ul style="list-style-type: none"> <li>Work commences on a Category 1 modification before it is formally approved.</li> <li>Recognising a failure to comply with a commitment or obligation related to a Category 1 Safety case.</li> </ul>	<b>SPEED (3)</b>  MSR(C)** FR(C)	ONR (C) NDA(C)	Exec(D)	
			INES(C)		
			ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>NS32 (Cont'd)</b>	<p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>Discovery of plant condition which takes it significantly outside of conditions assumed in the safety case or shows weakness in a safety case (NS12).</li> <li>Significant degradation of a System Structure of Component claimed to provide protection against a significant fault or hazard (NS08).</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning and improvement.</p>			
<b>LEVEL 4 EVENTS</b>				
<b>NS50</b>	<p><b>A nuclear safety event or near-miss with potentially moderate consequences.</b></p> <p>This criterion relates to events with of ‘medium’ nuclear safety significance (i.e. Category 2), in accordance with the definition in MCP-099: “an unmitigated dose to a worker or a member of the public in excess of the IRR 2017 annual dose limits [20 and 1 mSv for a worker and a member of the public respectively]”.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Plant event or near-miss with the potential to result in moderate radiological consequences as described above.</li> <li>Minor degradation of a System, Structure or Component claimed to provide protection against a significant (i.e.Category 1) fault or hazard.</li> <li>Work begins on a Category 2 modification before it is formally approved.</li> <li>Recognising a failure to comply with a commitment or obligation related to a Category 2 safety case.</li> <li>Single failure in an otherwise robust system for compliance with a Licence Condition , e.g. Category 2 modifications which went through company processes apart from one signature.</li> <li>Some analogue phones (for internal or external calls) including the Emergency ‘2222’ phone (or equivalent) were not working for up to a few hours. Radios, mobiles phones, and PA system remained available as means of communication in accordance with contingency/emergency arrangements</li> </ul> <p><b>Not applicable:</b></p> <ul style="list-style-type: none"> <li>Discovery of plant condition which takes it significantly outside of conditions assumed in the safety case or shows weakness in a safety case (NS12).</li> <li>Degradation of a System, Structure or Component claimed to provide protection against a significant fault or hazard (NS08).</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning and improvement.</p>	<b>SPEED (3)</b>		HoNO (W)
		MSR(C)	ER	
		FR(C)	INES(C)	

Category	Description	Notification/Reporting Requirements	
		Site	EHSS&Q Duty Officer
			External
<b>LEVEL 5 EVENTS</b>			
<b>NS99</b>	<p><b><i>A minor nuclear safety event or near miss which merits recording but does not fit any of the above categories and which is useful for trending purposes and/or action.</i></b></p> <p>This criterion relates to events with of ‘low’ nuclear safety significance (i.e. Category 3), in accordance with the definition in MCP-099. S-259 provides the lower threshold for whether or not a fault should be assessed as 0.1mSv to the public, or 2mSv to a worker, therefore any accidental exposure below this level would not be considered to be a nuclear safety event.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Plant event or near-miss with the potential to result in minor radiological consequences as described above.</li> <li>Significant degradation of a System Structure of Component claimed to provide protection against a ‘minor’ fault or hazard., (e.g. LC region of S-259)</li> <li>Minor degradation of a System Structure of Component claimed to provide protection against a ‘moderate’ fault or hazard (e.g. DB1 or DB2).</li> <li>Work commences on a Category 3 or 4 modification before it is formally approved.</li> <li>Recognising a failure to comply with a commitment or obligation related to a Category 3 modification.</li> <li>Single failure in an otherwise robust system for compliance with a Licence Condition e.g. Category 3 or 4 modifications which went through company processes apart from one signature.</li> </ul> <p>Origin of Category: This is a Company reporting requirement designed to aid learning and improvement.</p>	At site discretion	
<b>GOOD PRACTICE</b>			
<b>NSGP</b>	<p><b><i>An identified good practice that merits sharing across the organisation.</i></b></p> <p>Origin of Category: This is a Company reporting requirement designed to aid learning and improvement.</p>	COOL(C) HoP(Rel) (W)	

**Table A3 – Radiological Safety Events**

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
RS01	<p><b>Any occurrence on a licensed site involving the emission of ionising radiations or the release of radioactive or toxic substances, causing or likely to cause death, or serious injury to persons on or off the site.</b></p> <p>ONR Notifiable - Immediate.</p> <p>This category applies to events where doses received by persons are above about 1Sv i.e. more than fifty times the statutory limit for annual whole body dose. High doses of radiation (1-10 Sv) will kill a large number of body cells and may lead to serious injury. Higher doses may lead to death within a relatively short time of exposure. These “so called” deterministic effects do not occur below a threshold of around a few Sv.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p><b>Origin of Category:</b> This category is established in The Nuclear Installations (Dangerous Occurrences) Regulations 1965 (Statutory Instrument 1965/1824); Reg. 3 sub-paragraph (a) and the Ministerial Reporting Criteria (MRC) Category (a). For details of MRC see Appendix L.</p>	SERS(I) EA/SEPA/ NRW(I) Adj(C)	GOV(I) ONR (I) NDA(I)	Exec(I) DPO(I) CS(D) OH(D) HoP(EW)(I) HoP(RS)(I) TPCC(D)
		MSR	INES	
		FR	ER	
RS02	<p><b>Abnormal occurrences leading to a radioactive substance which has been:</b></p> <p><b>(a) released or is likely to have been released into the atmosphere as a gas, aerosol or dust; or</b></p> <p><b>(b) spilled or otherwise released in such a manner as to give rise to significant contamination; and</b></p> <p><b>which exceeds or is expected to exceed, the quantities set out in Column 5 of Part 1 of Schedule 7 to the IRR17, except where the release is in a manner specified in an Authorisation under the EPR2016 or the EA(S)R2018 in Scotland.</b></p> <p>ONR Notifiable - Immediate.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies.</p> <p>This category needs little explanation as it is based on quantitative limits set out in IRR17 and is therefore a legal obligation to notify ONR promptly.</p> <p>Contamination arising from a spillage may be considered significant if it exceeds the quantity specified Column 5 of Part 1 of Schedule 7.</p> <p>The exception to this is where the spillage is in an enclosure or other such localised facility, designed to prevent the release going beyond that facility e.g. a spill in a glove-box. Whether a facility is so designed, maintained and used effectively will be determined by reference to the following criteria:</p>	SERS(I) EA/SEPA/ NRW(I) Adj(C)	GOV(I) ONR (I) NDA(I)	Exec(I) DPO(I) CS(D) HoP(EW)(I) HoP(RS)(I) TPCC(D)
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>RS02 (cont'd)</b>	<ul style="list-style-type: none"> <li>Has a prior risk assessment for the facility identified the potential hazards arising from work in the facility? Are spillages expected in the area? Is the area designed to be readily decontaminated?</li> <li>Did the prior risk assessment identify appropriate precautions for the prevention of spillages (liquid, solid dust and/or aerosol as appropriate)?</li> <li>Did the prior risk assessment identify appropriate precautions for the protection of people working in the facility? Are/were personnel protected from the effects of a spillage.</li> <li>Did the prior risk assessment identify adequate precautions for the prevention of contamination being spread beyond the facility for each of the potential spillage mechanisms: e.g. ventilation, bunds, contamination control barriers etc.?</li> <li>Were all of the precautions so identified implemented? Were they followed and effective on the day?</li> <li>Were the precautions adequately documented in operating instructions?</li> </ul> <p>If the answer to all of the above questions is 'yes' then the facility can be regarded as designed, maintained and used to effectively prevent a release beyond that facility. This exception however is not intended to cover releases affecting general working areas where personnel could receive significant exposure as a result of a leakage or spillage e.g. a leak into a bund around a tank that is open to the atmosphere, either inside a building or in open air.</p> <p><b>Origin of Category:</b> Ministerial Reporting Criteria (MRC) - Category (d) : For details of MRC see Appendix L. IRR17 Regulation 31(1).</p>			
<b>RS03</b>	<p><b>Abnormal occurrence leading to a release or suspected release or spread of radioactivity on or off site which requires special action or special investigation by the operator.</b></p> <p><b>ONR Notifiable - Immediate.</b></p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p>This category is intended to cover only significant releases of radioactivity not meeting the other quantitatively based leakage and release criteria. This category requires judgement to be used to interpret what constitutes special action or investigation. Any unexpected spillage or release would usually require some form of remedial action by the operator to clean up any residual radioactivity. However to assist in judging whether notification is warranted then events deemed to require special action or investigation could include:</p> <ul style="list-style-type: none"> <li>Special countermeasures, such as non-routine monitoring outside controlled areas, taken to prevent unacceptable exposures;</li> <li>Any release requiring action off the licensed site;</li> <li>Discovery of radiation or contamination levels requiring either of the following actions:</li> </ul>	<p><b>SERS(I)</b></p> <p>EA/SEPA/ NRW(I) Adj(C)</p> <p>MSR</p> <p>FR</p>	<p>GOV(I) ONR (I) NDA(I)</p> <p>INES</p> <p>ER</p>	<p>Exec(I)</p> <p>DPO(I) CS(D) HoP(EW)(D) HoP(RS)(D) TPCC(D)</p>

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>RS03 (Cont'd)</b>	<ul style="list-style-type: none"> <li>○ Limitation of access for distances greater than several metres outside designated areas; or</li> <li>○ Significant interference with normal access by the public to areas on the licensed site.</li> <li>● A confirmed release of radioactivity, which requires evacuation of a significant area of the plant for at least 24 hours, apart from purely precautionary evacuation.</li> <li>● Extensive work needed to decontaminate an area using non-standard procedures.</li> </ul> <p><b>Origin of Category:</b> Ministerial Reporting Criteria (MRC) Cat. (e) : For details of MRC see Appendix L. LC 34 – Leakage and Escape of Radioactive Material and Radioactive Waste.</p>			
<b>RS13</b>	<p><b>Where there is reasonable cause to believe that a quantity of a radioactive substance specified in column 6 of Part 1 of Schedule 7 to the IRR 17 and which was under an employer’s control is lost or has been stolen.</b></p> <p><b>ONR Notifiable - Day.</b></p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p>This category needs little explanation as it is contained in the IRRs and is therefore a legal requirement but is only for material that meets the thresholds specified in Col 6 of Sch. 7. Security Category SC10(5)e, also covers loss or theft of material, however it has no radio-nuclides or quantities specified.</p> <p><b>Origin of Category:</b> IRR17 Regulation 31(3) &amp; (4).</p>	<p><b>SPEED(D)</b> EA/SEPA/ NRW(C)</p>	<p>GOV(D) ONR (D) NDA(D) ONR(D)</p>	<p>Exec(D) DPO(D) CS(D) HoS(D) HoP(RS)(D) TPCC(D)</p>
<b>LEVEL 2 EVENTS</b>				
<b>RS04</b>	<p><b>Any abnormal occurrence giving rise to an uncontrolled or unauthorised leakage, release, spill or escape of radioactive material or waste which exceeds 50% of the limits set out in Column 5 of Part 1 of Schedule 7 to IRR17.</b></p> <p><b>ONR Notifiable - Day.</b></p> <p>This category is aimed at those events which are not reportable to ministers or breach legal limits but which nevertheless represent a loss of control over radioactive material which the regulator should be notified about. Events where leakage, release, spill or escape of radioactive material or radioactive waste exceeds legal limits or reach the levels that ministers are required to be informed about are rare. This category attempts to set a threshold level for release and escape that should be notified under LC34 (2).</p> <p>The reporting level of 50% in this category is considered to represent a figure that provides a pragmatic trigger to reflect failures in containment and control of radioactive material or waste that should be notified to ONR.</p>	<p><b>SPEED (D)</b> EA/SEPA/ NRW(D)</p>	<p>ONR (D) NDA(D)</p>	<p>Exec(D) DPO(D) HoS(D) HoP(RS)(D) HoP(EW)(D) TPCC(D) CS(D)</p>
		MSR(C)	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>RS04 (cont'd)</b>	<p>The exception to this is where the spillage is in an enclosure or other such localised facility, designed to prevent the release going beyond that facility e.g. a spill in a glove-box. However, this exception is not intended to cover releases affecting general working areas where personnel could receive significant exposure as a result of a leakage or spillage e.g. a leak into a bund around a tank open to the atmosphere, either inside a building or in the open air.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>A container of tritiated water is knocked over and spills its contents onto a laboratory floor; the liquid collects into a pool. The laboratory is temporarily evacuated whilst established contingency plans are implemented to clean up the residual water. The estimated total amount of tritium contained in the spillage is more than 500 GBq.</li> </ul> <p><b>Origin of Category:</b> IRR17 - LC34 (2) - Leakage and Escape of Radioactive Material and Radioactive Waste.</p>			
<b>RS05</b>	See Table A4 - Environmental Safety events			
<b>RS06</b>	<p><b>An incident or occurrence that leads to a person receiving an unexpected effective dose either from external exposure, or internal exposure due to an intake of radioactive material, or both exposure pathways that exceeds 1mSv.</b></p> <p><b>ONR Notifiable - Week.</b></p> <p>This category is aimed at occurrences which are unplanned or unexpected, where persons ingest, inhale or receive an intake of radioactive material through a wound, or from direct exposure from external radiation. Such events represent a degradation in radiological protection measures. ONR has set a threshold of 1mSv to prompt consistent event notification.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>An operator inadvertently enters a controlled area above the designation that he is authorised to and without wearing the appropriate respiratory protection, consequently they inhale airborne radioactive material present in the controlled area.</li> <li>A maintenance technician is working on a pipe and unbolts or otherwise breaks the pipe containment, thus exposing him/herself to radioactive material that was not expected to be there, some of the material is inhaled before the local radioactivity in air monitors begin to alarm and the technician leaves the workplace in response.</li> <li>When bioassay sampling confirms an intake leading to an effective dose that exceeds 1 mSv.</li> <li>Skin or clothing contamination likely to result in a dose greater than 1 mSv.</li> </ul> <p><b>Origin of Category:</b> LC 34 – Leakage and Escape of Radioactive Material and Radioactive Waste</p>	<b>SPEED(3)</b>	ONR (W) NDA(W)	Exec(W)  DPO(W) CNA(W) OH(W) HoP(RS)(W) TPCC(W)
		<b>MSR(C)</b>	INES	
		<b>FR</b>	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
RS07	<p><b>Discovery outside of a Controlled Area boundary of radiation or contamination, including contamination on equipment, clothing or skin, significantly above that permitted by the local arrangements.</b></p> <p>ONR Notifiable – Week.</p> <p>This category is aimed at occurrences which are unplanned or unexpected, where significant contamination or radiation is discovered to exist outside a designated controlled area. Such incidents represent a loss of control and should be notified to ONR.</p> <p>The significance of a radiological event should be judged on the basis of levels specified in local arrangements. Events involving levels significantly above those specified should be notified to ONR.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>An individual is working inside a contamination controlled area which has required them to wear specific contamination control PPE over their normal work-wear. After working in the area they remove their contamination control PPE in the local sub-change-room and crosses the 'dirty/clean' barrier into a radiation controlled area. When they monitor using the installed area exit portal monitoring equipment, the equipment goes into alarm identifying significant contamination on their wrist and shirt cuff.</li> <li>During a routine radiological survey of pavements outside a building containing radiological controlled areas, a Health Physics Monitor detects a dose rate of 100 µSv per hour at several points along the pavement adjacent to building windows.</li> <li>When contamination is greater than 20 Bq/cm<sup>2</sup> beta or 2 Bq/cm<sup>2</sup> alpha averaged over 1000 cm<sup>2</sup>.</li> </ul> <p>Origin of Category: LC 34 – Leakage and Escape of Radioactive Material and Radioactive Waste.</p>	SPEED(3)	ONR (W) NDA(W)	Exec(D)  CS(W) OH(W) HoP(RS)(W) TPCC(W)
		MSR(C)	INES	
		FR	ER	
RS08	<p><b>Confirmed exposure to radiation of any individual which exceeds or is suspected to exceed, the dose limits specified in the IRR17.</b></p> <p>ONR Notifiable - Day.</p> <p>This category is an amalgamation of two categories but needs little explanation as it covers confirmed exposures above the statutory dose limits set out in Schedule 3 of the IRR17.</p> <p>Origin of Category: Ministerial Reporting Criteria (MRC) Cat. (b) and IRR17 Regulation 26(1). The ONR publication criteria correspond to the MRC: For details of MRC see Appendix L.</p>	SPEED (D)	GOV(D) ONR (D) NDA(D)	Exec(D)  CS(D) CNA(D) OH(D) HoP(RS)(D) TPCC(D)
		MSR(C)	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
RS09	<p><b>Where any individual is confirmed to have received an annual effective dose greater than the level set as subject to investigation under IRR17 Regulation 9(8)</b></p> <p>ONR Notifiable - Day.</p> <p>This category needs little explanation as its origin is contained in the IRRs and is currently set at a dose level of 15 mSv, or whatever lower level is specified by the employer in local arrangements.</p> <p>Origin of Category: IRR17 Regulation 9(8)</p>	SPEED (D)	ONR (D) NDA(D)	Exec(D) CS(D) CNA(D) OH(D) HoP(RS)(D) TPCC(D)
		MSR(C)	INES	
		FR	ER	
RS10	<p><b>Where assessment confirms that the average effective dose to specified classes of persons exceeds the level ONR has specified under licence condition 18(1).</b></p> <p>ONR Notifiable - Day.</p> <p>This category is required by Licence Condition 18 only if a licence instrument i.e. a Specification has been issued by ONR, and in this case it becomes a legal obligation. A number of (but not all) licensed sites have LC18 specifications issued to them and the dose level contained in the Specification is usually 5mSv average effective dose for classified workers. If this level is reached then the requirement is to notify ONR forthwith, which for practical purposes is set at within a day of it being confirmed.</p> <p>Origin of Category: LC 18 (1) - Radiological Protection.</p>	SPEED(D)	ONR (D) NDA(D)	Exec(D)  CS(D) OH(D) HoP(RS)(D) TPCC(D)
		MSR(C)	INES	
		FR	ER	
RS11	<p><b>An occurrence whereby any individual worker is confirmed to have received an effective dose that exceeds or is likely to exceed 1mSv above that estimated for the task.</b></p> <p>ONR Notifiable – Week.</p> <p>Guidance: This category is intended to cover events where individual(s) receive a dose above that expected for a discrete task or activity. It is worth noting that the level set here is 1mSv, this is because UK licensees generally have a successful approach to radiological protection and rarely does a single unplanned event lead to an individual exposure of above 1 - 2mSv. Thus, setting the level in this category at 1mSv is in expectation of receiving notifications where a task or activity has not been controlled to the industry's norm and results in the doses received by individuals significantly exceeding that planned for the work.</p> <p>This category is not meant to be applied to work where there are planned activities whereby entry into a particular area is expected to give rise to doses to workers of the order of several mSv, unless the dose uptake exceeds that which was expected by more than 1mSv.</p>	SPEED(3)	ONR (W) NDA(W)	Exec(D)  CS(D) OH(D) HoP(RS)(D) TPCC(D)
		MSR(C)	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>RS11 (Cont'd)</b>	<p><b>Such as:</b> During routine waste moves a consignment containing two neutron sources was transferred into a lead shielded flask. During health physics monitoring, the surveyor decided to monitor the flask for neutrons; contact dose rates were found to be 10mSv/h. The operators undertaking the work received an estimated dose of 1.5mSv i.e. 1mSv greater than the predicted or expected dose value range.</p> <p><b>Origin of Category:</b> IRR17 and ALARP (As Low as Reasonably Practicable) principle.</p>			
<b>RS12</b>	<p><b>The effective doses received by intervention personnel who receive emergency exposures during a REPIIR declared emergency, and where a separate dose assessment has been completed following the emergency.</b></p> <p><b>ONR Notifiable - Week.</b></p> <p>This category is required under REPIIR19 where the doses received by intervention personnel in a REPIIR emergency are subsequently assessed. The results of the assessment, whatever the effective doses received, should be notified to ONR. Dutyholders should not use this category to notify ONR of incidents with a REPIIR19 Regulation 25 exemption.</p> <p><b>Origin of Category:</b> Radiation Emergency Preparation, Preparedness and Information Regulations (REPIIR) 2019, Regulation 18(1).</p>	<p><b>SPEED(3)</b></p> <p>ONR (W) NDA(W)</p>	<p>Exec(D)</p> <p>CS(D) HoP(RS)(W) OH(W) TPCC(W)</p>	
		<p>MSR(C)</p> <p>FR</p>	<p>INES</p> <p>ER</p>	
<b>RS14</b>	<p><b>Any event where radioactive material or waste was inadvertently brought on to or transported off the licensed site.</b></p> <p><b>ONR Notifiable - Day.</b></p> <p>This category is to notify ONR of events where radioactive material or waste is brought to or taken out of a licensed site not in accordance with established arrangements, or where the amount of material moved was significantly different to that authorised. It does not include movement of excepted matter or radioactive material or waste which is exempt from legislation e.g. smoke detectors containing trace amounts of Americium.</p> <p>Consideration is given to notifying environmental regulators if appropriate, refer to ES categories.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>• Several bags of Low Level Waste were inadvertently consigned to a local waste disposal tip which was not authorised to take radioactive waste.</li> <li>• Visiting road-working contractors bring onto site a piece of equipment subsequently found to be a density gauge containing a 3.7 GBq Cobalt 60 source.</li> </ul> <p><b>Origin of Category:</b> LC 34 – Leakage and Escape of Radioactive Material or Waste.</p>	<p><b>SPEED(D)</b></p> <p>EA/SEPA/ NRW(C)</p>	<p>ONR (D) NDA(D)</p>	<p>Exec(D)</p> <p>DPO(D) HoP(RS)(D) HoP(EW)(D) TPCC(D)</p>
		<p>MSR</p> <p>FR</p>	<p>INES</p> <p>ER</p>	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 3 EVENTS</b>				
<b>RS32</b> (AN01)* *AN01 is only applicable if a report is made to ONR.	<b>A radiological event or near-miss event with potentially significant consequences.</b>  <b>Such as:</b> <ul style="list-style-type: none"> <li>Significant dose rate in an area where access was not prohibited but where no access was actually made.</li> <li>Confirmed or suspected failure to meet a requirement of an IRR or approvals made under these regulations not covered by other categories (refer to Accredited Health Physicist/Harwell and Winfrith Sites suitable RPA before using this category).</li> <li>A release or spillage of a radioactive substance which exceeds or is expected to exceed 10% of the limits in Column 5 of Schedule 7 of the IRR17, except where the release is in a manner specified in an Environmental Permit.</li> <li>Chewing gum or food, or food wrapper, or drinks container in RCA (C2) – evidence someone was chewing, or eating, or drinking, or smoking in an area with a significant risk of ingesting radioactivity.</li> </ul> <b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning & improvement.	<b>SPEED(3)</b>		Exec(D)
		EA/SEPA/ NRW(C)	ONR (C) NDA(C)	HoP(RS)(D)
		MSR(C) FR(C)	INES(C) ER	
<b>LEVEL 4 EVENTS</b>				
<b>RS50</b>	<b>A radiological event or near-miss with potentially moderate consequences.</b>  <b>Applicable:</b> <ul style="list-style-type: none"> <li>Unplanned event within a Supervised or Controlled Area where radiation or contamination is found to exceed the lower limits of the next highest designation.</li> <li>Discovery of skin or clothing contamination outside of a contamination controlled area or any sub-change room above the level specified in the RSR/Harwell and Winfrith Sites Company Management System.</li> <li>Failure to meet the requirements of the Radiological Safety Rules (including the equivalent at Harwell/Winfrith)</li> <li>Chewing gum or food, or food wrapper, or drinks container in RCA (C0) or supervised area where local rules forbid it – evidence someone was chewing, or eating, or drinking, or smoking but not in a contamination controlled area. Item found within the controlled area but not in C2, potential for it to have been in someone's pocket and fallen out.</li> </ul> <b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning & improvement.	<b>SPEED(3)</b>		HoP(RS)(D)
		MSR(C)	ER	
		FR(C)	INES(C)	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 5 EVENTS</b>				
<b>RS99</b>	<p><b><i>A minor radiological event or near miss which merits recording but does not fit any of the above categories and which is useful for trending purposes and/or action.</i></b></p> <p><b>Applicable:</b></p> <ul style="list-style-type: none"> <li>Minor radiological near miss which could have led to skin or clothing contamination above the level specified in the RSR/Harwell and Winfrith Sites Company Management System</li> <li>Minor radiological near miss involving the control of a source of radiation.</li> <li>Chewing gum or food, or food wrapper, or drinks container in RCA or supervised area where local rules forbid it – no direct evidence someone was chewing, or eating, or drinking, or smoking. The item is clearly a legacy item or could reasonably have been brought into the area by the wind, e.g. expired ‘use by’ date/‘best before’ date, or found in a corner in an external area.</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	At site discretion		
<b>GOOD PRACTICE</b>				
<b>RSGP</b>	<p><b><i>An identified good practice that merits sharing across the organisation</i></b></p> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	COOL(C) HoP(Rel) (W)		

**Table A4 – Environmental Safety Event Categories**

**GENERIC NOTES:**

In accordance with Permit Conditions 4.3.1, 4.3.2, and 4.3.7 (sites in England and Wales), and Conditions A.9.1 and A.9.2 (sites in Scotland) sites must report events and provide information required by the regulator (EA/ NRW/ SEPA) without delay. In England and Wales requirements are specified in the site Environmental Permits which include a template for reporting certain types of events for site permits (in Schedule 5 of RSR permits) and for District Survey Laboratory permits (in Schedule 4). It is a permit condition that the template is completed and submitted by site within 24 hours. There should however be a telephone call without delay, followed up by the formal reporting template. Events occurring in Wales shall be reported to both the EA and NRW. In Scotland, if it is believed that a requirement of the site’s authorisation is being, has been, or might be contravened, sites must verbally inform SEPA by telephone without delay and confirm the information given in the telephone notification in writing by the next working day after the verbal notification. See Permit Conditions A.9.1 and A.9.2

Note that there are environmental reporting requirements for some of the ‘RS’ categories and cross-checking with these categories is strongly advised.

<b>Abbreviations:</b>		PPCR	Pollution Prevention and Control Regulations	SEPA	Scottish Environment Protection Agency
CAR	Water (Controlled Activities) (Scotland) Regulations 2011	CoPOSR	Control of Pollution Oil Storage Regulations	SNH	Scottish Natural Heritage
EA	Environment Agency	HWR	Hazardous Waste Regulations	SPA	Special Protection Area
EA(S)R2018	Environmental Authorisations (Scotland) Regulations 2018	NE	Natural England	SSSI	Site of Special Scientific Interest
EPA	Environmental Protection Act. (1990)	NRW	Natural Resources Wales	WLCA	Wildlife and Countryside Act (1981) & Amendments
EPR2016	Environmental Permitting Regulations 2016	SAC	Special Area of Conservation		
		S&TE	Sewage & Trade Effluent consents		

Guidance should be sought from the site Radiological Protection or Environmental specialists and the HoP(EW) as appropriate on the interpretation of the ES categories.

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
<b>RS05</b>	<p><b>A confirmed breach of, or a discharge expected to breach quantitative limits of a Permit for the disposal of radioactive waste issued under the EPR2016 or EA(S)R2018.</b></p> <p><b>EA/SEPA/NRW &amp; ONR Notifiable - Immediate.</b></p> <p>This category needs little explanation as the quantitative limits are clearly set out in the site's Permit and is therefore a legal obligation. Although primarily of interest to the environment agencies in England (EA), Wales (EA &amp; NRW) or Scotland (SEPA) and reportable to ministers, nonetheless it is important that ONR also knows about such events as there may be relevant issues associated with the circumstances giving rise to the breach. The liaison arrangements between ONR and EA/SEPA/NRW allow for joint investigations into the circumstances surrounding events and matters of mutual interest often arise from such joint investigations.</p> <p><b>Origin of Category:</b> EA/NRW/SEPA. Ministerial Reporting Criteria (MRC) Cat. (d) : For details of MRC see Appendix L. EA(S)R2018, EPR2016.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies.</p>	<b>SPEED(D)</b>	GOV(D) ONR (D) NDA(D)	Exec(D)  DPO(D) CS(D) HoP(EW)(D) HoP(RS)(D) TPCC(D)
		EA/SEPA/ NRW(I) Adj(C)		
		MSR	INES	
		FR	ER	
<b>ES01 AN01</b>	<p><b>Reasonable grounds for believing that disposal of radioactive waste is occurring or has occurred which fails to comply with a condition specified in an Environmental Permit and which has resulted, or could have resulted, in an unauthorised discharge and significant pollution to the environment.</b></p> <p><b>EA/SEPA/NRW Notifiable - Immediate.</b></p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies.</p> <p><b>Note:</b> ES01 event categorisation must include discussion with a PoRSLA and the HoP(EW). If HoP(EW) not available, discuss ES01 event categorisation with their delegate.</p> <p>Consider also possible transport event categories.</p> <p><b>Such as:</b></p> <p>Where radioactive material (or waste) has been disposed or discharged through a route which has not been approved in a permit issued under EA(S)R2018/ Environmental Permit issued under EPR2016 and has resulted in significant pollution of the environment.</p> <p><b>Not Applicable:</b></p> <p>Where radioactive material (or waste) has been disposed or discharged through a route which has not been approved in a permit, but has <b>not</b> resulted in significant pollution of the environment (see ES05).</p> <p><b>Origin of Category:</b> EA(S)R2018, EPR2016</p>	<b>SERS(I)</b>	GOV(I) ONR (I) NDA(I)	Exec(I)  DPO(I) CS(D) HoP(EW)(I) HoP(RS)(I) TPCC(D)
		EA/SEPA/ NRW(I) Adj(C)		
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>ES03</b> <b>(AN01)</b> *AN01 is only applicable if a report is made to ONR.*	<p><b>Reasonable grounds for believing that there has been a non-radioactive discharge to water or air that breached a specified time, limit or condition within a regulatory permission (permit/ authorisation /licence) for which the sampling is a specific requirement of that permission or any occasion that the sample is taken by or on behalf of the regulatory body (e.g. EA/SEPA/NRW).</b></p> <p>EA/SEPA/NRW Notifiable - Immediate.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Significant oil sheen/film visible at the EA/SEPA/NRW designated sampling point.</li> <li>Confirmed that substances have actually reached controlled waters.</li> <li>Serious pollution incident resulting in significant environmental harm (e.g. confirmed fish kill).</li> </ul> <p><b>NOTE:</b> Whenever possible seek advice from an Environmental SQEP &amp;/or reference to Company Standard S-047 Spillage &amp; Release Index for non-radiological spill/release events.</p> <p><b>NOTE:</b> For discharges to water, controlled waters are effectively ANY water, including groundwater into which site make discharges).</p> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Leakage identified but contained by engineered drains etc.</li> <li>Exceeding a limit specified in an EPR2016, or CoPOSR consent based on own (i.e. station's) sample, for which there is no specific requirement in the consent to take a sample</li> </ul> <p>Origin of Category: EPR2016, CAR, CoPOSR</p>	SERS(I)	ONR (C) NDA(C)	Exec(I)  DPO(I) HoP(EW)(D) TPCC(D)
		EA/SEPA/ NRW(I) Adj(C)		
		FR	ER	
<b>ES04</b> <b>(AN01*)</b> *AN01 is only applicable if a report is made to ONR.	<p><b>Reasonable grounds for believing that there has been a non-radioactive discharge to water or air that is not covered by a regulatory permission (Environmental Permit/authorisation/licence).</b></p> <p>EA/SEPA/NRW Notifiable - Immediate.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Discharge of a substance which is required to be but not specifically authorised to be discharged within a regulatory permission or a discharge which occurs by an unauthorised route (e.g. firefighting runoff, if it contains substances that could cause environmental harm).</li> </ul> <p><b>NOTE:</b> Whenever possible seek advice from an Environmental SQEP &amp;/or reference to Company Standard S-047 Spillage &amp; Release Index for non-radiological spill/release events.</p>	SERS(I)	ONR (C) NDA(C)	Exec(I)  DPO(I) HoP(EW)(I) TPCC(D)
		EA/SEPA/ NRW(I) Adj(C)		
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
	<p><b>NOTE:</b> For discharges to water, controlled waters are effectively ANY water, including groundwater into which site make discharges).</p> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Leakage identified but contained by engineered drains etc.</li> </ul> <p>Origin of Category: EPR2016, CAR, CoPOSR.</p>			
<b>LEVEL 2 EVENTS</b>				
ES02	<p><b>Gaseous discharge exceeds, or is likely to exceed, a Weekly Advisory Level (WAL) as specified in Environmental Permit.</b></p> <p>EA/SEPA/NRW Notifiable - Immediate.</p> <p>Notification should include time of any significant release and prevailing wind direction.</p> <p><b>NOTE:</b> A very small event may take the cumulative discharge above the advisory level.</p> <p>Not Applicable: At sites where no Weekly Advisory Level has been set.</p> <p>Origin of Category: EA(S)R2018, EPR2016</p>	SERS(I)		Exec(I)
		EA/SEPA/NRW(I) FSA(I) Adj(C)		HoP(EW)(D) TPCC(D)
			INES(C)	
		FR	ER	
ES05	<p><b>Finding an inadequacy in the arrangements for compliance with an Environmental Permit or failure to comply with the arrangements.</b></p> <p>EA/NRW Notifiable – Day SEPA Notifiable - Immediate</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Where radioactive material (or waste) has been disposed or discharged through a route which has not been approved in a permit, but has <b>not</b> resulted in significant pollution of the environment.</li> <li>Finding a significant defect in operating discharge route equipment, but there is no evidence that a non-authorized discharge has occurred.</li> <li>Breach of a condition with no radiological implications, e.g. finding a prohibited item covered by consents, such as an aerosol can in a LLW consignment.</li> <li>A sampling failure that prevented an assessment of discharge.</li> <li>Failure to complete an Environmental Maintenance Schedule (EMS) activity associated with Radioactive Substances Regulations compliance within tolerance.</li> </ul>	SPEED(D)		Exec(D) HoP(EW)(D) TPCC(D)
		EA/NRW(D) SEPA (I)	INES(C)	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>ES05</b> <i>(Cont'd)</i></p> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>Where an uncontrolled discharge of radioactive material has occurred which has resulted in significant pollution of the environment (ES01).</li> <li>A sampling failure due to failure to follow procedures where an assessment of discharge was estimated from historical data.</li> <li>A sampling failure due to equipment failure which was detected within expected timescales or where an assessment of discharge was made using real data from the actual discharge.</li> </ul> <p><b>Origin of Category:</b> EA(S)R2018, EPR2016</p>				
<p><b>ES06</b></p> <p><b>Exceeding a Quarterly Notification Level (QNL) as specified in Environmental Permit.</b></p> <p>EA/NRW Notifiable – Day SEPA Notifiable - Immediate</p> <p><b>Guidance:</b> This may be a very small event which takes the cumulative discharge above the notification level.</p> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>At sites where no Quarterly Notification Level has been set</li> <li>If report is based on pre-discharge sample (e.g. silent hours)</li> </ul> <p><b>Origin of Category:</b> EA(S)R2018, EPR201</p>	<p><b>SPEED(D)</b></p>		<p>Exec(D) HoP(EW)(D) TPCC(D)</p>	
	EA/NRW(D) SEPA (I)			
	FR(C)	ER		
<p><b>ES08</b></p> <p><b>Abnormal occurrence involving the collection, analysis and/or despatch of data which is a requirement or condition of the Environmental Permit or an associated supporting requirement (e.g. CEARAS or a declared monitoring programme).</b></p> <p>EA/NRW Notifiable – Day SEPA Notifiable - Immediate</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>A Return to EA/SEPA/NRW is not made in accordance with the Permit or CEARAS.</li> </ul> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>Events where correction of an error reveals there has been a discharge in excess of an authorised limit.</li> <li>Unusual but valid environmental monitoring result.</li> <li>A sampling failure where no assessment of discharge was made.</li> <li>A sampling failure where procedures were followed and an assessment of discharges was made.</li> </ul> <p><b>Origin of Category:</b> EA(S)R2018, EPR2016</p>	<p><b>SPEED(3)</b></p>		<p>Exec(D) HoP(EW)(D) TPCC(D)</p>	
	EA/NRW(D) SEPA (I)			
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>ES09</b> <b>(AN01)*</b> *AN01 is only applicable if a report is made to ONR.	<p><b>Reasonable grounds for believing that there has been a non-radioactive discharge to water or air that breached a specified time, limit or condition within a regulatory permission (Environmental Permit/authorisation/licence) based on internal data collected by site for which there is no requirement in the regulatory permission to take a sample.</b></p> <p>EA/NRW Notifiable – Day SEPA Notifiable - Immediate</p> <p><b>Guidance:</b> Only report to EA/SEPA/NRW after consultation with an Environmental SQEP as some events may not justify daily reporting timescale.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Exceeding a limit or condition in a regulatory permission based on internal data for which there is no specific requirement in the permission to take a sample.</li> </ul> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>Discharge made without relevant regulatory permission. Data collected by EA/SEPA/NRW.</li> <li>Use of surrogate analytical test to estimate a discharge limit, e.g. turbidity meter/nephelometer to estimate suspended solids discharge. Discolouration in surface water discharge following very heavy rainfall.</li> </ul> <p><b>Origin of Category:</b> EPR2016, CAR, CoPOSR, PPCR</p>	<b>SPEED(D)</b>	ONR (C) NDA(C)	Exec(D)  DPO(D) HoP(EW)(D) TPCC(D)
		EA/NRW(D) SEPA (I) Adj(C)		
		FR	ER	
<b>ES10</b> <b>(AN01)*</b> *AN01 is only applicable if a report is made to ONR.	<p><b>Reasonable grounds for believing there has been a non-compliance with Hazardous/Special Waste Regulations for disposal of hazardous/Special wastes.</b></p> <p>EA/NRW Notifiable – Day SEPA Notifiable - Immediate</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Hazardous/Special waste load despatched without a consignment note.</li> <li>Hazardous waste set aside for disposal is missing.</li> </ul> <p><b>Origin of Category:</b> HWR, SW</p>	<b>SPEED(D)</b>	ONR (C) NDA(C)	Exec(D)  DPO(D) HoP(EW)(D) TPCC(D)
		EA/NRW(D) SEPA (I)	INES(C)	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>ES11</b> <b>Reasonable grounds for believing there has been a non-compliance with duty of care regulatory requirements for disposal of controlled wastes.</b> EA/SEPA/NRW Notifiable – Week SEPA Notifiable - Immediate Such as: <ul style="list-style-type: none"> <li>Unregistered Waste Carrier used for disposal.</li> <li>Disposal without transfer note.</li> <li>Operating or disposing of waste without waste exemption permit where one is required.</li> <li>Fly tipping.</li> </ul> Not Applicable: <ul style="list-style-type: none"> <li>Not every detailed constituent listed on transfer note, where there is no real hazard e.g. general description of “industrial waste”.</li> <li>Any waste related activity, e.g. fly tipping outside the station land by persons unconnected with the company, (consider AN01).</li> </ul> Origin of Category: EPA Sec.34, DoC, EPR2016	SPEED(3)		Exec(D) HoP(EW)(W) TPCC(W)	
	EA/NRW(D) SEPA (I) Adj(C)			
	FR	ER		
<b>ES12</b> <b>(AN01)*</b> *AN01 is only applicable if a report is made to ONR. <b>Reasonable grounds for believing there is or has been a spillage to land of any substance in a quantity or nature likely to contaminate the land.</b> EA/NRW Notifiable – Day SEPA Notifiable - Immediate Guidance: Whenever possible seek advice from an Environmental SQEP &/or reference to the Company Standard S-047 Spillage & Release Index for non-radiological spill/release events. Such as: Release of oil, solvent, chemical or other material that is uncontained, and likely to contaminate land Not Applicable: Minor oil or chemical spillage to contained bunded area. Origin of Category: EPR2016, CAR, CoPOSR, PPCR	SPEED(D)		Exec(D)	
	EA/NRW(D) SEPA (I) Adj(C)	ONR (C) NDA(C)	DPO(D) HoP(EW)(D) TPCC(D)	
		INES(C)		
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>ES13</b> <b>(AN01)*</b>  <i>*AN01 is only applicable if a report is made to ONR.</i>	<b>Carrying out of an unauthorised activity listed by Natural England/Natural Resources Wales/Scottish Natural Heritage as being potentially damaging on designated land e.g. Site of Special Scientific Interest, Special Protection Area, Special Area of Conservation, or affecting designated species.</b> Natural England/Natural Resources Wales/Scottish Natural Heritage Notifiable Day SEPA Notifiable - Immediate Such as: Use of large earth-moving equipment on environmentally protected area e.g. SSSI, without prior approval. Not Applicable: <ul style="list-style-type: none"> <li>Any activity outside the Station land by persons unconnected with the company (consider AN01).</li> </ul> Origin of Category: WLCA	<b>SPEED(D)</b> NE/NRW/SNH (D) SEPA (I) Adj(C)	ONR (C) NDA(C)	Exec(D) DPO(D) HoP(EW)(D) TPCC(D)
		FR(C)	ER	
<b>ES14</b> <b>(AN01)*</b>  <i>*AN01 is only applicable if a report is made to ONR.</i>	<b>Environmental cause for Management concern which is of regulatory significance.</b> EA/NRW Notifiable – Day SEPA Notifiable - Immediate Such as: <ul style="list-style-type: none"> <li>Non-compliance with Enforcement or Prohibition Notice.</li> <li>Failure to comply with the requirements for the management of ozone-depleting substances and/or fluorinated greenhouse gases (ref S-217).</li> <li>Enquiry/complaint from neighbour/public concerning noise, light pollution, or disturbance from the site. If it is decided the matter may be/will be of Regulatory Interest then categorise as ES14. Seek HoP(E&amp;W) advice.</li> <li>A Release of gaseous or particulate material to the atmosphere from Non-Prescribed Processes which may cause harm except in a quantity so trivial it is incapable of causing harm, or the capacity to cause harm is insignificant.</li> </ul> Origin of Category: This is a Company reporting requirement designed to aid learning & improvement.	<b>SPEED(D)</b> EA/NRW(D) SEPA (I)	ONR (C) NDA(C)	Exec(D) DPO(D) HoP(EW)(D) TPCC(D)
			INES(C)	
		FR	ER	
<b>ES15</b>	<b>Finding an inadequacy in the Environmental or Statutory Maintenance Schedules that support compliance with a consent, authorisation or Environmental Permit or other regulation.</b> EA/SEPA/NRW Notifiable – Week SEPA Notifiable - Immediate Such as: Failure to complete a non-radiological environmental routine in the Environmental or Statutory Maintenance Schedule within the designated period. Origin of Category: EPR2016, EA(S)R2018	<b>SPEED(3)</b>		Exec(D) HoP(EW)(W) TPCC(D)
		EA/NRW(W) SEPA (I)		
		FR(C)	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 3 EVENTS</b>				
ES07	<p><b>Unusual radiological discharge or environmental monitoring result considered worth reporting to EA/NRW/SEPA.</b></p> <p>EA/SEPA/NRW Notifiable – Day</p> <p><b>For a site with EA(S)R2018/EPR2016 permit:</b> an environmental monitoring result that exceeds the mean plus 4 standard deviations of the previous 12 results. During categorisation, refer to S-045 Appendix F for detailed guidance.</p> <p><b>All Sites:</b> Not Applicable:</p> <ul style="list-style-type: none"> <li>An event which breached an authorisation.</li> <li>Where it can be proved to the satisfaction of the HoP(EW) that the material or waste could not have originated on the site (Refer to S-045 Appendix F for detailed guidance about this), the event should be categorised as ES99, but individual site EA(S)R2018/ EPR2016 permits may still require EA, NRW or SEPA to be notified.</li> </ul> <p><b>NOTE:</b> ALL SITES BE AWARE <i>that an environmental monitoring result which exceeds the mean plus 3 standard deviations, whilst not reported here, may need to be reported in the quarterly report (refer to requirements in authorisation/CEARAS as appropriate).</i></p> <p>Origin of Category: EA(S)R2018, EPR2016</p>	SPEED(D)		Exec(D) HoP(EW)(D) TPCC(D)
		EA/SEPA/ NRW(D)		
		FR(C)	ER	
ES32 (AN01)*  *AN01 is only applicable if a report is made to ONR.	<p><b>An environmental safety event or near-miss with potentially significant consequences.</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Plant breakdown which could have caused serious pollution.</li> <li>Where pro-active measures should be taken to prevent significant quantities of oil from entering the drains e.g. deployment of oil absorbents, sand, seal matting etc.</li> <li>Minor and very localised oil sheen/film visible in receiving water at EA/SEPA/NRW designated sampling point.</li> <li>Hazardous/Special waste found in an inappropriate skip during planned inspection.</li> <li>Spillage onto engineered surface (e.g. tarmac), which is then contained but could have otherwise contaminated the land. (e.g. spillage and release index (using Company Standard S-047) with a potential score of medium or high).</li> </ul>	SPEED(3)	ONR (C) NDA(C)	Exec(D) HoP(EW)(D)
		EA/SEPA/ NRW(C)		
			INES(C)	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
ES32 (cont'd)	<p>•<b>NOTE:</b> The regulation at risk of being infringed should be quoted.</p> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>Where there is a spillage of oil but the nearest drain is remote from the spill, with no risk of oil entering the drain (ES99).</li> <li>Minor oil spill in the vicinity of a protected drain (i.e. a drain discharging via an interceptor).</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	FR	ER	
<b>LEVEL 4 EVENTS</b>				
ES50	<p><b>An environmental safety event or near-miss with potentially moderate consequences.</b></p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Anomaly with waste discharge/disposal arrangements identified before waste discharged/disposed of.</li> <li>Exceeding pre-determined reporting criteria in a Land Quality monitoring regime.</li> <li>A sampling failure where procedures were followed and an assessment of discharges was made.</li> <li>Receipt of formal notification from an environmental regulator that they consider a non-compliance with legislation has occurred e.g. 'RASCAR' or similar. Provide details of number and level of non-compliances (e.g. by Compliance Classification Scheme score) notified.</li> </ul> <p><b>NOTE:</b> This report is required in addition to any report made in relation to the initiating event.</p> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	SPEED(3) FR(C)	INES(C)	HoP(EW)(W)
<b>LEVEL 5 EVENTS</b>				
ES99	<p><b>A minor environmental safety event or near miss which merits recording but does not fit any of the above categories and which is useful for trending purposes and/or action.</b></p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Where there is a spillage of oil but the drain is remote from the spill, with no risk of oil entering the drain.</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	At site discretion		
<b>GOOD PRACTICE</b>				
ESGP	<p><b>An identified good practice that merits sharing across the organisation</b></p> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	COOL(C) HoP(Rel)(W)		

**Table A5 – Industrial Safety Events****GENERIC NOTES:**

With the formation of ONR under the Energy Act 2013, responsibility for conventional Health and Safety regulation on nuclear licensed sites transferred from HSE to ONR.

ONR is the enforcing authority for nuclear site health and safety. Incidents on a nuclear site that are reportable under the Reporting of Injuries, Diseases and Dangerous Occurrences Regulations (RIDDOR) 2013 will be reported via the [ONR Dutyholder portal](#) which is accessible via the 'Notify ONR' page of ONR's website and clicking the "[ONR Dutyholder portal](#)" link within in the "RIDDOR Incident Notification" section - there is no requirement to sign in or register in the portal before submitting a RIDDOR report. **Note:** A Google search for "Notify ONR" should find that page.

Dutyholders are required to notify ONR of the reportable incident by the quickest practicable means without delay. In the event of an emergency, e.g. a fatal accident or an incident necessitating immediate contact with ONR, please call 0151 922 5911 to notify them.

A RIDDOR report is to be submitted to ONR within 10 days of the incident. The 'within 10 days' timing is the prescribed limit for making the report in an approved manner.

See Company Standard S-118 Functions and Rights of Safety Reps for guidance on notification of industrial safety accidents to Safety Reps.

Any event that does not fit into these categories should be considered for inclusion in the Abnormal Occurrence(AN) categories. Check for other categories and notifications.

Further guidance on OSHA recording criteria can be found in

- UK Good Practice Guide "Reporting of Injuries, Diseases and Dangerous Occurrence Regulations and OSHA recording of Injuries and Illnesses"
- US Department of Labour, Occupational Safety and Health Administration ([www.osha.gov](http://www.osha.gov)), Standard 29-CFR Part 1904, "Recording and Reporting of Occupational Injuries and Illness."

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
<b>IS01</b> <b>AN01</b>	<p><b>Fatality to company staff or self-employed contractor arising out of or in connection with work as defined in RIDDOR.</b></p> <p>From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR. See Table A5's 'Generic Notes', Appendix O and Appendix P.</p> <p><b>ONR Notifiable: Immediate</b> (RIDDOR Schedule 1 Part 1a: "notify by the quickest practicable means without delay").</p> <p><b>RIDDOR Report:</b> Within 10 days of the incident (RIDDOR Schedule 1 Part 1b: "within 10 days of incident").</p> <p><b>Guidance:</b> RIDDOR Reg 3(1)(a) and Reg 6</p> <p><b>NOTE:</b> This category should also be used for road traffic accidents on business journeys resulting in the death of a staff member or contractor.</p> <p><b>Origin of Category:</b> RIDDOR.</p>	<p><b>SERS(I)</b></p> <p>ONR (I)</p> <p>Adj(C)</p> <p>Notify fatalities to local Police immediately.</p> <p>FR</p>	<p>GOV(I)</p> <p>NDA(I)</p> <p>ONR (I) if site is unable to submit RIDDOR report.</p> <p>ER</p>	<p>Exec(I)</p> <p>DPO(I)</p> <p>CS(I)</p> <p>CNA(I)</p> <p>OH(I)</p> <p>HoP(IS)(I)</p> <p>TPCC(D)</p>
	<p><b>Fatality to contractor's staff arising out of or in connection with work as defined in RIDDOR.</b></p>	<p>As above but RIDDOR Report submitted by employer of contractor.</p>		
<b>LEVEL 2 EVENTS</b>				
<b>IS02</b>	<p><b>Specified injury to company staff or self-employed contractor arising out of or in connection with work, as defined in RIDDOR.</b></p> <p>From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR. See Table A5 Guidance Notes, Appendix O and Appendix P.</p> <p><b>ONR Notifiable: Day</b> (RIDDOR Schedule 1 Part 1a: "notify by the quickest practicable means without delay").</p> <p><b>RIDDOR Report:</b> Within 10 days of the incident (RIDDOR Schedule 1 Part 1b: "within 10 days of incident").</p> <p><b>Guidance:</b> RIDDOR Reg 4(1), Schedule 1 Part 1</p> <p><b>NOTE:</b> This category should also be used for road traffic accidents on business journeys resulting in a specified injury to a staff member or contractor. Also use TS50.</p> <p><b>Origin of Category:</b> RIDDOR.</p>	<p><b>SPEED(D)</b></p> <p>ONR (D)</p> <p>Adj(C)</p> <p>FR</p>	<p>NDA(D)</p> <p>ER</p>	<p>Exec(D)</p> <p>DPO(D)</p> <p>CS(D)</p> <p>CNA(D)</p> <p>OH(D)</p> <p>HoP(IS)(D)</p> <p>TPCC(D)</p>
	<p><b>Specified injury to contractor's staff arising out of or in connection with work, as defined in RIDDOR.</b></p>	<p>As above but RIDDOR Report submitted by employer of contractor.</p>		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
IS03	<p><b>Injuries to company staff causing absence from work or where they are unable to perform their normal work duties for more than seven consecutive days (not counting the day of the accident).</b></p> <p>From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR. See Table A5 Guidance Notes, Appendix O and Appendix P.</p> <p><b>ONR Notifiable:</b> Day (RIDDOR Schedule 1 Part 1a: “notify by the quickest practicable means without delay”).</p> <p><b>RIDDOR Report:</b> Within 10 days of the incident (RIDDOR Schedule 1 Part 1b: “within 10 days of incident”</p> <p><b>Guidance:</b> RIDDOR Reg 4(2) Schedule 1 Part 1</p> <p><b>NOTE:</b> This category should also be used for road traffic accidents on business journeys resulting in 7-day absence or work restriction for a staff member or contractor.</p> <p><b>Origin of Category:</b> RIDDOR.</p>	SPEED(D)	NDA (D)	Exec(D) CS(D) CNA(D) OH(D) HoP(IS)(D) TPCC(D)
		ONR (D)		
		FR	ER	
	<p><b>Injuries to contractor’s staff causing absence or work restriction of more than 7 consecutive days as defined in RIDDOR.</b></p>	As above but RIDDOR Report submitted by employer of contractor.		
IS04	<p><b>Injury, as a result of an accident arising out of or in connection with work, to any person who is not at work, but who is on the site (e.g. a work experience student or visitor) and is taken to a hospital for treatment of this injury (whether or not treatment is given).</b></p> <p>From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR. See Table A5 Guidance Notes, Appendix O and Appendix P.</p> <p><b>ONR Notifiable:</b> Day (RIDDOR Schedule 1 Part 1a: “notify by the quickest practicable means without delay”).</p> <p><b>RIDDOR Report:</b> Within 10 days of the incident (RIDDOR Schedule 1 Part 1b: “within 10 days of incident”</p> <p><b>Guidance:</b> RIDDOR Reg 5(a), Schedule 1 Part 1</p> <p><b>Origin of Category:</b> RIDDOR</p> <p><b>Note:</b> See Appendix O for further information when considering this category.</p>	SPEED(D)	NDA(D)	Exec(D)
		ONR (D)		
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
IS05	<p><b>Occupational diseases and exposure to carcinogens, mutagens and biological agents.</b></p> <p>From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR. See Table A5 Guidance Notes, Appendix O and Appendix P.</p> <p><b>ONR Notifiable:</b> Day (RIDDOR Schedule 1 Part : “notify by the quickest practicable means without delay”).</p> <p><b>RIDDOR Report:</b> Within 10 days of the incident (RIDDOR Schedule 1 Part 1b: “within 10 days of incident”</p> <p><b>Guidance:</b> RIDDOR Reg 6, Reg 8, and Reg 9, Schedule 1 Part 2, Part 3.</p> <p><b>Origin of Category:</b> RIDDOR.</p>	<b>SPEED(D)</b>	NDA(D)	Exec(D)
		ONR (D)		CS(D) CNA(D) OH(D) HoP(IS)(D) TPCC(D)
		FR	ER	
IS06	<p><b>Dangerous Occurrences as defined in RIDDOR.</b></p> <p>Dangerous occurrences apply to Company workplaces and include incidents involving lifting equipment, pressure systems, overhead electric lines, electrical incidents causing explosion or fire, explosions, biological agents, radiation generators and radiography, breathing apparatus, diving operations, collapse of scaffolding, train collisions, wells and pipelines or pipeline works.</p> <p>From 2<sup>nd</sup> April 2024 dutyholders must report incidents that meet RIDDOR 2013 notification criteria, and occur on premises where ONR is the enforcing authority, directly to ONR. See Table A5 Guidance Notes, Appendix O and Appendix P.</p> <p><b>ONR Notifiable:</b> Day (RIDDOR Schedule 1 Part 1a: “notify by the quickest practicable means without delay”).</p> <p><b>RIDDOR Report:</b> Within 10 days of the incident (RIDDOR Schedule 1 Part 1b: “within 10 days of incident”</p> <p><b>Guidance:</b> RIDDOR Reg 7, Schedule 2 Part 1</p> <p><b>Origin of Category:</b>RIDDOR</p>	<b>SPEED(D)</b>	NDA(D)	Exec(D)
		ONR (D)		INES(C)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 3 EVENTS</b>				
IS07	<p><b>Injuries to company staff/contractor causing absence from work or where they are unable to perform their normal work duties beyond a day, but not beyond seven consecutive days (not counting the day of the accident).</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Where the person is unable to attend work or carry out the majority of their duties the next day or shift after an accident.</li> </ul> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Injuries to company staff/ contractor causing absence from work or where they are unable to perform their normal work duties for <b>more</b> than seven consecutive days (not counting the day of the accident) (IS03)</li> </ul> <p>Origin of Category: This is a Company reporting requirement designed to aid learning &amp; improvement</p> <p>Note: See Appendix O for further information when considering this category.</p>	SPEED(3)		Exec(D) HoP(IS)(D)
		FR(C)	ER	
IS08	<p><b>Injury or accident, not reportable under RIDDOR, which required medical treatment or is otherwise recordable under OSHA criteria, but did not result in absence from work.</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Injury or accident beyond OSHA definition of ‘first aid’ which required medical treatment or is otherwise recordable under OSHA criteria e.g. treating infection, or second or third degree burns; applying sutures; using prescription only medicine; use of medical glue to close a wound.</li> </ul> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Injuries to company staff/ contractor causing absence from work or where they are unable to perform their normal work duties (IS03 or IS07).</li> </ul> <p>Note: See Appendix O for further information when considering this category.</p> <p>Origin of Category: This is a Company reporting requirement designed to aid learning and improvement</p>	SPEED(3)		Exec(D) HoP(IS)(D)
		FR(C)	ER	
IS09	<p><b>Category ‘A’ defect reportable to Enforcing Authority by a Competent Person in accordance with LOLER</b></p> <p>Such as:</p> <p>When a ‘Competent Person’** determines there is, in their opinion, a defect in the lifting equipment involving an existing or imminent risk of serious personal injury. As soon as practicable the Competent Person sends a copy of the report of thorough examination to the Enforcing Authority.</p> <p>** - A ‘Competent Person’ as defined in LOLER ACoP L113 Page 50 Para 296.</p> <p>All such defects shall be reported and categorised via Q-Pulse as is required by Company Standard S-262.</p> <p>Origin of Category: LOLER: Reg.9 and Reg.10. LOLER ACoP L113. Company Standard S-262</p>	SPEED(3)		Exec(D) HoP(IS)(D)
		FR(C)	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
IS10	<p><b>A category 'A' defect <u>not</u> reportable to the Enforcing Authority (i.e. HSE) by a Competent Person in accordance with LOLER.</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>A Category 'A' Immediate defect. No copy of report of thorough examination sent to Enforcing Authority (HSE)</li> <li>A Category 'A' timed defect. No copy of report of thorough examination sent to Enforcing Authority (HSE)</li> </ul> <p>All such defects shall be reported and categorised via Q-Pulse as is required by Company Standard S-262.</p> <p>Origin of Category: Company Standard S-262</p>	SPEED(3)		HoP(IS)(D)
		FR(C)	ER	
IS32 (AN01)* <i>*AN01 is only applicable if a report is made to ONR.</i>	<p><b>An industrial safety or fire-related event or near-miss with potentially significant consequences.</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Legionella sampling and analysis results identify a 2<sup>nd</sup> Action Level (&gt; 1000 cfu/Litre) has occurred.</li> <li>An event where there was actual or potential danger from an electrical or mechanical source (whether the E&amp;M Safety Rules were applicable or not).</li> <li>Where a person was actually in the immediate vicinity and only avoided injury through luck, and/or their prompt reactions, and/or prompt reactions by others (e.g. nearly struck by a falling object, a windblown object, a vehicle). The potential injury would need to have been at least a "specified injury" as defined by RIDDOR.</li> <li>Scaffolding hatch fails when stood on. Hatch was stopped only by ducting under the scaffold.</li> <li>An exposed vertical shaft or unguarded drop is discovered during an inspection. The area is in a busy route and routinely accessed.</li> <li>During inclement weather a wind-induced missile lands near to personnel.</li> <li>A fire occurs but is not required to be reported under the RIDDOR Regulations (see IS06).</li> <li>Uncontrolled hot work (welding, burning, grinding), i.e. no hot works certificate has been issued, controls detailed within the hot works certificate have not been implemented.</li> <li>Significant shortcoming with fire safety management arrangements.</li> <li>Blocked fire exits or escape routes, i.e.                             <ul style="list-style-type: none"> <li>Final exit doors, in non-restricted areas, that cannot be opened as a result of damage, swelling, blockage.</li> <li>Escape routes blocked or barriered off without alternative controls in place.</li> </ul> </li> <li>Incorrect installation of fire suppression system or any fire safety related system.</li> <li>Road traffic accident involving injury to staff travelling on company business.</li> </ul>	SPEED(3)	ONR (C) NDA(C)	Exec(D) HoP(IS)(D)
		FR(C)	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
	<ul style="list-style-type: none"> <li>• People working at height without adequate fall protection.</li> <li>• Personnel entering an Exclusion Zone.</li> <li>• Personnel moving high risk work area barriers without proper control or authorisation.</li> <li>• An asbestos fall where there were people present.</li> <li>• Inadvertent exposure to asbestos (also consider RIDDOR depending on potential exposure)</li> </ul> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>• No-one in the immediate vicinity, but reasonably could have been (IS50).</li> <li>• Where injury was avoided by application of operational procedures or physical barriers (e.g.exclusion zone)(IS99)</li> <li>• Events where there was no potential for serious injury (IS99).</li> <li>• Degraded safety conditions whereby an event would not have had significant consequences (IS99).</li> <li>• Where there is a dropped item into a planned drop-zone as part of demolition or construction activities.</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>			
<b>LEVEL 4 EVENTS</b>				
<b>IS50</b>	<p><b>An Industrial safety or fire-related event or near-miss with potentially moderate consequences</b></p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>• Legionella sampling and analysis results identify a 1st Action Level (&gt;100 up to 1000 cfu/Litre) has occurred.</li> <li>• Failure to conduct a statutory (e.g. LOLER, PSSR, Local Exhaust Ventilation for COSHH) maintenance inspection or test requirement on conventional plant within the required timescales.</li> <li>• Procurement of non-compliant LOLER, PSSR or PUWER equipment.</li> <li>• Failure to meet the requirements of the Electrical &amp; Mechanical Safety Rules.</li> <li>• A near-miss event or unsafe condition where there was no-one in the immediate vicinity, but reasonably could have been. The potential for injury may have existed (not a 'specified injury' as defined by RIDDOR) but was avoided through luck, prompt reactions, and/or favourable/benign circumstances (e.g. a fallen object, a windblown object, inadequate work area controls/barriers). <b>Note:</b> When the significance is at the boundary of IS50/IS32 categories and an agreed category is not decided, seek appropriate advice, e.g. HoP(IS).</li> <li>• Build-up of combustible material.</li> <li>• Damage to fire doors such that fire protection function is impaired.</li> </ul>	<b>SPEED(3)</b>		HoP(IS)(W)
		FR(C)	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
	<ul style="list-style-type: none"> <li>Final exits doors blocked/unusable, in restricted areas, that have appropriate controls in place to check as part of the entry process. i.e. final exit doors to be checked prior to works being permitted and detailed in the risk assessment or setting to work brief before entry.</li> <li>Evidence of overheating or scorching.</li> <li>Deformed or marked items from hot working activities.</li> <li>Discovery of an asbestos fall, repeat fall in same area.</li> <li>Background or routine Asbestos air monitoring results exceeding the clearance level.</li> <li>Moving traffic Road Traffic Accident where there has been damage to vehicle with the potential to cause injury.</li> <li>Fire alarms activated by inappropriate action e.g. smoke from cooking or spray from aerosol.</li> <li>False fire alarms:                             <ol style="list-style-type: none"> <li>Malicious - originated by a person knowing that there is or was no emergency.</li> <li>Fire alarms activated due to insufficient inhibition during planned works.</li> </ol> </li> </ul> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>Nuclear MS items, Environmental MS items.</li> <li>Where item was taken out service before due date for statutory test or inspection.</li> <li>Minor E&amp;M Safety Rules infringements without potential to cause injury (e.g., of an administrative nature) (IS99)</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>			
<b>LEVEL 5 EVENTS</b>				
<b>IS99</b>	<p><b>Near-miss event, accident, discrepancy in industrial safety or fire safety which merits recording but does not fit any other categories and which is useful for trending purposes and/or action.</b></p> <p><b>Note:</b> An accident is a separate, identifiable, unintended incident which causes physical injury. Injuries themselves e.g., ‘feeling a sharp twinge’ are not accidents as there must be an identifiable external event that causes the injury.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Work-related first aid, e.g. purely diagnostic consultation; using non-prescription medicine (including antiseptics); cleaning wounds on the skin surface; covering wounds with bandages, gauze pads, removing foreign bodies from the eye using only irrigation or a cotton swab etc.</li> <li>‘Normal Life’ event – See Appendix O ‘Guide to RIDDOR &amp; OSHA Reporting’ for information.</li> </ul>	At site discretion		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
	<ul style="list-style-type: none"> <li>Needs to be supported by clear justification, recorded in the event report (e.g. Q-Pulse), as to why it is not attributable to a work activity. Must inform Safety Reps, EHSSQ Site Inspector and NRS Insurance team (via <a href="mailto:magnox.insurance@magnoxsites.com">magnox.insurance@magnoxsites.com</a>). Seek HoP(IS) advice if there is any uncertainty or disagreement.</li> <li>False fire alarms:                             <ul style="list-style-type: none"> <li>Fire system anomalies not covered in IS50, including activation due to atmospheric conditions, insect ingress, etc.</li> <li>Fire system failure originated by defective equipment.</li> </ul> </li> <li>Use of equipment which is out of Scheduled inspection (not specified in legislation or ACoP) but which is not in a dangerous condition.</li> <li>Transport/Road safety related minor issue/near miss (includes near miss road traffic accident where there was no injury to personnel).</li> <li>Minor slips, trips and fall hazards.</li> <li>Minor plant degradation causing a potential safety hazard.</li> <li>Poor housekeeping.</li> <li>Incorrect/out of date information on signage.</li> <li>Lack of sufficient welfare facilities.</li> <li>Other minor Asbestos related issues.</li> </ul> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Non work-related first aid, e.g. purely diagnostic consultation.</li> </ul> <p>Origin of Category: This is a Company reporting requirement designed to aid learning &amp; improvement.</p>			
<b>GOOD PRACTICE</b>				
<b>ISGP</b>	<p><b><i>An identified good practice that merits sharing across the organisation</i></b></p> <p>Origin of Category: This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	<b>COOL(C)</b> HoP(Rel)(W)		

**Table A6 – Abnormal Occurrence Events**

**GENERIC NOTES:**

For the ‘Abnormal Occurrence’ criterion there is no prescribed Level 1 event category except in the case of a Radiation Emergency. When an event is categorised as AN01 a judgement will be required by the site (in consultation with the Duty Officer, local EHSS&Q Site Inspector, or other appropriate advisor(s)) as to which internal reporting ‘level’ is appropriate. Before a ‘GOV(C)’ notification occurs, it will require discussion with the EHSSQ Director or, if not available, a member of their EHSSQ Lead Team. See Appendix F.

For EHSSQ Duty Officers: Detailed instruction about the process for NDA(I) notifications is provided in Appendix J.

Notification of a significant GDPR incident (Significance Level 2 or 3 – see Table in Section 3.2.2) to be emailed to the Data Protection Officer (DataPO) via [D.P.O@magnoxsites.com](mailto:D.P.O@magnoxsites.com) within 24 hours for upwards reporting to the Information Commissioner’s Office (ICO) within the 72 hour deadline. See S-426 ‘Data Protection’.

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL – refer to generic notes</b>				
AN01	<p><b>Events likely to attract, or have attracted, significant national media or public attention.</b>                      ONR Notifiable: <i>Immediate</i>                      Origin of Category:</p> <ul style="list-style-type: none"> <li>ONR OPEX Guidance Documents – See ONR-RIO-PROC-002 for details of the full suite of documents</li> <li>See Appendices G &amp; H for origin of guidance for reporting incidents to EA and other environmental agencies.</li> <li>Phase 1 of NDA ‘M.I.R.E’ Guidance document</li> <li>Ministerial Reporting Criteria (MRC), category (f): “Events likely to attract, or that have attracted, significant national media or public attention”. For details of MRC see Appendix L.</li> <li>Ministerial Reporting Criteria for Transport (MRCT) events, category (f): “Events involving class 7 goods in carriage likely to attract, or that have attracted, significant national media or public attention.” For details of MRCT see Appendix K.</li> <li>Ministerial Reporting Criteria for Safeguards (MRC-SG) events, category (f): “Events likely to attract, or that have attracted, national media or public attention, or local media attention with the potential to escalate.” For details of MRC see Appendix N.</li> </ul> <p><b>Discussion</b></p>	SERS(I)	GOV(C)(I)	Exec(I)
		Adj(C)	ONR (C)(I) EA/SEPA/ NRW(C)(I) NDA(C)(I)	CS(I) DPO(I) CNA(C) OH(C) HoP(Rel)(D) TPCC(D)
		MSR(C)	INER(C)	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>AN01</b> <i>(Cont'd)</i></p> <p>This category is a “catch-all” for events or occurrences likely to attract, or that have attracted, national media or public attention, or local media attention with the potential to escalate but do not appear to meet any of the other ‘Immediate’ reporting criteria in this Standard. Such events/occurrences may have been reported in the media. As such it is useful for external and internal stakeholders to be notified of these events in anticipation of requests for comment by other interested parties.</p> <p>The category may be used with or without any of the other categories, to give immediate effect to a notification. The presence or absence of other codes will provide an initial indication of the extent of any follow-up required.</p> <p>This category is not intended to cover matters where only local media interest is likely or for attendance at site by emergency services for routine matters such as an ambulance transporting a worker to hospital for treatment of a minor injury or a precautionary check-up. However, if emergency services attend with flashing blue lights and sirens, e.g. for a serious injury or a fire requiring intervention by emergency services or hospitalisation, this may be reported under AN01.</p> <p>The decision to apply AN01 notifications will be determined through discussions between the site and the EHSSQ Duty Officer and, if necessary, appropriate others. If the outcome of emergency services attendance to site does not meet the ‘Level 1’ or ‘Level 2’ Significance defined in Section 3.3.2, media/public interest is anticipated to be low, then the use of category AN32 can be considered. Similarly, it is very important that consideration is given to reporting the event to the appropriate environmental agency/agencies, particularly in regard to the attendance of the Fire Service at a site regardless of whether the event results in actual harm to the environment. Check Appendices G &amp; H when making such decisions.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>• Dangerous Goods Class 7 road/rail transport incidents either involving another vehicle or where the conveyance is immobilised for several hours or more. Attendance of emergency services at the scene should be reported if their blue flashing lights and sirens were used.</li> <li>• Significant industrial or protest group action.</li> <li>• An earthquake occurs of intensity 3.9 on the Richter scale, with its epicentre some 50 miles from the site; its effects are felt by personnel on site. As a result, site personnel undertake a series of plant inspections however no adverse effects on safety related plant are identified.</li> <li>• Site provides an immediate notification to ONR, environmental agency or another agency or department in devolved administrations of an event with potentially national interest.</li> <li>• A major event with potential for actual environmental impact</li> <li>• A major event which may require environmental agency support</li> <li>• A major event which may involve the environmental agency/agencies communicating with Government departments, Local Authorities or the media.</li> </ul>				

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 2 EVENTS</b>				
AN02	<p><b>Any crime performed against a person or property at a company location.</b> Such as:</p> <ul style="list-style-type: none"> <li>• Theft of company equipment or materials, consider also SC10e, SC10f or SC22a.</li> <li>• Vandalism to company property, consider also SC10d.</li> <li>• Theft of personal possessions within the site boundary.</li> <li>• Act of violence against any person within the site boundary.</li> <li>• Significant loss (high volumes) of sensitive (special category) personal data into the public domain due to a malicious attack. Such as:                             <ul style="list-style-type: none"> <li>- Significant breach into HR information management system (likely to be via cyber attack)</li> <li>- Significant breach into Occupational health systems – (likely to be via cyber attack)</li> <li>- ‘Malicious insider’ releases an extensive amount of special category data into the public domain</li> <li>- Accidental loss of significant volumes of special category data into the public domain</li> </ul> </li> </ul> <p>Notification of these GDPR incidents must be sent to Data Protection Officer (DataPO) <a href="mailto:D.P.O@magnoxsites.com">D.P.O@magnoxsites.com</a> within 24 hours for upwards reporting to the ICO within the 72 hour deadline. Provide an outline of the event.</p> <p><b>Not Applicable:</b></p> <ul style="list-style-type: none"> <li>• Theft of staff personal possessions outside the site boundary.</li> <li>• Act of violence against a member of staff outside the site boundary.</li> </ul> <p><b>Origin of Category:</b> General Data Protection Regulations 2018 (GDPR 2018) This is also a Company reporting requirement designed to aid learning and improvement.</p>	SPEED(D)		Exec(D) CS(D) DPO(D) HoS(D) TPCC(D) DataPO(D)
		FR(C)	ER	
<b>LEVEL 3 EVENTS</b>				
AN20	<p><b>An actual or near-miss abnormal occurrence or event involving a Counterfeit, Fraudulent or Suspect Item (CFSI - as defined in S-015).</b></p> <p>This category is only used as an ‘Other Category’ for trending purposes. The most Significant Category is identified from an actual event, examples below for where a CFSI is involved. The identification could occur at receipt inspection, withdrawal from stores, during installation, commissioning, testing or during operation. If an event does not fit any other category then this is assigned as a primary category.</p> <p><b>Examples where a CFSI was involved:</b></p>	SPEED(3) FR(C)	ER	CEng(W)

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
AN20 (cont'd)	<ul style="list-style-type: none"> <li>Nuclear Safety An instrument required by the safety case is identified to have a fraudulent CE marking;                             <ul style="list-style-type: none"> <li>- found during receipt inspection/installation; potentially NS99</li> <li>- found during commissioning checks; potentially NS50</li> <li>- found after failing to operate correctly when required during a fault condition; potentially NS32</li> </ul> </li> <li>Radiological Safety                             <ul style="list-style-type: none"> <li>- fraudulent certification identified for a high volume air sampler required to monitor radiological conditions;</li> <li>- found during receipt inspection, potentially RS99</li> <li>- found during commissioning, potentially RS50</li> <li>- after mal-operation, potentially RS32</li> </ul> </li> <li>Industrial Safety A counterfeit screw-in lifting eye, shackle or carabiner is found;                             <ul style="list-style-type: none"> <li>- during receipt inspection; potentially IS99</li> <li>- prior to lifting; potentially IS50</li> <li>- after it failed; potentially IS32 or higher</li> </ul> </li> <li>Environmental Safety Suspect iso-kinetic sampler for discharge stack monitoring;                             <ul style="list-style-type: none"> <li>- found during receipt inspection, potentially ES99</li> <li>- found during commissioning, potentially ES50</li> <li>- after first annual calibration, potentially ES32</li> </ul> </li> </ul> <p><i>Origin of Category:</i> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>			
AN32	<p><b>An actual or near-miss abnormal occurrence with potentially significant consequences.</b></p> <p><i>Such as:</i></p> <ul style="list-style-type: none"> <li>Major failure on pre-commissioned plant on the licensed site.</li> <li>Industrial or protest group action with no significant impact or effect to the site.</li> <li>Emergency services summoned to site, but the outcome of their attendance does not meet criteria described in category AN01 re: media/public interest. For example, an ambulance transports an employee/contractor to hospital for treatment of a minor injury or a precautionary check-up. Media/Public interest anticipated to be low.</li> </ul> <p><i>Origin of Category:</i> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	<p><b>SPEED(D)</b></p>		<p>Exec(D) HoP(Rel)(D)  CNA(C)(D) OH(C)(D)</p>
		MSR(C)		
		FR(C)	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
AN32 (Cont'd)	<p><b>Loss of Data Protection events:</b></p> <p>Notification of GDPR incidents needs to be sent to the Data Protection Officer (DataPO) <a href="mailto:D.P.O@magnoxsites.com">D.P.O@magnoxsites.com</a> within 24 hours for upwards reporting to the ICO within the 72 hour deadline. Provide an outline of the event.</p> <p>Loss of multiple personal data into the public domain by error or omission. Such as:</p> <ul style="list-style-type: none"> <li>List of multiple employee data (addresses/ home contact details/SQEP data/ role data) sent to wrong person outside of the Company and in public domain – affecting multiple data subjects.</li> <li>List containing special category data (medical, financial, diversity) sent to wrong person outside of the Company but still within NDA group or UK Government domain – affecting multiple data subjects.</li> <li>Breach into information systems containing business card information (e.g. procurement and commercial systems, asset management systems) – likely to be linked to a wider cyber attack, there will be GDPR aspects to cover and possibly reporting to Information Commissioner’s Office (ICO).</li> </ul> <p>• <b>Origin of Category:</b> General Data Protection Regulations 2018 (GDPR 2018)</p>	SPEED (D)		Exec(D) DataPO(D)
		MSR(C)		
		FR(C)	ER	
<b>LEVEL 4 EVENTS</b>				
AN50	<p><b>An actual or near-miss abnormal occurrence, with potentially moderate consequences.</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Any event or group of events that the Site Director considers requires investigation and follow-up actions to prevent a recurrence.</li> <li>Regulatory action taken against the company or against contractors as a result of their work on company premises.</li> <li>Any event which makes vulnerable the site’s third party certifications.</li> </ul> <p><b>Origin of Category:</b> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	SPEED(3) FR(C)	ER	HoP(Rel)(W)

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 5 EVENTS</b>				
<b>AN99</b>	<p><b><i>A minor abnormal occurrence or near-miss which merits recording but does not fit any other categories and which is useful for trending purposes and/or action.</i></b></p> <p>Very minor breach of personal data or a near miss. Failure to maintain the rights of data subjects identified in process or systems. Such as:</p> <ul style="list-style-type: none"> <li>- Email containing personal information sent to wrong employee.</li> <li>- Letter containing personal information sent to wrong home address.</li> <li>- Access to personal information provided to someone who does not have the need to know (internal, non-special category data).</li> <li>- Failure to delete personal data in line with retention schedule.</li> </ul> <p><a href="#">Origin of Category:</a> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	At site discretion		
<b>GOOD PRACTICE</b>				
<b>ANGP</b>	<p><b><i>An identified good practice that merits sharing across the organisation</i></b></p> <p><a href="#">Origin of Category:</a> This is a Company reporting requirement designed to aid learning &amp; improvement.</p>	COOL(C) HoP(Rel)(W)		

**Table A7 – Security Categories****GENERIC NOTES:****Not Reportable:**

Events or matters falling under NISR 2003 Regulation 10(5)(i) and Regulation 10(5)(j) may not have to be reported to ONR where a NISR 2003 Regulation 7(2) notification has been issued to the site by ONR stating that the event or matter is of a kind unlikely to be prejudicial to security or press interest and therefore does not need to be reported to ONR. In Table A7 the corresponding categories for those two Regulations are 'SC10i' and 'SC10j'. Also, see Appendix M re: criteria for selection of security event significance.

When it has been decided that a security event or matter falling under NISR 2003 Regulation 10(5)(i) and Regulation 10(5)(j) meets requirements of the site's Regulation 7(2) notification i.e. the event will not be formally reported to ONR, the appropriate 'SC10i' or 'SC10j' category in Table A7 will be selected. The following comment must be included in the event's details in Q-Pulse to clearly record "The site's NISR 2003 Regulation 7(2) notification is invoked for this event." immediately followed by the appropriate item selected from Appendix 'M' which justifies the invocation. These details are necessary in Q-Pulse event reports to ensure that this information is evident in the weekly summary of all events issued by sites in accordance with Section 3.3.1

The following is an exemplar of such a statement for sites to confirm theirs is equivalent:

"The site's NISR 2003 Regulation 7(2) notification is invoked for this event and justified by applying Appendix M, item a: Visitors left unescorted in Limited Access Area (General Site)."

**Reportable:**

For security events or matters that are reportable: Any event or matter of a kind specified within Regulations 10, 18 and 22 must be reported **as soon as practicable and in any event within 24 hours** of it becoming known to the site. A verbal report will be made by telephone during working hours by the Site Security Manager, or their delegate, to the nominated ONR Site Inspector directly or during non-working hours by the site's duty representative (i.e. Duty Controller or Duty Manager or Site Incident Officer) via the Constabulary Communications Centre (CCC) of the Civil Nuclear Constabulary (CNC) and asking to leave a message for the Duty ONR Inspector to call the representative back.

**Reporting Security Incidents** – during Business Hours (Mon to Fri 08.30 -17.00) call nominated Site Inspector; Out of Hours - call Duty Officer on: 0330 313 5695.

For the 'Major Security Incident' category (see Table A1) the verbal report will be performed by the EHSSQ Duty Officer. For the other security event categories that are reportable to ONR, the site is responsible for performing the verbal report. Similarly in accordance with Regulations 9, 10, 18 and 22 of NISR 2003, the required initial written report will be made by the EHSSQ Duty Officer using the ONR WIReD platform (see Appendix B for details) within the required 48 hours from when the event or matter occurred or became known to the site.

Other divisions within ONR should **only** be notified by the Duty Officer **where the event has significant safety implications**. The decision as to whether to notify ONR under these circumstances is a matter of judgement, but in this context "significant safety implications" should be taken to mean implications of the order of actual serious injury to personnel or actual damage to nuclear plant likely to threaten nuclear safety. Reductions in defence in depth that did not result in any actual harm should not be notified to ONR. The Head of Internal Oversight should be approached by the EHSSQ Duty Officer to advise on this decision. For FRs, the level of investigation and timing of report will be discussed between the Site Security Manager and ONR. Generally, the 'ONR(Sec)(Rep)' communication constitutes the FR.

NISR Regulation 9 applies to relevant personnel in relation to the premises is a person who has been assessed, in accordance with a process that has been approved by the ONR, to be of suitable character and integrity, having regard to the need to ensure the security of the premises and the material, equipment and information mentioned in regulation 4(2). For events that raises concerns about a National Security Vetting (NSV) clearance holder's suitability to hold such clearance, Sites should consider whether the Personnel Security Manager (PSM) should be notified.

NISR Regulation 10 applies to security of any nuclear material, other radioactive material (ORM), sensitive nuclear information (SNI) used or stored on licensed nuclear sites, nuclear construction sites, and/or other premises for which there is an approved Security Plan, and to the security of those types of premises themselves.

NISR Regulation 18 applies to events or matters reportable by approved carriers of nuclear material. For example: Regulation 18(5)(j); any failure to comply with any of the standards, procedures and arrangements described in the approved carrier's approved transport security statement or the measures described in any approved transport plan required under regulation 19.

NISR Regulation 22 applies to a responsible person who keeps sensitive nuclear information on any premises (e.g. Bristol Hub, Maentwrog) other than "nuclear premises" for which there is an approved security plan. It does not apply to licensed nuclear sites, nuclear construction sites or other nuclear premises for which there is an approved Security Plan detailing their arrangements for protecting sensitive nuclear information.

ONR letter (ref: CNS/7132, dated 6/8/19) "Unauthorised incursion into restricted airspace around nuclear premises by Unmanned Air Vehicles (UAV) – Reporting Requirements" stipulates that incidents involving UAV are treated as a security event and reported in accordance with Regulations 10 and 18 of NISR 2003 as appropriate. In response, sites will gather relevant information of such events/incidents using the agreed template (see Site Security Manager) and report to ONR using the INF1.

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
<p>A Major Security Incident is when a security threat threatens to compromise, or already has compromised, nuclear safety or the security of the site. 'Major Security Incident' is a declaration state initiated by a SQEP who is competent and has authority to do so, e.g. Duty Controller (DC), Emergency Controller (EC). If necessary, they should contact the Site Security Manager for support and advice during normal working hours. A Duty Security Officer and an EHSSQ Duty Officer are available to call on a 24/7 basis via the company on-call rota.</p> <p>Major Security Incident is one of four types of 'Major Event' (see Table A1). Sites will select the appropriate category that reflects the circumstances and significance of the Major Security Incident, e.g SC10a, SC10b .</p>				
SC10a	<p><b>Any unauthorised incursion into the site or any attempted or suspected such incursion.</b></p> <p>ONR Notifiable - Immediate.</p> <p>* The SERS message for a Major Security Incident is sent by the site within 15 minutes after the declaration is made.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>A confirmed, attempted or suspected incursion into the site.</li> <li>Hostile incursion into airspace over the site by a UAV.</li> <li>A deliberate attempt to access a High Security Area by a member of staff who does not hold the required security clearance,</li> <li>An accidental incursion into a High Security Area by a member of staff who does not hold the required site access/security clearance, resultant from a failing in access control arrangements.</li> </ul> <p>Origin of Category: NISR 10(5)(a), ONR; ONR-RIO-GD-003</p>	SERS *	GOV(I)	Exec(I)
		<p>ONR (Rep)</p> <p>PSM (C)</p>	<p>ONR (I)</p> <p>EA/SEPA/ NRW(C) NDA(I)</p>	<p>DPO(I)</p> <p>CS(I)</p> <p>HoS(I)</p> <p>TPCC(D)</p>
		FR	ER	
SC10b	<p><b>Any incident occurring on the site involving an explosive or incendiary device or suspected such device or any firearm or replica firearm.</b></p> <p>ONR Notifiable - Immediate.</p> <p>* The SERS message is sent by the site within 15 minutes after the declaration being made.</p> <ul style="list-style-type: none"> <li>A member of staff bringing an unauthorised firearm, or replica firearm, onto a nuclear premise.</li> <li>The loss of authorised firearms or ammunition on site, i.e. Civil Nuclear Constabulary firearms or, the negligent discharge of a weapon.</li> <li>The discovery of a suspect package adjacent to the perimeter.</li> </ul>	SERS *	GOV(I)	Exec(I)
		<p>ONR (Rep)</p> <p>PSM (C)</p>	<p>ONR (I)</p> <p>EA/SEPA/ NRW(I) NDA(I)</p>	<p>DPO(I)</p> <p>CS(I)</p> <p>HoS(I)</p> <p>TPCC(D)</p>
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>SC10b</b> <i>(cont'd)</i>	<b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies. <b>Origin of Category:</b> NISR 10(5)(b), ONR; ONR-RIO-GD-003			
<b>LEVEL 2 EVENTS</b>				
<b>SC10c</b>	<b>Any damage to any building, plant or equipment on site which might affect the security of the site or material or equipment mentioned in the Nuclear Site Security Plan.</b> <b>ONR Notifiable - Day</b> <ul style="list-style-type: none"> <li>Storm damage to external perimeter fencing.</li> <li>Water ingress and subsequent damage to security systems and/or their back-up power supplies.</li> <li>The loss of communication systems used during a security response to an incident.</li> <li>Accidental damage to an intruder detection system by a contractor working on nearby plant.</li> </ul> <b>Origin of Category:</b> NISR 10(5)(c), ONR; ONR-RIO-GD-003	<b>SPEED(D)</b> ONR (Rep) <b>PSM (C)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) TPCC(D)
		FR	ER	
<b>SC10d</b>	<b>Any malicious damage to any building, plant or equipment or material on the site, other than trivial damage that does not affect the security of the site or any material or equipment mentioned in the Nuclear Site Security Plan.</b> <b>ONR Notifiable - Day</b> <ul style="list-style-type: none"> <li>Malicious breach or suspected breach of cyber security affecting performance of a plant computer system</li> <li>Cutting of a security padlock and chain from a security fence.</li> <li>A member of staff purposefully damaging an access control reader in order to bypass the system.</li> </ul> <b>Origin of Category:</b> NISR 10(5)(c), ONR; ONR-RIO-GD-003	<b>SPEED(D)</b> ONR (Rep) <b>PSM (C)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) TPCC(D)
		FR	ER	
<b>SC10e</b>	<b>Any theft or attempted theft, or any loss or suspected loss, or unauthorised movement</b> <b>a) of any nuclear material used or stored on the site or in transit to or from site</b> <b>b) of any Other Radioactive Material (ORM) used or stored on site.</b>  <b>ONR Notifiable – Day</b> <ul style="list-style-type: none"> <li>The temporary loss of a radioactive source from a source store.</li> </ul> <b>Origin of Category:</b> NISR 10(5)(e), ONR; ONR-RIO-GD-003	<b>SPEED(D)</b> ONR (Rep) EA/SEPA/ NRW(C) <b>PSM (C)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) HoNO(C) HoP(RS)(C)
			INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>SC10f</b> <b>Any theft or attempted theft or any loss or unauthorised disclosure of sensitive nuclear information kept on the site and any suspected such theft, loss or disclosure.</b> ONR Notifiable – Day <ul style="list-style-type: none"> <li>A member of staff inadvertently sends an email containing Sensitive Nuclear Information over the internet by unencrypted, unauthorised means.</li> <li>The unauthorised removal from site of a document containing Sensitive Nuclear Information by a member of staff or contractor.</li> </ul> Origin of Category: NISR 10(5)(f), ONR; ONR-RIO-GD-003	<b>SPEED(D)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) TPCC(D)	
	ONR (Rep) PSM (C)			
	FR	ER		
<b>SC10g</b> <b>Any unauthorised access to sensitive nuclear information kept on the site or any attempt to gain such access.</b> ONR Notifiable – Day <ul style="list-style-type: none"> <li>A visitor to site, who does not hold adequate security clearance, attempts to gain access to Sensitive Nuclear Information.</li> <li>The installation of unauthorised software on an IT system.</li> </ul> Origin of Category: NISR 10(5)(g), ONR; ONR-RIO-GD-003	<b>SPEED(D)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) TPCC(D)	
	ONR (Rep) PSM (C)			
	FR	ER		
<b>SC10h</b> <b>Any threat to do anything which would fall within any of the above criteria SC10a-g.</b> ONR Notifiable - Day <ul style="list-style-type: none"> <li>Suspicious behaviour by a member of the public near to site, such as potential reconnaissance or asking for information about the site and/or its security arrangements.</li> <li>A direct telephone threat in relation to the security of a nuclear premise.</li> </ul> Origin of Category: NISR 10(5)(h), ONR; ONR-RIO-GD-003	<b>SPEED(D)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) TPCC(D)	
	ONR (Rep) PSM (C)			
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
SC10i	<p><b>Any failure to comply with any of the standards, procedures or arrangements described in the approved security plan that are relied upon to deliver the necessary security outcome for the site. Security Plan includes any approved temporary security plan and/or temporary security arrangement in force at the time.</b></p> <p>ONR Notifiable – Day</p> <p>Qualifying security events that are not described in/covered by the site’s NISR 2003 Regulation 7(2) notification issued by ONR, including those that are above ‘Minor’ security significance (See Appendix M for info.)</p> <p>Origin of Category: NISR 10(5)(i), ONR; ONR-RIO-GD-003</p>	SPEED(D)	ONR (D) NDA(D)	Exec(D)
		ONR (Rep) PSM (C)		HoS(D) TPCC(D)
		FR	ER	
SC10i	<p><b>Any failure to comply with any of the standards, procedures or arrangements described in the approved security plan that are relied upon to deliver the necessary security outcome for the site. Security Plan includes any approved temporary security plan and/or temporary security arrangement in force at the time.</b></p> <p>This category is only to be used for Regulation 10(i) security events or matters assessed as being of ‘Minor’ or ‘None’ security significance (See Appendix M for info.) by sites issued with a NISR 2003 Regulation 7(2) notification by ONR stating that the event or matter is of a kind unlikely to be prejudicial to security or press interest and therefore does not need to be reported to ONR.</p> <p>This category is required to be reported via Q-Pulse. The Company Head of Security now analyses Q-Pulse for such events. ONR will be made aware of the event via their regular communications with sites and the weekly summary of event reports issued by sites (see Section 3.3.1).</p>	Q-Pulse		
			ER	
SC10j	<p><b>Any event or matter which might affect the security of the site or the material, equipment or information included in the Security Plan and/or temporary security arrangement as is required by Regulation 4(2).</b></p> <p>ONR Notifiable – Day</p> <p>Qualifying security events that are not described in/covered by the site’s NISR 2003 Regulation 7(2) notification issued by ONR, including those that are above ‘Minor’ security significance (See Appendix M for info.)</p> <p>Origin of Category: NISR 10(5)(j), ONR-RIO-GD-003</p>	SPEED(D)	ONR (D) NDA(D)	Exec(D)
		ONR (Rep) PSM (C)		HoS(D) TPCC(D)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
SC10j	<p><b>Any other event or matter which might affect the security of the site or the material, equipment or information included in the Security Plan and/or temporary security arrangement as is required by Regulation 4(2).</b></p> <p>This category is only to be used for Regulation 10(j) security events assessed as being of 'Minor' or 'None' security significance (See Appendix M for info.) by sites issued with a NISR 2003 Regulation 7(2) notification by ONR stating that the event or matter is of a kind unlikely to be prejudicial to security or press interest and therefore does not need to be reported to ONR.</p> <p>This category is required to be reported via Q-Pulse. The Company Head of Security now analyses Q-Pulse for such events. ONR will be made aware of the event via their regular communications with sites and the weekly summary of event reports issued by sites (see Section 3.3.1).</p>	Q-Pulse		
SC18	<p><b>Any event occurring during the transport of nuclear material from the site to a trans-shipment point.</b></p> <p>ONR Notifiable – Day</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Actual, or attempted, incursion on to premises where nuclear material is being temporarily stored.</li> <li>A carrier failing to comply with the standards, procedures and arrangements in its approved transport security statement, such as a driver having the incorrect security clearance commensurate with the categorisation of nuclear material being transported.</li> <li>The loss, theft or compromise of a transport security plan.</li> </ul> <p>Origin of Category: NISR 18(5)(a-k), ONR; ONR-RIO-GD-003</p>	SPEED(D)		Exec(D)
		ONR (Rep) PSM (C)	ONR (D) NDA(D)	DPO(D) HoS(D) HoP(RS)(C) TPCC(D)
		FR	ER	
SC22a	<p><b>Any theft or attempted theft, or any loss or unauthorised disclosure, of sensitive nuclear information or any suspected such theft, loss or disclosure.</b></p> <p>ONR Notifiable - Day</p> <ul style="list-style-type: none"> <li>Contractor emails Sensitive Nuclear Information (SNI) to a licensee over the internet via unencrypted means.</li> <li>Theft or attempted theft of SNI from a premises that is not a nuclear premises.</li> </ul> <p>Origin of Category: NISR 22(3)(d), ONR; ONR-RIO-GD-003</p>	SPEED(D)		Exec(D)
		ONR (Rep) PSM (C)	ONR (D) NDA(D)	HoS(D) TPCC(D)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
SC22b	<p><b>Any unauthorised access to sensitive nuclear information or any attempt to gain such access.</b>                      ONR Notifiable - Day</p> <ul style="list-style-type: none"> <li>A worker with expired security clearance continues to gain access to Sensitive Nuclear Information.</li> <li>A visitor to a duty-holder's offices (i.e. premises that are not nuclear premises) attempts to gain access to security container holding Sensitive Nuclear Information.</li> </ul> <p>Origin of Category: NISR 22(3)(d), ONR; ONR-RIO-GD-003</p>	<b>SPEED(D)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) HoIT(C) TPCC(D)
		ONR (Rep) PSM (C)		
		FR	ER	
SC22c	<p><b>Any other event or matter which might affect the security of any sensitive nuclear information.</b>                      ONR Notifiable - Day</p> <ul style="list-style-type: none"> <li>A document containing Sensitive Nuclear Information is left out on a worker's desk overnight on a premises that is not a nuclear premises.</li> <li>Sensitive Nuclear Information saved to a network which is not accredited to hold that level of information.</li> </ul> <p>Origin of Category: NISR 22(3)(d), ONR; ONR-RIO-GD-003</p>	<b>SPEED(D)</b>	ONR (D) NDA(D)	Exec(D) HoS(D) HoIT(C) TPCC(D)
		ONR (Rep) PSM (C)		
		FR	ER	
<b>LEVEL 3 EVENTS</b>				
SC32 <i>(AN01)*</i> <i>*AN01 is only applicable if a report is made to ONR.</i>	<p><b>A security event or near-miss with potentially significant consequences.</b>                      Such as:</p> <ul style="list-style-type: none"> <li>Attempt to elicit information which could allow access to an NRS computer system,</li> <li>Opened/activated 'Phishing' emails or 'phone calls to elicit any personal information relating to computer system access. 'Phishing' Email forwarded to magnox.infosec.alerts@magnoxsites.com.</li> </ul> <p>Origin of Category: This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	<b>SPEED(3)</b>	ONR (C) NDA(C)	Exec(D) HoS(D) HoIT(C) DataPO
		PSM (C)		
		FR(C)	ER	
<b>LEVEL 4 EVENTS</b>				
SC50	<p><b>A security event or near-miss with potentially moderate consequences.</b>                      Origin of Category: This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	<b>SPEED(3)</b>		HoS(W)
		FR(C)	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 5 EVENTS</b>				
<b>SC99</b>	<p><b><i>A minor security event or near-miss which merits recording but does not fit any of the above categories but which is useful for trending purposes and/or action.</i></b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>• Minor Theft or vandalism.</li> <li>• Unsuccessful 'Phishing' emails or 'phone calls to elicit any personal information relating to computer system access. 'Phishing' email forwarded to magnox.infosec.alerts@magnoxsites.com</li> </ul> <p><b>NOTE:</b> Site Security Manager to include in monthly site incident reports to Corporate Security.</p> <p><b>Origin of Category:</b> This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	At site discretion		
<b>GOOD PRACTICE</b>				
<b>SCGP</b>	<p><b><i>An identified good practice that merits sharing across the organisation</i></b></p> <p><b>Origin of Category:</b> This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	COOL(C) HoP(Rel)(W)		

**Table A8 – Safeguards Events (SG)**

**GENERIC NOTES:** For the ‘Safeguards Events’ criterion there is no prescribed Level 1 event category. As of 1<sup>st</sup> January 2021, ONR is the UK Safeguards Regulator.

**Ministry of Defence (MoD) Reporting:** Where material not subject to Safeguards is held the balances of and transactions involving these materials are reported to MoD.

These records and reports are kept in no less detail than for ONR reporting. Although MoD do not dictate the format of their reports, any such should be as for ONR.

Manual M-002 ‘Nuclear Material Accountancy & Control Plan Manual’ defines the accounting and control system for the qualifying nuclear material present within the qualifying nuclear facilities operated by NRS. The Manual requires ‘authorised access’ to be requested from HoP (NMAS) to view its contents. Standard Procedure S-164 ‘Nuclear Materials Management’ defines the arrangements for the control and accounting of Nuclear Material brought onto, stored on or consigned from Sites. It is generally accessible via the intranet/ management system. Both documents also summarise the requirements for provision of special reports, and the reporting and notifications for safeguards events. S-495 is their key reference for those activities.

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 2 EVENTS</b>				
SG01a	<p><b>An event affecting IAEA safeguards arrangements:</b></p> <p>i. IAEA Safeguards personnel’s Health and Safety. or</p> <p>ii. IAEA Safeguards personnel’s access to a location is denied or restricted in contravention of international agreements. or</p> <p>iii. IAEA safeguards seals on equipment or plant are deliberately detached by non-IAEA staff, lost or showing signs of deliberate tampering, or evidence of tampering with IAEA equipment.</p> <p>ONR Notifiable - Immediate</p> <p>This category is for dutyholders to notify ONR of instances where IAEA safeguards arrangements are challenged. This will allow ONR to inform the IAEA safeguards team without delay.</p> <p>Dutyholders should use this category for:</p>	SERS (I)	GOV(I)	Exec(I)
		ONR(S)(I)	NDA(I) ONR (S) (I)	DPO(I) HoS(I) HoP(NMAS)(I) HoP(IS)(C)(I) TPCC(I)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>SG01a</b> <i>(Cont'd)</i></p> <ul style="list-style-type: none"> <li>- IAEA Safeguards' personnel conventional health and safety injuries, unexpected radiological exposure/dose and any other accidents that have a negative impact on the individual's health and safety.</li> <li>- IAEA Safeguards' personnel have not complied with the dutyholders' health and safety provisions and policies.</li> <li>- Any circumstance where IAEA Safeguards' personnel are not given access to a location in contravention of Article 74 of INFCIRC/951 or any other international agreements.</li> <li>- Any evidence of deliberate interference with IAEA safeguards equipment.</li> </ul> <p>Such as:</p> <ul style="list-style-type: none"> <li>• An IAEA safeguards representative is injured during an inspection at the Operator facility.</li> <li>• An IAEA safeguards representative receives an unexpected high radiation dose from radioactive material. <b>Note:</b> this may also align with some RS category criteria.</li> <li>• An IAEA safeguards representative breaches site safety-related requirements.</li> <li>• An IAEA safeguards representative is not granted security permission to inspect a location.</li> <li>• An IAEA safeguards representative is denied access to a site.</li> <li>• Dutyholders discover that IAEA safeguards seals have been removed without IAEA agreement.</li> </ul> <p><b>Origin of Category:</b> INFCIRC/951 - UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Article 43, 73 &amp; 74). Ministerial Reporting Criteria – Safeguards (MRC-SG) (a), (b), &amp; (e). For details of MRC-SG See Appendix N.</p>				
<p><b>SG01b</b></p> <p><b>A safeguards incident that meets any of the following criteria:</b></p> <ol style="list-style-type: none"> <li><b>i. A discrepancy involving 1 significant quantity or more of qualifying nuclear material resulting from material unaccounted for (MUF), or shipper-receiver differences (SRD).</b></li> <li><b>ii. Failure to locate a discrete 'item' containing qualifying nuclear material as it is reported in the operator's nuclear material accountancy system.</b></li> </ol> <p>ONR Notifiable - Immediate</p> <p>This category is for dutyholders to notify ONR of instances of incidents that are a significant challenge to the UK's International safeguards obligations. This will allow ONR to inform the IAEA safeguards team and UK government without delay.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>• A Shipper Receiver Difference (SRD) or an Inventory Difference (ID) that exceeds one significant quantity;</li> </ul>	<p><b>SERS (I)</b> ONR(S)(I)</p>	<p>GOV(I) NDA(I)  ONR(S)(I)</p>	<p>Exec(I) DPO(I) HoS(I) HoP(NMAS)(I) HoP(IS)(C)(I) TPCC(I)</p>	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>SG01b</b> (Cont'd)</p> <ul style="list-style-type: none"> <li>An operator cannot locate an item when performing a physical inventory take (PIT) which is declared within the nuclear material accounts.</li> </ul> <p><b>Note:</b> This reporting category aligns with but does not replace the need for a special report under Article 66(a) of the VOA and in compliance with Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 17).</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 17), INFCIRC/951 - UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Article 66(a)),</p> <p>Ministerial Reporting Criteria – Safeguards (MRC-SG) (c) &amp; (d). For details of MRC-SG See Appendix N.</p>				
<p><b>SG02</b></p> <p><b><i>It is suspected that there has been, or might be, unexpected loss or gain of nuclear material</i></b></p> <p><b>ONR Notifiable – Day</b></p> <p>This category is to ensure that ONR Safeguards, and the IAEA safeguards inspectorate are informed without delay of unexpected changes in the inventory of nuclear material subject to safeguards. Dutyholders should assess whether an incident in this category meets the threshold for SG01b.</p> <p><b>Note:</b> Events matching this category may also match categories RS13 or RS14.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Failure to locate a discrete 'item' containing nuclear material as it is reported in the Operator's nuclear material accountancy system;</li> <li>Shipper Receiver Difference or Inventory Difference figures that do not meet Operator justified levels of acceptability;</li> <li>For 'Finds' of qualifying nuclear material, including fuel fragments found during Fuel Element Debris (FED) retrieval process, that are considered to be unexpected. Sites to promptly contact HoP(NMAS) for advice in accordance with the Standard Procedure S-164 'Nuclear Materials Management' when such 'finds' occur.</li> </ul> <p><b>Note:</b> Where a 'find' of qualifying material has already been reported to ONR Safeguards via ONR's WIReD portal or INF1 by the site then there maybe an agreement in place which does not require a further notification via WIReD or INF1 to report subsequent 'finds'. However, a Special Report will still be required for each 'find'. In such instances the site will include a summary comment in their 'Initial Actions' section of the SPEED event report to record that it has been agreed with HoP(NMAS) that a WIReD/INF1 notification is not required for the event.</p> <p><b>Note:</b> This reporting category aligns with but does not replace the need for a special report under Article 66(a) of the VOA and in compliance with Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 17). Sites to</p>	<p><b>SPEED(D)</b></p>	<p>ONR (D) NDA(D)</p>	<p>Exec(D) DPO(D) HoS(D) HoP(NMAS)(D) HoP(RS)(C) TPCC(D)</p>	
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
	<p>promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via WIREd/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 17), INFCIRC/951 UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Article 66(a))</p>			
SG03	<p><b>Information that qualifying nuclear material shipped by or to the Operator has been or may have been lost or considerably delayed during transfer.</b> (Also see RS13 and TS02)</p> <p><b>ONR Notifiable – Day</b></p> <p>This category is to ensure that ONR Safeguards, and the IAEA safeguards inspectorate are informed without delay of loss or unexpected delay in the shipment of qualifying nuclear material to or from the facility. Dutyholders should assess whether an incident in this category meets the threshold for SG01b.</p> <p><b>Note:</b> Events matching this category may also match categories RS13 and the Transport category TS02.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>• Checks on receipt of a shipment show damage to material containers or their sealing and/or otherwise do not confirm shipper's data (e.g. item count, weight etc.);</li> <li>• Qualifying nuclear material which has been subject to pre-shipment safeguards verification are delayed in transit.</li> </ul> <p><b>Note:</b> This reporting category aligns with but does not replace the need for a special report under Article 89(c) of the VOA and in compliance with Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 23). Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR's WIREd portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 23), INFCIRC/951 UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Article 89)</p>	SPEED(D)	ONR (D) NDA(D)	Exec(D) DPO(D) HoS(D) HoP(NMAS)(D) HoP(RS) (D)(C) TPCC(D)
		FR	ER	
SG04	<p><b>Unexpected change in plant/material containment to the extent that qualifying nuclear material could have been removed or transferred without being subject to agreed safeguards verification.</b></p> <p><b>ONR Notifiable – Day</b></p> <p>This category is to ensure that ONR Safeguards and the IAEA safeguards inspectorate are informed without delay of compromise to qualifying nuclear material containment which may affect its nuclear material accountancy, control and safeguards coverage and verification. Dutyholders should assess whether an incident in this category meets the threshold for SG01b.</p>	SERS(D)	ONR (D) NDA(D)	Exec(D) DPO(D) HoS(D) HoP(NMAS)(D) HoP(RS)(D) (C) TPCC(D)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>SG04</b> (Cont'd)	<p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Leakage of qualifying nuclear material;</li> <li>Breakage of IAEA seals without prior agreement;</li> <li>Evidence of tampering with IAEA seals or equipment</li> <li>Known failures relating to key IAEA safeguards equipment (e.g. obstruction of surveillance cameras, power cuts leading to loss of surveillance or data capture, failure of lighting associated with surveillance).</li> </ul> <p><b>Note:</b> This reporting category aligns with but does not replace the need for a special report under Article 66 of the VOA and in compliance with Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 17). Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR's WIReD portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulation 17), INFCIRC/951 UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Article 66)</p>			
<b>SG05</b>	<p><b>Other changes from those specified in Basic Technical Characteristics (BTC) declarations or in an Accountancy and Control Plan (ACP) without notification to ONR Safeguards within timescales set out in Nuclear Safeguards (EU Exit) Regulations 2019 and that are assessed as sufficiently significant to risk compromising compliance with safeguards obligations.</b></p> <p><b>ONR Notifiable - Week</b></p> <p>The ONR should be notified of changes, in accordance with timescales set out in the Nuclear Safeguards (EU Exit) Regulations 2019, to the facility design or processes that may affect safeguards verification arrangements or qualifying nuclear material accountancy and control arrangements.</p> <p>This reporting category is to ensure that ONR Safeguards, and the IAEA safeguards inspectorate are notified of situations where the required information has not been provided and where failure is assessed as sufficiently significant to risk compromising compliance with safeguards obligations.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Unreported plant modifications which include new processes for handling qualifying nuclear material within a facility, or new routes for shipping material to or from the facility.</li> <li>A departure from the agreed recording and reporting system for qualifying nuclear material e.g. installation of a new nuclear material accountancy system which is not reflected in the BTC and/or ACP.</li> <li>Failure of a nuclear material accountancy system</li> </ul> <p><b>Note:</b> Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR's WIReD portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p>	<b>SPEED(3)</b>	ONR (W) NDA(W)	Exec(W) HoS(W) HoP(NMAS)(W) TPCC(W)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
SG05 (Cont'd)	<p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulations 3, 8), UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Article 44)</p>			
SG06	<p><b>Statutory nuclear material accountancy reports not being issued or at risk of not being issued to timescales required under the Nuclear Safeguards (EU Exit) Regulations 2019</b></p> <p><b>ONR Notifiable – Day</b></p> <p>To ensure that ONR Safeguards and the IAEA safeguards inspectorate (via ONR) are given explicit information about delays or prospective delays in the provision of statutory safeguards reports.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Failure to provide inventory change reports (ICRs), physical inventory listings (PILs) and material balance reports (MBRs) to timescales required by Nuclear Safeguards (EU Exit) Regulations 2019.</li> <li>Failure to generate or supply special reports to the ONR as required by Nuclear Safeguards (EU Exit) Regulations 2019.</li> <li>Failure to provide advanced notification of imports/exports to timescales required by Nuclear Safeguards (EU Exit) Regulations 2019.</li> <li>The earliest possible moment when an operator expects that ICRs, PILs and/or MBRs will not be provided to timescales required by Nuclear Safeguards (EU Exit) Regulations 2019.</li> </ul> <p><b>Note:</b> Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR’s WIRed portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 ‘Nuclear Materials Management’ when such events/incidents occur.</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulations 13-16, 21, 22)</p>	<p><b>SPEED(D)</b> ONR CNSS (Rep)</p>	<p>ONR (D) NDA(D)</p>	<p>Exec(D) HoS(D) HoP(NMAS)(D) HoP(RS)(D) (C) TPCC(D)</p>
		FR	ER	
SG07	<p><b>Failure to provide or shortcomings in the required inspection documentation, access for material verification or other problems of safeguards inspection implementation that are assessed as sufficiently significant to risk compromising compliance with safeguards obligations.</b></p> <p><b>ONR Notifiable – Day</b></p> <p>This category is to ensure that ONR Safeguards is alerted, without delay, to issues arising during safeguards inspections or otherwise that are assessed as sufficiently significant to risk compromising compliance with safeguards obligations and may therefore be the subject of follow-up and possible escalation, including direct to ONR Safeguards and/or the UK Government, by the IAEA safeguards inspectorate.</p>	<p><b>SPEED(D)</b></p>	<p>ONR (D) NDA(D)</p>	<p>Exec(D) HoS(D) HoP(NMAS)(D) TPCC(D)</p>
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>SG07</b> <i>(cont'd)</i></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>• Significant errors in the List of Inventory Items (LII) issued to the ONR and/or IAEA safeguards inspectors as a result of the annual Physical Inventory Take (PIT) and in support of annual Physical Inventory Verification (PIV) (e.g. items included on the LII that cannot be located during the PIV, items located during the PIV which are not included in the LII and/or verification that does not confirm item identity or contents as declared in the LII);</li> <li>• Failure to locate or otherwise make qualifying nuclear material available for verification, or delays in making qualifying nuclear material available that affect the scope of the inspection concerned;</li> <li>• Failures in the provision of other information (e.g. operating records or accounting records) to substantiate safeguards declarations;</li> <li>• IAEA inspection findings at odds with operator/facility safeguards declarations;</li> <li>• Other issues affecting the conduct of a safeguards inspection that are assessed as compromising compliance with safeguards obligations and may therefore be the subject of follow-up and possible escalation (e.g. denial of access for IAEA safeguards inspectors to the site / facility, escorts unavailable to support planned inspection activities, undue delays during safeguards inspection, etc.).</li> </ul> <p><b>Note:</b> Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR's WIReD portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p> <p><b>Origin of Category:</b> The Energy Act 2013 (Section 83 and Schedule 8), INFCIRC/951 UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Articles 68-87).</p>				
<p><b>SG08</b></p> <p><b><i>Changes affecting the annual Programme of Activities declared to ONR that are assessed as having significant implications for compliance with safeguards obligations.</i></b></p> <p><b>ONR Notifiable - Week</b></p> <p><b>Guidance:</b> Facility operators must provide ONR with an annual programme of activities and operations that are relevant to safeguards implementation (e.g. expected shipments and receipts of material, planned plant shutdown/outages). This category is to ensure that ONR Safeguards and IAEA safeguards inspectors (via ONR under UK/IAEA Voluntary Offer Safeguards Agreement Article 62(b)) receive timely information on changes to such annual programmes that have significant implications for safeguards implementation.</p>	<p>SPEED(3)</p>	<p>ONR (W) NDA(W)</p>	<p>Exec(W)  HoS(W) HoP(NMAS)(W) TPCC(W)</p>	
	<p>FR</p>	<p>ER</p>		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>SG08</b> (Cont'd)	<p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Changes to dates for annual Physical Inventory Taking (PIT) exercises within 40 days of the PIT;</li> <li>Changes to scheduled shipment/receipt of qualifying nuclear material within the time periods required for advanced notification of shipments/receipts;</li> <li>Other changes which may affect safeguards implementation/access (e.g. dates for site emergency exercises).</li> </ul> <p><b>Note:</b> Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR's WIReD portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019 (Regulations 4, 21 &amp; 22), INFCIRC/951 UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (Articles 62(b) and 89(b)).</p>			
<b>SG09</b>	<p><b>Other qualifying nuclear material and /or safeguards-related events not readily assigned above that are assessed as sufficiently significant to risk compromising compliance with safeguards obligations.</b></p> <p><b>ONR Notifiable – Week</b></p> <p>This category ensures ONR is provided with timely information on qualifying nuclear material accountancy issues and potential inspection/verification shortcomings that risk compromising compliance with safeguards obligations which are not readily categorised according to categories SG01-SG08.</p> <p><b>Such as:</b></p> <ul style="list-style-type: none"> <li>Unauthorised movement of qualifying nuclear material. This includes qualifying material shipped without authorisation of the receiver and/or other significant deficiencies in accountancy documentation, qualifying nuclear material shipped without an accountancy plan, movement not complying with its accountancy plan or working instructions;</li> <li>Other shortcomings in the documentation to substantiate qualifying nuclear material accountancy declarations;</li> <li>Failure or poor performance of systems for the measurement and/or analysis of nuclear material (e.g. information indicating a bias in system output);</li> <li>An indication that the security of safeguards information may have been compromised, whether by site operator and/or the inspectorates;</li> <li>Where a Facility Attachment is in place in support of IAEA safeguards application, any possible breach of Facility Attachment requirements not covered above.</li> </ul>	<b>SPEED(3)</b>	ONR (W) NDA(W)	Exec(W) HoS(W) HoP(NMAS)(W) TPCC(W)
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>SG09</b> <i>(Cont'd)</i>	<p><b>Note:</b> Sites to promptly contact HoP(NMAS) for advice and a decision regarding reporting to ONR Safeguards via ONR's WIREd portal/INF1 and/or Special Report in accordance with Standard Procedure S-164 'Nuclear Materials Management' when such events/incidents occur.</p> <p><b>Origin of Category:</b> Nuclear Safeguards (EU Exit) Regulations 2019, UK/IAEA Voluntary Offer Safeguards Agreement and its Additional Protocol or the UK's Nuclear Cooperation Agreements.</p>			
<b>LEVEL 3 EVENTS</b>				
<b>SG32</b>	<p><b>A safeguards event or near-miss event with potentially significant consequences.</b> Such as:</p> <ul style="list-style-type: none"> <li>During remote intermediate level waste processing the control room operator observed an item resembling a Magnox fuel element casing. Processing ceased, item remotely surveyed then segregated, expert advice obtained and recovery plan implemented. Item subsequently confirmed as not a fuel element casing. Nuclear Materials Accountancy register updated with details.</li> </ul> <p><b>Origin of Category:</b> This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	<p><b>SPEED(3)</b></p>		<p>Exec(D) HoS(D) HoP(NMAS)(D)</p>
		FR(C)	ER	
<b>LEVEL 4 EVENTS</b>				
<b>SG50</b>	<p><b>A safeguards event or near-miss with potentially moderate consequences.</b> Such as:</p> <ul style="list-style-type: none"> <li>During annual Physical Inventory Taking (PIT), two radioactive sources were identified. Neither had been recorded in the site's nuclear materials accountancy register. They were being controlled under the site's approved source management process but not the nuclear material accountancy process.</li> <li>During a review of a radioactive source store inventory, gas mantles containing Thorium (a qualifying nuclear material) were identified. Further checks confirmed they had not been recorded in the site's nuclear materials accountancy register.</li> </ul> <p><b>Origin of Category:</b> This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	<p><b>SPEED(3)</b></p>		<p>HoS(D) HoP(NMAS)(D)</p>
		FR(C)	ER	
<b>LEVEL 5 EVENTS</b>				
<b>SG99</b>	<p><b>A minor safeguards event or near-miss which merits recording but does not fit any of the above categories but which is useful for trending purposes and/or action.</b></p> <p><b>Origin of Category:</b> This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	At site discretion		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>GOOD PRACTICE</b>				
<b>SGGP</b>	<p><i>An identified good practice that merits sharing across the organisation</i></p> <p><a href="#">Origin of Category</a>: This is an NRS reporting requirement designed to aid learning &amp; improvement.</p>	<p><b>COOL(C)</b> HoP(Rel)(W)</p>		

**Table A9 – Transport Events (TS)**

**GENERIC NOTES:**

A SPEED (automated email) notification to the HoP(RMT) email address is also automatically sent to the DGSA email address.

Check Table A7: category SC18 may apply for some transport events related to Cat I - III nuclear material in transit or temporary storage, and the security of such material.

EHSS&Q Duty Officer: detailed instruction on the process for NDA(I) notifications is provided in Appendix J.

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 1 EVENTS</b>				
TS01	<p><b>Radioactive Materials Transport (RMT) emergency</b>  <i>A radiation emergency: a situation arising during the course of the carriage of a consignment of class 7 (radioactive) goods that requires urgent action in order to protect workers, members of the public or the population (either partially or as a whole) from exposure.</i></p> <p><i>or</i></p> <p><i>Any occurrence during the carriage of nuclear matter, causing or likely to cause death, or serious injury to persons by reason of the radioactive properties of such nuclear matter.</i></p> <p>ONR Notifiable - Immediate.</p> <p><b>NOTE:</b> * The SERS message is sent as soon as possible by the Individual in Charge, as per S-463, after receiving an incident call.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Initiation of the Radioactive Materials Transport (RMT) Emergency Plan in response to a radiation emergency for an NRS owned consignment where countermeasures to protect the public are initiated or advice has resulted in an extension beyond the standard (L1) response. Note: S-463 is the RMT Emergency Plan.</li> </ul> <p>Reporting Responsibility:                      CDG 2009 - The carrier (or consignor on their behalf) is responsible for making a notification using this category.                      NI(DO)R – The site licensee is responsible for making a notification using this category (defined by NIA 65 22(1)(b)).  <b>Note:</b> Seek advice from HoP(RMT) or DGSA about whether Form ADR 1.8.5.4 is also required.</p>	SERS *	GOV(I) See MRCT1  ONR(I) NDA(I) EA/SEPA/ NRW(I)	Exec(I)  DPO(I) CS(I) HoP(RS)(I) HoP(RMT)(I)  DGSA(I) TPCC(D)
		MSR	INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>TS01</b> <i>(Cont'd)</i></p> <p><b>Origin of Category:</b> Regulation 24 and Schedule 2, Part 5 of the CDG Regulations 2009 (as amended by the Carriage of Dangerous Goods Amendment Regulations 2019 (CDG19). Nuclear Installations (Dangerous Occurrences) Regs 1965 (NI(DO)R), Regulation 2b(i). Ministerial Reporting Criteria for Transport events - MRCT1. See Appendix K.</p>				
<p><b>TS02</b></p> <p><b><i>Theft or loss of class 7 (radioactive) goods in carriage.</i></b>  <b>ONR Notifiable - Immediate.</b>  <b>Such as:</b></p> <ul style="list-style-type: none"> <li>• Vehicle containing radioactive package is stolen even if the package was not the target of the theft – should be reported even if vehicle/package is recovered.</li> <li>• Customer does not receive package and neither consignor nor carrier is able to locate it within a short period of time (hours not days).</li> <li>• Attempted theft of vehicle or package: Vehicle doors damaged but not accessed; Vehicle alarm activated and disturbed the attempt; driver threatened or intimidated during transport.</li> </ul> <p><b>Note:</b> For such events, also consider including security event category SC10e in Table A7</p> <p>Reporting Responsibility: CDG 2009 - The carrier (or consignor on their behalf) is responsible for making a notification using this category.</p> <p><b>Guidance:</b> Seek advice from HoP(RMT) or DGSA on whether Form ADR 1.8.5.4 is also required.</p> <p><b>Origin of Category:</b> Regulation 24 and Schedule 2, Part 2 of the CDG Regulations 2009 (as amended by the Carriage of Dangerous Goods Amendment Regulations 2019 (CDG19).                      Ministerial Reporting Criteria for Transport events - MRCT2. See Appendix K</p>	<p><b>SERS (I)</b></p> <p>GOV(I) - See MRCT2</p> <p>ONR(I)                      NDA(I)                      EA/SEPA/                      NRW(C) (I)</p> <p>Exec (I)</p> <p>DPO(I)                      CS (D)                      HoP(RS)(I)                      HoP(RMT)(I)                      HoS(I)</p> <p>TPCC(D)                      DGSA(D)</p>	<p>MSR</p> <p>FR</p>	<p>INES</p> <p>ER</p>	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
TS03	<p><b>Emergency arrangements have been initiated in relation to the transport of class 7 (radioactive) goods even if, in the event, no intervention was made pursuant to the arrangements.</b></p> <p>ONR Notifiable - Immediate.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>A driver/carrier reports an incident to consignor who initiates the emergency plan – driver/carrier then contacts the consignor to report that the incident is not as significant as first thought.</li> <li>An emergency plan is enacted and followed but the final incident outcome does not meet the criteria for a radiation emergency.</li> </ul> <p>Reporting Responsibility: CDG 2009 - The carrier (or consignor on their behalf) is responsible for making a notification using this category.</p> <p>Origin of Category: Regulation 24 and Schedule 2, Part 1, Para 6(4) of the CDG Regulations 2009 (as amended by the Carriage of Dangerous Goods Amendment Regulations 2019 (CDG19).</p> <p>Ministerial Reporting Criteria for Transport events – MRCT1. See Appendix K</p>	SERS (I)	GOV(I) – See MRCT1	Exec(I)
		MSR (C) FR (C)	ONR(I) NDA(I) EA/SEAP/ NRW (I)	DPO(I) HoP(RS)(D) HoP(RMT)(I) TPCC(D) DGSA(D)
			INES (C)	
			ER	
TS04	<p><b>An occurrence during loading, carriage or unloading of class 7 (radioactive) goods involving:</b></p> <ul style="list-style-type: none"> <li>Any release of radioactive material from the packages, or from the conveyance if being transported unpackaged, or</li> <li>Exposure leading to a breach of the limits set out in the regulations for protection of workers and members of the public against ionising radiation (Schedule II of IAEA Safety Series No. 115 – “International Basic Safety Standards for Protection Against Ionising Radiation and for Safety of Radiation Sources”).</li> </ul> <p>ONR Notifiable - Immediate.</p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p>	SERS (I)	GOV(I) – See MRCT3	Exec(I)
			ONR(I) NDA(I) EA/SEPA/ NRW (I)	DPO(I) HoP(RS)(I) HoP(RMT)(I)  TPCC(D) DGSA(D)
		MSR FR	INES ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>TS04</b> <i>(Cont'd)</i></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>A package is damaged resulting in the release of some or all of its radioactive contents.</li> <li>A vehicle carrying low level waste drums is involved in an accident resulting in the lids of some of the drums coming off and material being released.</li> </ul> <p>ADR 1.8.5.1 requires that occurrences meeting this category be reported using the model specified in ADR 1.8.5.4. If it is necessary to notify ONR under this category, then the initial notification should be supplemented with a form corresponding to the model in ADR 1.8.5.4. and this should be noted on the ONR WIReD platform notification. It shall also be noted therein whether the United Nations Economic Commission for Europe has been informed as required by ADR 1.8.5.2</p> <p>Where a radiation emergency is possible the notification should be under TS01 or TS03, as appropriate.</p> <p>Reporting Responsibility:                      CDG 2009 - The carrier (or consignor on their behalf) is responsible for making a notification using this category.                      NI(DO)R – The site licensee is responsible for making a notification using this category (defined by NIA 65 22(1)(b)).</p> <p><b>Origin of Category:</b> ADR 1.8.5, as required by CDG 2009 (as amended by the Carriage of Dangerous Goods Amendment Regulations 2019 (CDG19).</p> <p>Ministerial Reporting Criteria for Transport events – MRCT3. See Appendix K</p>				
<p><b>TS05</b></p> <p><b><i>An occurrence during loading, carriage or unloading of class 7 goods where there is reason to believe that there has been a significant degradation in any package safety function (containment, shielding, thermal protection or criticality) that may have rendered the package unsuitable for continued carriage without additional safety measures.</i></b></p> <p><b>ONR Notifiable - Immediate.</b></p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p>This category is detailed in (c) of the loss of product criteria for Class 7 material in ADR 1.8.5.3. Although this category has the same origin as TS04 it is being treated separately as it covers loss of defence in depth and requires an element of judgement in its use which distinguishes it from other categories.</p> <p>Degradation of safety features could involve damaged/missing/incorrect components, inadequate fastenings or missing/incorrect labelling/documentation and shall apply to a package which has been incorrectly prepared for transport as well as packages whose safety functions have become degraded during transport.</p>	<p><b>SERS (I)</b></p> <p>GOV(I) – See MRCT4                      ONR(I)                      NDA(I)                      EA/SEPA/                      NRW(C) (I)</p>	<p>Exec(I)                      DPO(I)                      HoP(RS)(I)                      HoP(RMT)(I)                      TPCC(D)                      DGSA(D)</p>		
	<p>MSR(C)</p>	<p>INES</p>		
	<p>FR</p>	<p>ER</p>		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>TS05</b> <i>(cont'd)</i></p> <p>“Significant” degradation of safety features should be interpreted to mean that the package no longer meets the requirements of the regulations. There may not be sufficient time to adequately assess the safety significance of a package irregularity (especially regarding potential performance in an accident) so consignors/carriers are advised to err on the side of caution to ensure compliance with the reporting requirements of CDG.</p> <p>A significant degradation with regard to labelling/documentation would be where the information provided by that label/document is incorrect or unclear to the extent it becomes ineffective. Spelling errors, provided the meaning of the label/document remains clear, should not be included.</p> <p>ADR 1.8.5.1 requires that occurrences meeting this category be reported using the model specified in ADR 1.8.5.4. If it is necessary to notify ONR under this category then the initial notification should be supplemented with a form corresponding to the model in ADR 1.8.5.4. and this should be noted on the ONR WIReD platform. It shall also be noted therein whether the United Nations Economic Commission for Europe has been informed as required by ADR 1.8.5.2. <b>Note:</b> Seek advice from the HoP(RMT) or the RMT Approvals Manager (RMTAM) about this.</p> <p>TS05 includes material packaged in an incorrect package type for the nature or quantity or radioactive material being transported or material transported unpackaged when an appropriate package should have been used.</p> <p>Dutyholders should use this category to notify incidents that meet part ii of Nuclear Installations (Dangerous Occurrences) Regulations 1965, Regulation 2b.</p> <p>Where a radiation emergency is possible the notification should be under TS01 or TS03 as appropriate.</p> <p>Reporting Responsibility:                      CDG 2009 - The dutyholder (loader, filler, carrier or consignee) responsible for the package at the time the incident occurred is responsible for making a notification under this category.                      NI(DO)R – The site licensee is responsible for making a notification using this category.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>• Non special form radioactive material in quantities exceeding an A<sub>2</sub> transported in a Type A package (rather than a competent authority approved “Type B” package).</li> <li>• Low Specific Activity LSA-II material transported in an IP-1 package</li> <li>• Cobalt-60 source package transported with missing shield-plug</li> <li>• Enriched uranium transported with incorrect Criticality Safety Index label</li> <li>• Package severely damaged in an accident – including an accident not covered by TS01 or TS03.</li> <li>• Package containing fissile material transported with higher fissile content than allowed in certificate</li> </ul>				

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>TS05</b> <i>(cont'd)</i>	<ul style="list-style-type: none"> <li>Shipment of packages whose design requires Competent Authority approval but where the required certification is not available or has become invalid</li> </ul> <p><b>Origin of Category:</b> ADR 1.8.5, as required by CDG 2009 (as amended by the Carriage of Dangerous Goods Amendment Regulations 2019 (CDG19).</p> <p>Nuclear Installations (Dangerous Occurrences) Regulations 1965, Regulation 2b.</p> <p>Ministerial Reporting Criteria for Transport events – MRCT4. See Appendix K</p>			
<b>TS25*</b> <b>AN01</b> <i>*TS25 is not an ONR category therefore AN01 is used to inform ONR</i>	<p><b>Serious accident or incident during the loading, filling, carriage or unloading of dangerous goods, not class 7 (radioactive).</b></p> <p><b>ONR Notifiable - Immediate.</b></p> <p><b>Note:</b> See Appendices G and H for guidance on reporting requirements to EA and other environmental agencies</p> <p><b>NOTE:</b> The term “<i>Serious accident or incident</i>” is defined in detail in sections 1.8.5.1 and 1.8.5.3 of ADR. This category should only be used after reference to that definition.</p> <p><b>NOTE:</b> In accordance with S-142 Section 3.14, consult with the DGSA about categorisation and notification of events involving non-Class 7 dangerous goods. Sites and EHSSQ Duty Officer: See Appendix G.</p> <p>ADR 1.8.5.1 requires that occurrences meeting this category be reported using the model specified in ADR 1.8.5.4.</p> <p><b>Origin of Category:</b> ADR 1.8.5.1 and 1.8.5.3</p>	<b>SERS (I)</b>	GOV(I) ONR(I) DfT(I) NDA (I) EA/SEPA/ NRW(C) (I)	Exec(I) DPO(I) CS(D) HoP(RMT)(I) HoS(I) HoP (RS)(D) HoP(EW)(D) TPCC(D) DGSA(D)
<b>LEVEL 2 EVENTS</b>				
<b>TS06</b>	<p><b>An occurrence where class 7 (radioactive) goods have been transported with any non-compliance regarding radiation or contamination levels (see notes).</b></p> <p><b>ONR Notifiable – Day</b></p> <p>This category is envisaged to cover relatively minor breaches of the limits. The presence of potentially hazardous high dose-rates are more appropriately covered by other categories which require immediate notification. If a radiation emergency is developing or emergency arrangements have been activated then category TS01 or TS03 will apply. If the high dose-rates are due to missing or damaged shielding components then TS05 might apply.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Non fixed contamination levels exceed 4 Bq/cm<sup>2</sup> (β/γ) or 0.4 Bq/cm<sup>2</sup> (α)</li> <li>The surface dose-rate on an excepted package exceeds 5 μSv/h</li> <li>The surface dose-rate on a package <u>not</u> being shipped under exclusive use exceeds 2 mSv/h</li> <li>The surface dose-rate on a package being shipped under exclusive use exceeds 10 mSv/h</li> </ul>	<b>SPEED (D)</b>	GOV(D) - See MRCT5 ONR(D)	Exec(D) DPO(I) HoP(RMT)(D) HoP(RS)(D) TPCC(D) DGSA(D)
			INES	
		FR	ER	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>TS06 (cont'd)</b></p> <ul style="list-style-type: none"> <li>The dose-rate from fixed contamination exceeds the limits specified in ADR 7.5.11 CV33 (5.4)</li> <li>The Transport Index of a package, total Transport Index on a conveyance, radiation dose-rate around a conveyance or segregation of packages from persons exceeds appropriate limits specified in ADR 7.5.11 CV33.</li> <li>Low Specific Activity (LSA) materials or Surface Contaminated Objects (SCO) are transported with contamination or dose-rates exceeding the limits in ADR 4.1.9.2.1 and ADR 4.1.9.2.3.</li> <li>An excepted package is received by a consignee, where routine monitoring reveals that it had been transported with a surface dose-rate of 8 µSv/h or above.</li> </ul> <p>ADR 1.7.6.1 requires notification “as soon as practicable” which for the purposes of this category is interpreted to mean within a day.</p> <p>Operational experience indicates that most notifications under this category will concern the first of the above bullet points. In particular this will be where an irradiated nuclear fuel flask has been measured on arrival to have area(s) of non-fixed contamination exceeding 4 Bq/cm<sup>2</sup> (or 0.4 Bq/cm<sup>2</sup> if α). Flask handling operations mean that these items can be transported with measurable surface contamination, so its presence is not necessarily indicative of a fault. Therefore, for this special case and where the limit has been exceeded by a factor of less than 10, a reporting period of one week would be acceptable.</p> <p>Reporting Responsibility: All dutyholders should report the causes of the non-compliance and on corrective or preventative actions taken or to be taken as appropriate to their involvement in the incident/response.</p> <p><b>Origin of Category:</b> ADR 1.7.6; RID 1.7.6; IMDG Code 1.5.6; ICAO Technical Instructions 1;6.6(d) Ministerial Reporting Criteria for Transport events – MRCT5. See Appendix K</p>				
<p><b>TS07</b></p> <p><b>Where class 7 (radioactive) goods have not been transported in full compliance with any appropriate specification or regulation, except as otherwise covered by TS05 or TS06.</b></p> <p><b>ONR Notifiable - Week</b></p> <p>This category applies where a package was (or is being) transported not in full compliance with the requirements of the regulations or certificate of approval.</p> <p>This category is wide ranging and as such has three sub-categories depending on the compliance gap. Dutyholders should explain which sub-category is relevant in the INF1. The sub-categories are as follows (in no particular order):</p> <ol style="list-style-type: none"> <li>Package physical state related non-compliance not covered by TS05</li> <li>Package non-compliance with radiation or contamination levels not covered by TS06</li> <li>Carriage non-compliance in all other aspects</li> </ol>	<p><b>SPEED (3)</b></p>	<p>ONR(W) NDA (W)</p>	<p>Exec(D) HoP(RMT)(W) HoP(RS)(W) TPCC(W) DGSA(W)</p>	
		<p>INES</p>		
	<p>FR</p>	<p>ER</p>		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>TS07</b> <i>(cont'd)</i>	<p>This includes packages which do not conform to the appropriate drawings, operating / handling / maintenance instructions (this list is not exhaustive) or otherwise, such as, due to incorrect preparation or an event during transport); but, where the consignor/carrier does not consider that any degradation of package safety functions is sufficiently severe to be covered by other categories above.</p> <p><b>Such as:</b></p> <p>Under sub-category 1: Package physical state related non-compliance not covered by TS05</p> <ul style="list-style-type: none"> <li>- Receipt acceptance checks identified that the package was not fully secured to the conveyance/wagon.</li> <li>- Package Maintenance period exceeded but package safety function not degraded.</li> </ul> <p>Under sub-category 2: Package non-compliance with radiation or contamination levels not covered by TS06</p> <ul style="list-style-type: none"> <li>- Dose-rates higher than expected but not covered by TS06</li> <li>- Transport of filled package that was suspected to be empty – correctly packaged and secured in vehicle.</li> </ul> <p>Under sub-category 3 Carriage non-compliance in all other aspects:</p> <ul style="list-style-type: none"> <li>- Vehicle fails to display placards</li> <li>- Package carries only one label out of the two required</li> <li>- Inadequate tie-downs</li> <li>- Lack of transport paperwork</li> </ul> <p>Reporting Responsibility: The carrier and / or consignor, as appropriate, are responsible for making a notification under this category.</p> <p><b>Origin of Category:</b> ADR 1.7.3 – Management System</p>			
<b>TS08</b>	<p><b>A safety-significant abnormal occurrence during the loading, filling, carriage or unloading of class 7 (radioactive) goods, provided it did not lead to a transport in breach of relevant statutory provisions, package specification or handling instructions.</b></p> <p><b>ONR Notifiable - Month</b></p> <p>This category is to ensure that ONR is made aware of occurrences which, although not resulting in a non-compliant shipment, could provide indications of the potential for unsafe situations to develop. Examples might be dropping a heavy component onto a package, or the persistent failure of pre-dispatch tests carried out on a package or series of packages. Significant quality related irregularities (e.g. the discovery of incorrect package components) should also be reported under this category.</p> <p>Discussions with the relevant ONR Inspector should be undertaken to confirm if an event follow up may be more appropriate via routine inspection activity. If this is agreed, there is no requirement for a notification (via WIRed/INF1).</p>	<p><b>SPEED (3)</b></p>	<p>ONR(W)</p>	<p>Exec(W) HoP(RMT)(W) HoP(RS)(W) HoP(EW)(C) TPCC(W) DGSA(W)</p>
			<p>INES</p>	
		<p>FR</p>	<p>ER</p>	

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<p><b>TS08</b> <i>(cont'd)</i></p> <p>CDG 2009 - The dutyholder (loader, filler, carrier or consignee) responsible for the package at the time the incident occurred is responsible for making a notification under this category.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Series of incidences where incorrect lid bolts were held in store for use in packages but not actually used.</li> <li>Empty packaging damaged during handling prior to/post loading or unloading.</li> <li>Filled transport package involved in incident whilst being moved around site/in storage whether or not damage occurs.</li> <li>Road traffic incident which does not involve the activation of an emergency plan under CDG Schedule 2, but does involve activation of a contingency plan – not otherwise covered by TS04 or TS05.</li> </ul> <p>Origin of Category: ADR 1.7.3 – Management System</p>				
<p><b>TS09</b></p> <p><b>The discovery of radioactive material in a shipment believed to be non-radioactive.</b> ONR Notifiable - Month</p> <p>This category is to cover events where radioactive material is discovered in shipments where none was suspected. Typically these detections take place at ports/airports or scrap yards. It is unlikely that the detected material was being transported in compliance with the transport regulations. Depending on the size of the source there may have been significant radiological implications, however, no blame can be attached to the people or organisations involved. If there is reason to suspect that the presence of radioactive material was known or reasonably foreseeable or movements subsequent to detection were not carried out in full compliance with the regulations then other categories will apply.</p> <p><b>Note:</b> TS07 specifically covers filled packages transported in the belief that they were empty. TS06 may also be applicable depending on the circumstances.</p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Monitor at a scrap yard detects a disused radioactive source in a load of scrap metal</li> <li>Border Force portal monitor detects Class 7 material in a load where no material is declared.</li> </ul> <p>Reporting Responsibilities: The dutyholder responsible for the package at the time the incident occurred/identified is responsible for making a notification under this category. The organisation that detects the material, if different, should notify the incident if they have detained the material or have handed the material back to the dutyholder after recording relevant details.</p> <p>Origin of Category: ADR 1.4.2.2.4</p>	<p><b>SPEED (3)</b></p>	<p>ONR(W)</p> <p>INES</p>	<p>Exec(W) HoP(RMT)(W) HoP(RS)(W) HoP(EW)(c) TPCC(W) DGSA(W)</p>	
	FR	ER		

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
<b>LEVEL 3 EVENTS</b>				
TS32	<p><b>A Dangerous Goods (including radioactive materials) transport event or near-miss with potentially significant consequences not covered by any of the categories above</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>An excepted package containing a new radioactive source was not delivered to the named AcHP/SMLO as required by the delivery instructions.</li> </ul> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Any actual transport event or accident on or off site.</li> <li>Accidents/damage during loading or unloading prior to/after transportation.</li> </ul> <p>Origin of Category: This is an NRS reporting requirement designed to aid learning and improvement.</p>	SPEED (3)		Exec(D)  HoP(RMT)(D) HoP(RS)(c)(D) HoP(EW)(c)(D) DGSA(W)
		FR(C)	ER	
			INES(C)	
<b>LEVEL 4 EVENTS</b>				
TS50	<p><b>A Dangerous Goods (including radioactive materials) transport event or near-miss with potentially moderate consequences.</b></p> <p>Such as:</p> <ul style="list-style-type: none"> <li>Non-radioactive dangerous goods consigned without a Transport Document.</li> <li>Quench standards arrived on-site as a UN2910 consignment but without authorisation being obtained from the SMLO prior to transport of the sources.</li> </ul> <p>Not Applicable:</p> <ul style="list-style-type: none"> <li>Spelling mistakes on Transport Documents.</li> </ul> <p>Origin of Category: This is an NRS reporting requirement designed to aid learning and improvement.</p>	SPEED (3)		HoP(RMT)(W) Ho(RS)(c)(W) HoP(EW)(c)(W) DGSA(W)
		FR(C)	ER	
			INES(C)	
<b>LEVEL 5 EVENTS</b>				
TS99	<p><b>A minor transport event or near miss involving dangerous goods which merits recording but does not fit any of the above categories and which is useful for trending purposes and/or action.</b></p> <p>Origin of Category: This is an NRS reporting requirement designed to aid learning and improvement.</p>	At site discretion HoP(RMT) ) & DGSA		
<b>GOOD PRACTICE</b>				

Category	Description	Notification/Reporting Requirements		
		Site	EHSS&Q Duty Officer	
			External	Internal
TSGP	<p><b><i>An identified good practice that merits sharing across the organisation</i></b></p> <p><a href="#">Origin of Category</a>: This is an NRS reporting requirement designed to aid learning and improvement.</p>	<p><b>COOL(C)</b> HoP(Rel) (W) HoP (RMT) &amp; DGSA</p>		

**Table A10 – Acronyms for Notification and Reporting Requirements**

Identifier	Requirement	Responsibility
Adj	Notify any adjacent Nuclear Site of the event.	Site Director
(C)	If an acronym in Tables A1 to A9 is suffixed with (C) then the notification or reporting requirement is not obligatory. Instead, its appropriateness is to be “considered” by the Site Director (for site reporting/notifications) or the EHSSQ Duty Officer (for Duty Officer notifications) based upon the significance of the circumstances of the event and category.	Site Director EHSSQ Duty Officer
CAA	Notify the Civil Aviation Authority of a civil aircraft infringement.	Site Director
CEng	Notify the Chief Engineer	EHSS&Q Duty Officer
COOL	Operational and Organisational Learning (COOL) System	Site Director/OEF
CNA	Notify the Chief Nursing Adviser.	EHSS&Q Duty Officer
CS	Report to Company Secretary in relation to events where an external investigation is likely, or where onward notification to insurers is required.	EHSS&Q Duty Officer
DfT	Report to the Department for Transport for transport events involving dangerous goods other than Class 7 (radioactive). The incident reporting form is available on the DfT website via this link below: <a href="#">Report an accident involving carriage of dangerous goods</a>	EHSS&Q Duty Officer
DGSA	Report to the Dangerous Goods Safety Adviser for further assessment. This is the Materials Transport, Accountancy and Control (MTAC) Group Tel: 01235 435213 and email address <a href="mailto:dgsa.services@magnoxsites.com">dgsa.services@magnoxsites.com</a>	EHSS&Q Duty Officer
DPO	Notify the Duty Press Officer.	EHSS&Q Duty Officer
DataPO	Notify the Data Protection Officer	EHSSQ Duty Officer
EA/SEPA/NRW	Report to Environment Agency (EA) and/or Natural Resources Wales (NRW) or Scottish Environment Protection Agency (SEPA) as required by legislation, after discussion with the EHSS&Q Duty Officer and if necessary the HoP(EW).	EHSS&Q Duty Officer/ Site Director
ER	Event Report. Notification to nominated personnel and external bodies (as required by the category. Internal reporting will be by means of the “Event Report”. External reporting will be in a format as dictated by the body, but derived from the ER via SPEED.	EHSS&Q Duty Officer
Exec	Inform an appropriate member of the Executive of the circumstances and actions to be taken.	EHSS&Q Duty Officer
FSA	Report to Food Standards Agency.	EHSS&Q Duty Officer
FR	Final Report. See Standard Procedure S-039.	Site Director

Identifier	Requirement	Responsibility
FUR	A Follow-Up Report (FuR) is necessary for categories requiring ONR notification. Note: If 'Final Report' is required, a FUR is usually produced too.	<b>Site Director</b>
GOV	Reports to Department for Energy Security and Net Zero (DESNZ), Scottish Government or Welsh Government as required by legislation or otherwise agreed with the appropriate Department.	<b>EHSS&amp;Q Duty Officer</b>
HoIT	Notify the Head of IT	<b>EHSS&amp;Q Duty Officer</b>
HoNO	Notify the Head of Nuclear Oversight. Currently, the Nuclear Operations Director is the notification recipient.	<b>EHSS&amp;Q Duty Officer</b>
HoSS	Notify the Head of Security & Safeguards, EHSS&Q.	<b>EHSS&amp;Q Duty Officer</b>
HoP(NMAS)	Notify the Head of Profession for Nuclear Material Accountancy and Safeguards.	<b>EHSS&amp;Q Duty Officer</b>
HoP(IS)	Notify the Head of Profession for Industrial Safety, EHSS&Q.	<b>EHSS&amp;Q Duty Officer</b>
HoP(Rel)	Notify the relevant Heads of Profession, EHSS&Q.	<b>EHSS&amp;Q Duty Officer</b>
HoP(RS)	Notify the Head of Profession for Radiological Safety, EHSS&Q.	<b>EHSS&amp;Q Duty Officer</b>
HoP(RMT)	Notify the Head of Profession for Radioactive Materials Transport	<b>EHSS&amp;Q Duty Officer</b>
HoP(EW)	Notify the Head of Profession for Environment & Waste, EHSS&Q.	<b>EHSS&amp;Q Duty Officer</b>
INES	Rate on the International Nuclear and Radiological Event Scale (INES).	<b>EHSS&amp;Q Duty Officer</b>
MoD	Notify the Ministry of Defence Low Flying Complaints and Enquiries Unit.	<b>Site Director</b>
MSR	Report to the Nuclear Safety Committee as a "Matter for Special Report".	<b>Site Director</b>
NAIR	National Arrangements for Incidents Involving Radioactivity. Those requiring assistance from the NAIR scheme should in the first instance contact the Communications Centre (CCC) of the Civil Nuclear Constabulary.	<b>Member of the Public</b>
NDA	Report to the Nuclear Decommissioning Authority.	<b>EHSS&amp;Q Duty Officer</b>
NE/NRW/ SNH	Report to Natural England, Natural Resources Wales, or Scottish Natural Heritage as required under the Wildlife and Countryside Act 1981.	<b>EHSS&amp;Q Duty Officer</b>

Identifier	Requirement	Responsibility
OH	Notify Occupational Health.	<b>EHSS&amp;Q Duty Officer</b>
ONR	Notify the Office for Nuclear Regulation	<b>EHSS&amp;Q Duty Officer</b>
ONR (Rep)	<p>Make a verbal report to ONR within 24 hours of the event becoming known to the site. Detail the nature of the event, date and time it occurred and apparent reason for it.</p> <p><b>Security Incidents</b> – during Business Hours (Monday to Friday 08.30 -17.00) call nominated Site Inspector; Out of Hours - call ONR CNSS Duty Officer on: 0330 313 5695</p>	<b>See Generic Notes for Table A7</b>
ONR	Make a written report to ONR within 48 hours of the event becoming known to the site. Use the ONR INF1 form and send it to ONR email address via Egress.	<b>See Generic Notes for Table A7</b>
ONR(T)	<p>Notify the Office for Nuclear Regulation ((T) = for their Transport team).</p> <p>(See Section 6 'Contact Details' of the ONR INF1.</p>	<b>EHSS&amp;Q Duty Officer</b>
SERS	Report to EHSS&Q and other Duty Personnel using the Site Event Reporting System (SERS) in accordance with Standard Procedure S-905. (SERS is an automated messaging system to alert nominated staff and locations.	<b>Site Director</b>
SPEED	Make a report using the SPEED database.	<b>Site Director</b>
TPCC	Notify the Third Party Certification Coordinator	<b>EHSS&amp;Q Duty Officer</b>
Q-Pulse	Use the 'Q-Pulse' event and near miss reporting system.	<b>Site Director</b>

## APPENDIX B – EVENT CATEGORISATION AND REPORTING

### 1. Notification of events using ONR WIReD Portal

#### 1.1. Background

ONR's WIReD ("Well Informed Regulator Decisionmaking") Dutyholder portal is the primary method for the submission of and access to incident information by dutyholders. It is well established and EHSSQ Duty Officers now use it.

Submission of an INF1 via the "ONR incidents" email account has been retained as a back-up for dutyholders without access to the portal or if the portal is not available. In such cases all manually completed INF1s will be emailed to [onr.incidents@onr.gov.uk](mailto:onr.incidents@onr.gov.uk). The ONR email address has been closed.

If for some reason, e.g. due to a technical issue, WIReD is not available, the instructions below in Section 2 and Section 3 can be used to generate INF1s manually and issue them by e-mail.

ONR controls access to WIReD. Access requests for staff are made by Carol Williams or Jillian Widgery (EHSSQ Governance & Future Missions dept.). E-mail Carol Williams to request access.

Additionally, NDA's security assurance team have requested that they receive by email a copy of the information reported in ONR's WIReD. Currently the format for the NDA report is the ONR INF1 template held in the appropriate folder of the 'Duty Officer' folder.

An Incident Notification Form 1 (INF1) should NOT be used to notify ONR of a relevant RIDDOR incident. If an incident meets the reporting criteria for RIDDOR 2013 and INF1, it should be reported via both routes. ONR's WIReD Dutyholder portal is the primary route for both. See Appendix P for RIDDOR report.

#### 1.2. Procedure

- 1.2.1. Use the following link: [Home · ONR Portal](#), it takes you to the 'Welcome to the Office for Nuclear Regulation dutyholder portal' of WIReD. The 'Sign In' button is available on that page.
- 1.2.2. Input your Username and Password then click on the 'Sign In' button.
- 1.2.3. To generate a new INF1 select 'Incidents' from the top menu bar then select 'New Incident'. A 'New Incident' page will be presented.

**Caution:** You may be presented with 'autofill' suggestions when your cursor is placed in or over an entry field. Do not use this function, it may/will auto populate other areas of the form with information related to that suggestion, which may be incorrect for the event you are reporting.

- 1.2.4. In the 'New Incident' page work your way through each part of the 'Overview' section selecting and providing the required information, use details available to you from Q-Pulse, SPEED and discussions with SQEP personnel. **Note:** WIReD may not allow the report to be entered before the event occurs (i.e. a known Security Guardforce manning shortfall for an upcoming shift).

Select 'Save and continue' to progress to the next page.

- 1.2.5. The next 'Overview' page provides the ability to 'Add another incident category'. If this is required for the event, click the button and provide the other category.
- 1.2.6. Check the details you've already provided; ensure they are accurate.
- 1.2.7. In the 'Report source' section, click the search icon/tab of the 'Reported by contact' box to open the 'Lookup records' window. After the next window opens, input your first name and surname then click the search tab to locate your email address.

- 1.2.8. Tick the small empty box on the left side, then click the 'Select' tab at the bottom of the window and you will return to the previous page to continue the process. **Note:** Clicking the 'Cancel' or 'Remove Value' tabs will close this window and return you to the previous page.
- 1.2.9. In the 'Dutyholder reference' section input the full, unique alphanumeric reference generated for the event by SPEED, e.g., OLD-001234. The 'Operator other' and/or 'Site other' boxes/fields will be used when the event report or event circumstances identify the need for it.
- 1.2.10. Complete the 'Incident happened' section by clicking the calendar icon on the right-hand side. Select the event's date from the calendar and click the small clock icon to select the event time. **Note:** Take care to ensure the time period you've selected is correct i.e. 'AM' or 'PM'. **Note:** WIRed may not allow the report to be entered before the event occurs (i.e. a known Security Guardforce manning shortfall for an upcoming shift).
- 1.2.11. In the 'Nature and consequence of incident' section provide relevant facts and other accurate information obtained from Q-Pulse, SPEED and/or your discussions with SQEP personnel.
- 1.2.12. Provide the 'Initial estimate of significance'; consider details in S-495 Appendix M & Table A7.
- 1.2.13. Continue working through each item in this section (e.g. Radioactivity released, Workers affected, Provisional INES Rating, Justification for Provisional INES rating, Has this incident been reported to, etc.) and provide the details available to you at the time.
- 1.2.14. Click the 'Save and Close' button. You will be returned to the main list of INF1s. Click the incident number on left side of page to re-open the report you've just prepared. Check the details you've provided before clicking the 'Submit Incident' button to issue the INF1 report to ONR. This will initiate an automated email message to your email address confirming that you've submitted the incident report.
- 1.2.15. In the Duty Officer comments section in SPEED, clearly add the INF1 Incident No. allocated by WIRed, e.g. 'Incident ID from WIRed: INF-1234'.
- 1.2.16. For security incidents that are required to be notified to NDA, the next step is to issue an INF1 of this event to them via email to their '[security.reporting@nda.gov.uk](mailto:security.reporting@nda.gov.uk)' address.  
**Note:** It is not necessary to issue an INF1 to NDA for non-security events. Continue to notify them of such events by selecting 'NDA' tick box in SPEED.
- 1.2.17. In the 'Incidents' page of WIRed, select/click on the relevant Incident ID for the INF1 you require to take a copy of; to issue it to NDA.
- 1.2.18. After the INF page opens use the right-click button of your mouse or hold down 'Ctrl + P' buttons of your keyboard to open the 'Print' page and options. Then, in the left side of that page, in 'Printer', select 'Microsoft Print to PDF', then mid-way down that page select 'More Settings' to open other options. Therein, ensure 'Paper size' is A4 and that the 'Margins' box is set to 'None' or 'Minimum'.
- 1.2.19. Click the 'Print' button. A window will open to allow you to name the file. Save it using a file title like "INF1 notification to NDA from NRS \*Site name\* - Ref \*SPEED event ref\*". Ensure that the file path is correct, such that the INF1 lands in the correct folder year within the 'Prepared INF1s for site notifications' folder. Click 'Save' to complete this action.
- 1.2.20. Attach the completed INF1 to an email and ensure the following recipients are included: '[security.reporting@nda.gov.uk](mailto:security.reporting@nda.gov.uk)', Head of Security (Eddie Marrett), Chief Information Security Officer (CISO) (Daren Green), Head of Profession (Physical Security) (Nick Probyn), and the site's Site Security Manager.

1.2.21. In the body of the email include the following statement:

“Find attached the INF1 notification to NDA from NRS for an event at \*insert Site Name\*. The event reference is: \*insert SPEED Ref.\*.”

I have notified ONR of this event using their WIReD portal. The ONR Incident No. from WIReD is \*insert INF-\*\*\*\* here\*.”

1.2.22. Check the selected recipients are correct and the correct INF1 is attached. Confirm that you’ve selected the correct security classification for the email, e.g., Official-Sensitive.

1.2.23. Send the email.

## **2. Notification of Non-security Events to ONR when WIReD portal not available**

### **2.1 Background**

ONR no longer accept, as formal notification, the PDF version of the INF1 form generated automatically by SPEED for notification of events to ONR. This means that any notification to ONR out with their WIReD portal requires manual completion of a ‘Word’ version INF1 by the Duty Officer in timescales compatible with S-495 and separate transmission to ONR. It is expected that this will now only be necessary when ONR’s WIReD portal is not available.

### **2.2 Scope**

This applies to non-security related events when S-495 directs the DO to notify ONR of the occurrence.

### **2.3 Procedure**

2.3.1 Progress the event report in SPEED as normal. DO NOT tick the ONR box in section C.4 but do tick the NDA box in section C.4.

2.3.2 Include a standard statement in section C6 – Duty Officer Comments that an INF1 has been forwarded to the ONR email address and the reason why, e.g., ONR WIReD portal is not available.

2.3.3 Manually complete an INF1 form using the information in the SPEED electronic event report and any relevant other details you may choose to include from the site’s Q-Pulse report of the event – see link for the INF1 below. Alternatively, A Google search for ‘Notify ONR’ will present the ONR webpage where a link to the ‘ONR Incident Notification Form (INF1)’ is available.

[Link](#)

2.3.4 Where possible seek a peer review of the completed INF1 to help identify any transcription errors. This may not be possible during non-working hours.

2.3.5 E-mail a copy of the completed INF1 form to this ONR address: [onr.incidents@onr.gov.uk](mailto:onr.incidents@onr.gov.uk), the reporting Site’s EHSSQ Manager, the reporting site’s OEF Engineer, and (for information only) the following email address: ‘magnox.onr.inf1@magnoxsites.com’.

2.3.6 The site OEF Engineer should attach the INF1 to the associated event’s Q-Pulse record, as is required by S-495.

## **3. Notification of Security Events to ONR and NDA when WIReD portal not available**

[onr.incidents@onr.gov.uk](mailto:onr.incidents@onr.gov.uk) is now the dedicated e-mailbox address to be used for INF1 notification of security related events when the ONR WIReD portal is not available/accessible. Information regarding such events may need to be transmitted over secure networks. Currently there is no

'secure' means of facilitating this through the SPEED system, so this instruction documents the arrangements to be followed to enable NRS to comply with regulatory expectations.

Duty Officers use 'Egress Switch' and must ensure that they apply the 'official-sensitive' security classification before e-mailing completed INF1 forms to the ONR e-mailbox, NDA e-mailbox, and the internal recipients identified below.

### 3.2 Scope

This procedure applies to events whereby S-495 directs the Duty Officer to notify ONR of the occurrence and the ONR WIReD portal is not available.

### 3.3 Procedure

- 3.3.1 Progress the event report in SPEED as normal ensuring that no 'sensitive' information is included in the report. **DO NOT** tick the ONR box in section C.4 and **DO NOT** tick the NDA box in section C.3.
- 3.3.2 Include a standard statement in section C6 – Duty Officer Comments that an INF1 has been issued to the ONR and NDA email address and the reason why, e.g., ONR WIReD portal is not available.
- 3.3.3 Manually complete an INF1 form using the information in the SPEED electronic event report and any relevant other details you may choose to include from the site's Q-Pulse report of the event.
- 3.3.4 E-mail a copy of the completed form to the ONR email address and NDA email address below, the Head of Security, the local Site Security Manager/Officer, the Information Security Officer (CISO) and (for information only) 'magnox.onr.inf1@magnoxsites.com'. Check the selected recipients are correct and the correct INF1 is attached. Confirm that you've selected the correct security classification for the email, e.g., Official-Sensitive.  
  
ONR e-mail address: [onr.incidents@onr.gov.uk](mailto:onr.incidents@onr.gov.uk)  
  
NDA e-mail address: [security.reporting@nda.gov.uk](mailto:security.reporting@nda.gov.uk)
- 3.3.5 Send the email.
- 3.3.6 If further detail is required, which is of a security sensitive nature, this can be provided by the Head of Security or the local Site Security Manager/Officer by the secure means.

## APPENDIX C – EVENT NOTIFICATION PROCESS DURING AN ‘OUTAGE’ OF SPEED

If the normal SPEED processes are not fully operational, such that the automated processing of notifications cannot be relied upon, the following arrangements will be implemented until SPEED functionality returns.

### 1. Scope

This applies to the processes defined in Standard Procedure S-495 whilst SPEED and its normal processing functionality are not reliable.

### 2. Instruction

2.1 For **Major Events**: the steps in section 3.3.2 will be applied.

2.1.1 The EHSSQ Duty Officer will contact the site and use Form F-580 Parts A and B to record known details of the major event.

2.1.2 EHSSQ Duty Officer to input required details to the ‘F-580 Tracker’ and allocate a unique temporary event number to the ‘Event Reference Number: Event Report’ cell of Part A of the F-580. They will then communicate this number back to the Site and request that it be used for correspondence about the event.

2.1.3 Using S-495, EHSSQ Duty Officer to identify required notification recipients in Part C of F-580. At this point, the Duty Officer may request a ‘Peer Check’ of those details by an EHSSQ Site Inspector.

2.1.4 EHSSQ Duty Officer will make use of the ‘Automated E-Mail List’ taken from SPEED for reference. It is located in the ‘Duty Officer’ folder and in the EHSSQ Duty Officer pack. They will use the list to identify e-mail addresses for those notification recipients as listed in F-580 and to complete the internal and external notifications. The Duty Officer will then use Part C of the F-580 to record the internal and external notifications made as defined in S-495 for such event categories.

2.1.5 After notifications are completed, the EHSSQ Duty Officer will e-mail the F-580 to the site’s OEF Engineer, EHSSQ Manager and Site Director. The Duty Officer will request the site to ensure that the F-580 is attached to the Q-Pulse event for their records.

2.1.6 At an appropriate time after the major event, when SPEED functionality is returned, the details will be input to SPEED and the event will be processed in accordance with S-495. A decision will be made between the EHSSQ Duty Officer and the Site about who inputs those details. See next Step.

2.1.7 It is important that the EHSSQ Duty Officer/EHSSQ Site Inspector processing such notifications does not tick boxes in Part C of SPEED. This is because the required notifications should already have been performed by the EHSSQ Duty Officer when processing the event manually using F-580. So, the EHSSQ Duty Officer should simply record a comment in Part C.6 about which notifications were made and include the unique temporary event reference from the ‘F-580 tracker’ table.

2.2 For **All Other Events**: the steps in section 3.3.3 of S-495 will be applied.

2.2.1 However, instead of entering event details into SPEED, the site (Initiator) will enter the event details into Part A and Part B of Form F-580; ensuring that the Q-Pulse reference for the event is included. Then, the site (Initiator) will e-mail the F-580 to the EHSSQ Duty Officer.

2.2.2 Upon receipt of the F-580, the EHSSQ Duty Officer will review the site’s information in Part A & B and, if necessary, contact the Site (Initiator) and/or the Contact for Further Information and update the F-580 with further details.

- 2.2.3 EHSSQ Duty Officer to input required details to the 'F-580 Tracker' and allocate a unique temporary event number to the 'Event Reference Number: Event Report' cell of Part A of the F-580. They will then communicate this number back to the Site and request that it be used for correspondence about the event.
- 2.2.4 Using S-495, EHSSQ Duty Officer to identify required notification recipients in Part C of F-580. At this point, the Duty Officer may request a 'Peer Check' of those details by an EHSSQ Site Inspector.
- 2.2.5 EHSSQ Duty Officer will make use of the 'Automated E-Mail List' taken from SPEED for reference. It is located in the 'Duty Officer' folder and in the EHSSQ Duty Officer pack. They will use the list to identify e-mail addresses for those notification recipients as listed in F-580 and to complete the internal and external notifications. The Duty Officer will then use Part C of the F-580 to record the internal and external notifications made as defined in S-495 for such event categories.
- 2.2.6 After notifications are completed, the EHSSQ Duty Officer will e-mail the F-580 to the site's OEF Engineer. The EHSSQ Duty Officer will request the site to ensure the F-580 is attached to Q-Pulse for their records.
- 2.2.7 At an appropriate time after the event, when SPEED functionality is returned, the details will be input to SPEED and the event will be processed in accordance with S-495. A decision will be made between the EHSSQ Duty Officer and the Site about who inputs those details. See next Step.
- 2.2.8 It is important that the Duty Officer/EHSSQ Site Inspector processing such events does not tick boxes in Part C of SPEED. This is because the required notifications should already have been performed by the Duty Officer when processing the event manually using F-580. So, the Duty Officer should simply record a comment in Part C.6 about which notifications were made and include the unique temporary event reference from the 'F-580 tracker' table.

## APPENDIX D – DEFINITIONS OF LOW FLYING AIRCRAFT AT NUCLEAR SITES

Restrictions on flying in the vicinity of nuclear installations are set down in a Statutory Instrument, and apply up to a given height in feet above mean sea level and within a radius of 2 nautical miles centred on the site's co-ordinate location (unless indicated otherwise).

In the case of an infringement, notify the time of observation, area concerned, direction of flight etc. to the CAA Aviation Regulation Enforcement Branch (in the case of military aircraft, the MoD Complaints Unit).

The following table lists the restrictions imposed by the Air Navigation (Restriction of Flying) (Nuclear Installations) Regulations 2016:

Site	Centre Co-Ordinates	Height in feet above mean sea level
Berkeley	514134N 0022936W	2000
Dungeness*	505449N 0005717E	2000
Hinkley Point**	511233N 0030749W	2000
Hunterston	554317N 0045338W	2000
Oldbury	513852N 0023415W	2000
Sizewell	521250N 0013707E	2000
Wylfa***	532548N 0042852W	2100

\* - Regulation 3 does not prohibit at the nuclear installation at Dungeness, flight by an aircraft which has taken off from or intends to land at London Ashford (Lydd) Airport flying in accordance with normal aviation practice which remains at least 1.5 nautical miles from the position specified in Column 3 of the Second Schedule.

\*\* - Regulation 3 does not prohibit at the nuclear installation at Hinkley Point, flight by a helicopter flying within the Bridgewater Bay Danger Area (Danger Area ref: EG D119) with the permission of the person in charge of that Area and in accordance with any conditions to which that permission is made subject which remains at least 1 nautical mile from the position specified in Column 3 of the Second Schedule.

\*\*\* - Regulation 3 does not prohibit at the nuclear installation at Wylfa, flight at a height of not less than 2000 feet above ground level whilst operating under and in accordance with a clearance from the air traffic control unit at RAF Valley.

**Note:** Low flying restrictions are gradually being withdrawn at individual sites as the hazard levels are reduced; for the current position, please consult the Site Security Manager.

CIVIL AVIATION AUTHORITY	MINISTRY OF DEFENCE
Aviation Regulation Enforcement Branch Room K504 CAA House 45 – 59 Kingsway London WC28 6TE 0207 453 6193	Ministry of Defence Low Flying complaints and Enquiries Unit, Building 22 RAF Wittering Peterborough PE8 6HB 01780 417558 CAS-lowflying@mod.uk

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**APPENDIX E – EXAMPLE TEXT OF AN E-MAIL TO ONR TO CLOSE AN01 EVENTS**

**To:** onr.incidents@onr.gov.uk

**Title: Follow-Up Report to Event Reference No:** *(add the reference number from SPEED)*

I wish to follow up on an event that took place at (add site name) on (add date) involving (add a few words that describes the event), Event Reference No: (Add the reference number from SPEED).

We have discussed this event with our ONR Site Inspector (add Inspector's name) and he/she has agreed that no further follow up reporting is required in this case. Please accept this e-mail as the follow-up report to close out the reporting for this event.

Yours faithfully,

(add name)

(add company name)

(add site name)

## APPENDIX F – EVENT REPORTING TO GOVERNMENT

The following guidance should be used to interpret a requirement for a 'GOV' notification in the event categories given in tables A1 to A9.

Before reports to Government are made by a Duty Officer, the circumstances and significance of the event must be discussed with the EHSSQ Director or, if not available, a member of their EHSSQ Lead Team. It may be decided that reporting the event to Government is not appropriate.

Government Department	Categories of event to be reported
Department for Energy Security and Net Zero (DESNZ) Note: previously, this was the Department for Business, Environment and Industrial Strategy (BEIS)	All events meeting Ministerial Reporting Criteria for incidents/events on Nuclear Licensed Sites, Ministerial Reporting Criteria for Transport incidents – see Appendices K & L, and Ministerial Reporting Criteria for Safeguards – see App'x N AN01 category is GOV(C) to allow the EHSSQ Director to 'consider' the appropriateness of a notification for such an event before it is made. Also, mention which other government departments are being advised.
Radiological Response and Emergency Management System (RREMS) <b>Note:</b> RREMS replaced RIMNET in 2022.	Events associated with discharges and disposals or with actual or potential environmental impact.
Office for Nuclear Regulation (ONR)	Events with a nuclear, radiological or transport of radioactive material impact.
Office for Nuclear Regulation - Civil Nuclear Security and Safeguards (ONR)	Events with a security impact. Events with a safeguards impact
Environment Agency (EA)	Events associated with discharges and disposals or with actual or potential environmental impact - England & Wales plus Chapelcross.
Natural Resource Wales (NRW)	Events associated with discharges and disposals or with actual or potential environmental impact - Wales
Scottish Environment Protection Agency (SEPA)	Events associated with discharges and disposals or with actual or potential environmental impact - Scotland.
Department for Transport (DfT)	Events associated with the transport of non-radioactive dangerous goods.
Food Standards Agency (FSA)	Events associated with discharges and disposals or with actual or potential environmental impact.
Welsh Government (WG)	All events at Trawsfynydd or Wylfa. AN01 events at Oldbury, Hinkley Point A and Berkeley.
Scottish Government (SG)	All events at Hunterston A and Chapelcross.

## APPENDIX G – CONTACT DETAILS FOR NOTIFYING EVENTS

S-495		Organisation	Details
Categories	Notification		
SG01a & SG01b, SG02 to SG09 categories	ONR(S)	Office for Nuclear Regulation (Safeguards)	ONR's 'WIRed' portal E-mail: (to send INF1 to) <a href="mailto:onr.incidents@onr.gov.uk">onr.incidents@onr.gov.uk</a> Telephone: 0203 028 0944
SC categories, SG06	ONR(CNSS)( Rep)	Office for Nuclear Regulation – Civil Nuclear Security & Safeguards  Written report to ONR(CNSS)	ONR's 'WIRed' portal E-mail: (to send INF1 to) <a href="mailto:onr.incidents@onr.gov.uk">onr.incidents@onr.gov.uk</a> Out of Hours - CNSS Duty Officer: 0330 313 5695
Radiation Emergency  Site Incident  Various NS, RS, ES, IS, SC, SG, TS categories	ONR	Office for Nuclear Regulation	ONR's 'WIRed' portal E-mail: (to send INF1 to) <a href="mailto:onr.incidents@onr.gov.uk">onr.incidents@onr.gov.uk</a> Non-security incidents emergency only: 0151 922 5911
Radiation Emergency  Site Incident  A number of NS, RS, ES, IS, SC, SG and TS categories.	GOV	Department for Energy Security and Net Zero (DESNZ)  Note: previously, this was the Department for Business, Environment and Industrial Strategy (BEIS)	DESNZ On Call Team (primary route for notifying). All emergencies: 0300 068 6900 [monitored 24/7 – use for initial notification] E-mail: <a href="mailto:desnz.erco@energysecurity.gov.uk">desnz.erco@energysecurity.gov.uk</a> [not monitored 24/7 – use for giving further information]  For info see S-906 App. F
A number of TS categories	DGSA	The Materials Transport, Accountancy and Control (MTAC) Group	01235 435213 E-mail: <a href="mailto:dgsa.services@magnoxsites.com">dgsa.services@magnoxsites.com</a>
Radiation Emergency  Site Incident (NS04)  A number of NS, RS, ES, SC and AN categories  Applies to both radiological and	EA	Environment Agency Incidents involving one or more of: <ul style="list-style-type: none"><li>• Significant Environmental Harm</li><li>• Requiring a response from the Environment Agency</li><li>• Likely to generate Media Interest</li><li>• Likely to require onward notification to DESNZ</li></ul>	0800 731 1300 (24 hr Nuclear Incident Hotline  Email: <a href="mailto:ics@environment-agency.gov.uk">ics@environment-agency.gov.uk</a> . Follow-up the email with a 'phone call to 0800 731 1300


S-495		Organisation	Details
Categories	Notification		
non-radiological events  Radiation Emergency Site Incident (NS04) A number of NS, RS, ES, SC and AN categories Applies to both radiological and non-radiological events		Environment Agency Breach of Permitted Limits or Route Conditions (not resulting in issues listed above)	Site to make a telephone call in office hours to their local EA Inspector
	SEPA	Scottish Environment Protection Agency Incidents involving one or more of: <ul style="list-style-type: none"> <li>• Significant Environmental Harm</li> <li>• Requiring a response from SEPA</li> <li>• Likely to generate Media Interest</li> <li>• Likely to require onward notification to DESNZ</li> </ul> Breach of Permitted Limits/Conditions (not resulting in issues listed above).	01738 448415 (24 hr number for Radiation Incidents Emergency Hotline) E-mail: RSNotifications@sepa.org.uk Pollution Hotline – 0800 80 70 60 (24 Hour) <b>Note:</b> If the reporting person is physically located outside of Scotland they must now use 01698 839 028 for SEPA Pollution Hotline. Site to make a telephone call in office hours to their local Inspector
	NRW	Natural Resources Wales Incidents involving one or more of: <ul style="list-style-type: none"> <li>• Significant Environmental Harm</li> <li>• Requiring a response from NRW</li> <li>• Likely to generate Media Interest</li> <li>• Likely to require onward notification to DESNZ</li> </ul>	0300 065 5111 (24 hr Emergency Control Centre)
		Natural Resources Wales Breach of Permitted Limits or Route Conditions (not resulting in issues listed above)	Site to make a telephone call in office hours to their local EA Inspector
ES13	NE NRW SNH	Natural England Natural Resources Wales Scottish Natural Heritage	0845 6003078 0300 065 5111 0131 316 2600

S-495		Organisation	Details
Categories	Notification		
ES02	FSA England	FSA Incident Response Team	020 7276 8448
	FSA Wales	Consumer Protection Team	029 2067 8999 Out of Hours: 07889 926573
	Food Standards Scotland	Food Incidents Team	01224 285156 24 Hour Incidents Tel:07881 516867
NS13	CAA	CAA Aviation Regulation Enforcement	0207 453 6193
	MOD	MOD Low Flying Complaints and Enquiries Unit	01780 417558
IS01 – IS06	ONR	Office for Nuclear Regulation	Notify RIDDOR fatal/serious incidents to ONR by the quickest practicable means without delay  Telephone: 0151 922 5911  Use ONR's WIReD Dutyholder portal to report the incident, see information in 'Generic Notices of Table A5: 'Industrial Safety Events'.
AN02, AN32	ICO	Information Commissioner's Office	Notification must be made via the Data Protection Officer (DataPO).  Email address: D.P.O@magnoxsites.com

## APPENDIX H – GUIDANCE ON REPORTING REQUIREMENTS TO EA AND OTHER ENVIRONMENTAL AGENCIES

Circulated to  
SM/JB/SM/HD

creating a better place

 Environment Agency

Mr Ray Jepps  
Site Director  
Magnox Ltd  
Dungeness A Power Station  
Romney Marsh  
Kent  
TN29 9PP

Dungeness A  
Mail Tracking  
800000919

27 June 2011

Dear Mr Jepps

**RE: Notifying Environment Agency of incidents on a nuclear licensed site**

We briefed your representative at the recent Nuclear Industry Liaison Group meeting that we would request you to update your arrangements for notifying us about incidents on your site(s).

This letter is that request – and provides you with guidance on notifying us when incidents occur on nuclear licensed sites. This includes radiation incidents and other incidents which do not involve radiation, but which may have an impact on our role as an environmental regulator (for example under COMAH). You will also need to comply with:

- relevant conditions included in environmental permits that we have issued for your site(s); and
- the Office for Nuclear Regulation's requirements for reporting incidents to them.

As we advised you in 2008, **all declarations of an on-site nuclear incident and off-site nuclear emergency** must be notified to us via our radiation incident hotline at our Incident Communication Service (0800 731 1300).

**Please ensure that all other major incidents on your nuclear licensed site(s)** (for example, an explosion or a fire) are also notified to us via the radiation incident hotline (0800 731 1300). This should include, for example:



- events with potential or actual environmental impact;
- events where you may need Environment Agency support;
- events which may trigger local or national media interest;
- events which may involve Environment Agency communicating with government departments, local authorities or the media.

**Calling the radiation incident hotline will ensure we are briefed and are able to respond appropriately.**

- Calls to the radiation incident hotline are prioritised above other incoming calls.
- Messages are passed immediately to the 24/7 RSR Duty Tactical Manager (RSR-DTM) who will assess and determine our response to the incident.
- RSR-DTMs are radioactive substances specialists who are competent to deal with your concerns.
- In the event of either a radiological or a non-radiological incident, the RSR-DTM will contact the right specialists within the Environment Agency.

Cont'd

Red Kite House, Howbery Park, Wallingford, Oxfordshire OX10 8BD  
Customer services line: 08708 506 506 Email: [enquiries@environment-agency.gov.uk](mailto:enquiries@environment-agency.gov.uk)

   
INVESTOR IN PEOPLE

- During business hours the RSR-DTM will always notify the relevant Nuclear Regulator (Site Inspector), assuming they are not on leave or off sick. We always have a member of each of our Nuclear Regulation Groups on call 24/7 to provide out of hours support to the RSR-DTM should an incident occur at a nuclear licensed site.
- Calls to the radiation incident hotline will initiate an audit trail meaning that our response to the notification can be tracked.

You may also wish to contact your lead Nuclear Regulator (Site Inspector). However you should notify us first on the radiation incident hotline. Nuclear Regulators are not contactable 24/7, they are sometimes unable to take calls, they may take leave, or they may be unavailable for other reasons.

**What you need to do**

Please ensure that your site emergency arrangements reflect this guidance. Specifically you should:

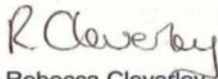
- 1) Identify all desk instructions and emergency plans which refer to Environment Agency contact details for notification of radiation and other incidents and emergencies.
- 2) Ensure that the Environment Agency emergency telephone contact number is **0800 731 1300**.
- 3) Ensure that the instruction specifies that this number must be called in the event of **any** type of major incident at a nuclear licensed site – not just a radiation incident.
- 4) Ensure that the Environment Agency emergency fax contact number is **0800 587 6032**.
- 5) Brief staff who are responsible for issuing notifications.
- 6) Confirm to us that you are carrying out these actions by completing the attached reply slip.

**Environment Agency 'HELP' reporting system**

In the Environment Agency we use our "Head Office Emergency Liaison Procedure (HELP)" to inform our senior management of major incidents, including any incidents which have the potential to attract press or public interest. It is important that you are aware of this because these reports go beyond our own organisation to Defra, DECC and WAG. I enclose a note on our HELP reporting procedure for your information.

If you have any questions or queries please get in touch your Site Nuclear Regulator.

Yours sincerely



Rebecca Cleverley  
Technical Support Officer – Radiation Incidents

Tel: 01491 828629

Email: [rebecca.cleverley@environment-agency.gov.uk](mailto:rebecca.cleverley@environment-agency.gov.uk)

cc: Mr P Warham - Dungeness A  
Mr B Archer - HM ONR  
Dr P Mountford-Lister - Site Nuclear Regulator

**APPENDIX H – GUIDANCE ON REPORTING REQUIREMENTS TO EA AND OTHER ENVIRONMENTAL AGENCIES**

MAJOR EVENTS			Radiological Safety			Industrial Safety			Security DO NOT USE. See APP. M		
NRS	ONR	Significance	NRS	ONR	Significance	NRS	ONR	Significance			
AN01 Radiation Emergency	AN01	Major	RS01	RS01	Major	IS01	AN01	Major			
NS04 Site Incident	NS04	Major	RS02	RS02	Major	IS32	*AN01	As appropriate			
See Table A7: Major Security Incident	As per event	Major	RS03	RS03	Major						
TS01	TS01	Major	RS04	RS04	Moderate						
			RS05	RS05	Moderate						
			RS06	RS06	Moderate						
			RS07	RS07	Minor						
			RS08	RS08	Moderate						
<b>Nuclear Safety</b>						<b>Abnormal Occurrence</b>					
NRS	ONR	Significance	RS09	RS09	Moderate	NRS	ONR	Significance			
NS01	NS01	Major	RS10	RS10	Moderate	AN01	AN01	As appropriate			
NS02	NS02	Major	RS11	RS11	Minor						
NS03	NS03	Major	RS12	RS12	Minor						
NS04	NS04	Major	RS13	RS13	Moderate						
NS05	NS05	Moderate	RS14	RS14	Moderate						
NS06	NS06	Moderate	RS32	*AN01	As appropriate				SC32	AN01*	As appropriate
NS07	NS07	Moderate									
NS08	NS08	Minor									
NS09	NS09	Minor	<b>Environmental Safety</b>			<b>Transport</b>			<b>Safeguards</b>		
NS10	NS10	Moderate	NRS	ONR	Significance	NRS	ONR	Significance	NRS	ONR	Significance
NS11	NS11	Minor	ES01	AN01	As appropriate	TS01	TS01	Major	SG01	SG01	Major
NS12	NS12	Minor	ES03	*AN01	As appropriate	TS02	TS02	Major	SG02	SG02	Major
NS13	NS13	Minor	ES04	*AN01	As appropriate	TS03	TS03	Major	SG03	SG03	Major
NS14	NS14	Minor	ES09	*AN01	As appropriate	TS04	TS04	Major	SG04	SG04	Major
NS15	NS15	Minor	ES10	*AN01	As appropriate	TS05	TS05	Major	SG05	SG05	Minor
NS16	NS16	Minor	ES12	*AN01	As appropriate	TS06	TS06	Moderate	SG06	SG06	Minor
NS17	NS17	Minor	ES13	*AN01	As appropriate	TS07	TS07	Minor	SG07	SG07	Moderate
NS32	*AN01	As appropriate	ES14	*AN01	As appropriate	TS08	TS08	Minor	SG08	SG08	Minor
			ES32	*AN01	As appropriate				SG09	SG09	Minor

## APPENDIX J – EHSS&Q DUTY OFFICER NOTIFICATION OF NDA(I) EVENTS

### Background

The NDA updated their guidance document for Managing Incidents and non-Routine Events (MIRE) which specifies how and when they are to be notified of (qualifying) occurrences. This instruction is intended to document how the EHSS&Q Duty Officer is to fulfil the NDAs expectation in this regard.

### Scope

The following actions by the EHSSQ Duty Officer apply to the onward notification of incidents and events to NDA where S-495 prescribes the reporting timeline for the EHSS&Q Duty Officer as NDA(I). For the notification of the attendance of emergency services at a site under 'blues and twos', the timescale of the category selected for the event will be applied.

- During working hours the NDA Corporate Centre's Emergency Controller can be contacted via the following number: **0330 223 5901**.

The following two numbers are also available if their Emergency Controller is not contactable:

Herdus House Security Office: **01925 802 018**

Herdus House Security Mobile: **07814 389 799**

EHSSQ Duty Officer should anticipate being asked to provide the following information:

- caller details, organisation and site (e.g. contact numbers, role, site affected)
- which part of the NDA needs to be contacted (e.g. SFT (Site Facing Team / ORT (Owners Representatives Team)/ SSSE (Safety Safeguards and Environment Team)
- a short message (e.g. what has happened, contact details for call back/ more information)

As soon as reasonably practicable the EHSSQ Duty Officer is to complete the notification template, which can be found in the 'Duty Officer' folder under "NDA Reporting Template," and email it to: **[incident.notification@nda.gov.uk](mailto:incident.notification@nda.gov.uk)** mark the email as security classification 'official'.

In the event that email services are non-functional then fax the completed template to **01925 802003**.

## APPENDIX K – MINISTERIAL REPORTING CRITERIA FOR TRANSPORT EVENTS

MRCT	Description of Criteria	Event category
<b>MRCT1</b>	A radiation emergency as defined in CDG (Amendment) Regulations 2019: means a non-routine situation or event arising during the carriage of Class 7 dangerous goods that necessitates prompt action to mitigate the serious consequences (a) Of a hazard from that situation or event (b) Of a perceived risk arising from such a hazard; or (c) To one or more of the following human life, health and safety, quality of life, property, the environment.	TS01 or TS03
<b>MRCT2</b>	Theft or loss of High Consequence Radioactive Material in carriage (Note 1).	TS02
<b>MRCT3</b>	An occurrence during loading, carriage or unloading of class 7 dangerous goods involving (a) any release of activity greater than A2 of radioactive material from the packages or from the conveyance if being transported unpackaged; or (b) exposure leading to a breach of the limits set out in IRR17 to workers or members of the public (Notes 2 and 3).	TS04
<b>MRCT4</b>	An occurrence during loading, carriage or unloading of class 7 dangerous goods, where there is reason to believe that there has been a significant degradation in any Type B(U), Type B(M), Type C or Fissile package safety function (containment, shielding, thermal protection, or criticality) that may have rendered the package unsuitable for continued carriage without additional safety measures. (See Note 4).	TS05
<b>MRCT5</b>	An occurrence where class 7 dangerous goods have been transported with any non-compliance regarding radiation or contamination levels where those levels are greater than ten times the prescribed regulatory limits (See Note 5).	TS06
<b>MRCT6</b>	Events involving class 7 goods in carriage likely to attract, or that have attracted, significant national media or public attention.	AN01

### Notes:

1. High Consequence Radioactive Material (HCRM) is defined in ADR 1.10.3.1.3.
2. A2 is defined in ADR 2.2.7.1.3
3. The dose limits can be found in Schedule 3 of IRR17.
4. Type B(U); Type B(M); Type C and Fissile packages are approved, prior to use, by ONR in accordance with the requirements of ADR/RID. Any degradation to the safety function of a package, due to an occurrence or otherwise, would require permission from the competent authority before continued use. Requirements for these packages can be found in ADR/RID as follows: Type B(U) packages in 6.4.8, Type B(M) in 6.4.9 and Type C in 6.4.10.
5. The contamination limits can be found in ADR 2.2.7.1.2.

## APPENDIX L – MINISTERIAL REPORTING CRITERIA (MRC) FOR NUCLEAR OR RADIOLOGICAL SAFETY INCIDENTS/EVENTS ON NUCLEAR LICENSED SITES

MRC	Description of Criteria	Event category
<b>Nuclear or Radiological Safety</b>		
a	Dangerous occurrences reportable under the Nuclear Installations (Dangerous Occurrences) Regulations 1965. Summary of occurrences from Regulation Number 3 are as follows:	
	3(a) any occurrence on a licensed site involving the emission of ionising radiations or the release of radioactive or toxic substances, causing or likely to cause death, or serious injury, on or off the site.	RS01
	3(b) any occurrences during transport causing or likely to cause death or serious injury or the breach of containment of a transport package.	TS01
	3(c) any explosion or fire on a licensed site affecting or likely to affect the safe working or safe condition of the nuclear installation.	NS01
	3(d) any uncontrolled criticality excursion.	NS02
b	Confirmed exposure to radiation of individuals which exceed or are expected to exceed, the dose limits specified in Schedule 3 to the Ionising Radiation Regulations (IRRs) 2017.	RS08
c	Any incident that meets either of these criteria: a) Any operations that identify defects or misconfigurations with higher classification safety Systems, Structures and Components (SSC) that prevent performance of the SSC's safety case defined nuclear safety functions (NS08) <b>Or</b> b) Any safety analysis and/or quality assurance activity that identifies higher safety classification Systems, Structures and Components cannot perform their safety case defined nuclear safety functions (NS12). <b>And</b> the overall impact means that an adequate safety case to continue operations cannot be made.	NS03
d	Abnormal occurrences leading to a confirmed release to atmosphere or spillage of a radioactive substance which exceeds or is expected to exceed, the limits set out in Column 5 of Part 1 of Schedule 7 to the IRRs 2017, except where the release is in a manner specified in an Authorisation under the Environmental Permitting Regulation 2010 or Environmental Authorisations (Scotland) Regulations 2018 (EASR18).	RS02
		RS05
e	Abnormal occurrences leading to a release or suspected release or spread of radioactivity, on or off site, which requires special action or special investigation by the Operator.	RS03
f	Events likely to attract, or that have attracted, significant national media or public attention.	AN01

## APPENDIX M – CRITERIA FOR SELECTION OF SECURITY EVENT SIGNIFICANCE CATEGORY

### NISR 2003 Regulation 10 Reporting – criteria for Nuclear Premises security event significance

ONR CNSS Security Significance Category	Description
Major	Incursions or other malicious activity conducted against the site; or, where all key control measures necessary to satisfy the delivery of security outcomes and relevant good practices have been, or are likely to be, compromised, which could result in a serious consequence.
Moderate	Where a number of key control measures necessary to satisfy the security outcomes or relevant good practice have been, or likely to be, significantly weakened, which could result in a significant consequence.
Minor	Where the key control measures necessary to satisfy security outcomes and relevant outcomes remain broadly effective, but could result in a minor consequence.
None	Where there has been an event or matter that has no security affect or consequence.

NISR 2003 Regulation	Description
10(5) (a-h)	<p>(a) Any unauthorised incursion on to the premises or any attempted or suspected such incursion.</p> <p>(b) Any incident occurring on the premises involving an explosive or incendiary device or suspected such device, or a firearm or replica firearm.</p> <p>(c) Any damage to any building or equipment on the premises which might affect the security of the premises or any material or equipment mentioned in regulation 4(2).</p> <p>(d) any malicious damage to any building or equipment on the premises, other than any trivial damage that does not affect the security of the premises or any material or equipment mentioned in regulation 4(2);</p> <p>(e) any theft or attempted theft, or any loss or suspected loss, or any unauthorised movement—</p> <p>(d) (i) of any nuclear material used or stored on the premises or in transit to or from them, or</p> <p>(ii) in the case of premises which are or form part of a nuclear site, of any other radioactive material used or stored on them;</p> <p>(f) any theft or attempted theft, or any loss or unauthorised disclosure, of sensitive nuclear information kept on the premises, or any suspected such theft, loss or disclosure;</p> <p>(g) any unauthorised access to any sensitive nuclear information kept on the premises, or any attempt to gain such access;</p> <p>(h) any threat to do anything which would fall within any of sub-paragraphs (a) - (g);</p> <p>Examples of typical <b>Major</b> events might include:</p> <ol style="list-style-type: none"> <li>Confirmed site incursion.</li> <li>Any act or attempted act of sabotage to security assets on a site, including cyber attack</li> <li>Any act or attempted act of sabotage on nuclear material/ORM or associated buildings and facilities</li> <li>Any loss, theft or attempted theft of Cat I-III Nuclear Material / Group A/B Other Radioactive Material or information security classified as SECRET</li> <li>Confirmed compromise of information classified as SECRET or above (e.g. highly detailed and exploitable information regarding Category I-III nuclear material or</li> </ol>

NISR 2003 Regulation	Description
	<p>vital areas that may jeopardise an effective nuclear security response; or that which could seriously damage international relations)</p> <p>f. Confirmed compromise of operational technology categorised as 'Critical' or 'Major' impact.</p> <p>g. Confirmed compromise of IT and/or associated network(s) handling information security classified as SECRET or above.</p> <p>Examples of typical <b>Moderate</b> events might include:</p> <p>a. Attempted or suspected incursion.</p> <p>b. Damage to any building or equipment which might affect the security of the premises or nuclear material/ORM held thereon.</p> <p>c. Apparent loss of Category IV nuclear material or Group C/D ORM.</p> <p>d. Confirmed compromise of information classified as OFFICIAL-SENSITIVE:SNI (e.g. information likely to be of minimal consequence to nuclear security if compromised; or that which could have other damaging consequences if lost, stolen or published in the media)</p> <p>e. Confirmed compromise of operational technology categorised as 'Significant' or 'Minor' impact.</p> <p>f. Confirmed compromise of IT and/or associated network(s) handling information security classified as OFFICIAL SENSITIVE:SNI</p> <p>Examples of typical <b>Minor</b> events might include:</p> <p>a. Failed attempt to gain unauthorised access.</p> <p>b. Actual or Attempted act to cause malicious damage to asset not associated with site security or nuclear material/ORM.</p> <p>c. Significant anomalous activity or other indicator of compromise to equipment or software used in connection with activities involving nuclear material/ORM requiring further investigation (confirmation of compromise would necessitate an uplift of event grading).</p> <p>d. Significant anomalous activity or indicator of compromise identified on IT and associated networks handling SNI that requires further investigation (confirmation of compromise would necessitate an uplift of event grading).</p> <p>e. A reasonable suspicion of the loss or compromise of information that is reportable in accordance with the Collaboration on Gas Centrifuge Technology Handbook on Security of Classified Information, that requires further investigation (confirmation of compromise would necessitate an uplift in the event grading).</p>
10 (5) (i)	<p><i>Any failure to comply with any of the standards, procedures or arrangements described in the approved security plan that are relied upon to deliver the necessary security outcome for the site.</i></p> <p><i>Security Plan includes any approved temporary security plan in force at the time.</i></p> <p>Examples of typical <b>Major</b> events might include:</p> <p>a. Pass and PIN handed to another individual in order to gain access to restricted area for malicious purposes</p> <p>b. Total loss of security management system</p> <p>Examples of typical <b>Moderate</b> events might include:</p> <p>a. Visitors left unescorted in secure area.</p> <p>b. Security boundary door found unsecure and alarm inhibited.</p> <p>c. Breaches of procedure in the arrangements to protect information security classified as SECRET or above.</p> <p>d. Non-compliance with search regime at entry points to sensitive area.</p>

NISR 2003 Regulation	Description
<b>Regul'n 7(2) qualifying</b>	<p>e. Pass and PIN handed to another individual in order to gain access to restricted area.</p> <p>f. Site pass issued for secure area without correct clearance in place.</p> <p>g. No CNC Operational Firearms Commander.</p> <p>h. Security staff or CNC shortfall that significantly affects the security response.</p> <p>i. Significant proportion of Security Management System lost for periods in excess of four hours.</p> <p>This includes minor security breaches of the Site Security Plan.</p> <p>Examples of typical <b>Minor</b> events might include:</p> <p>a. Visitors left unescorted in Limited Access Areas (General Site).</p> <p>b. Temporary loss (for a duration of less than 4 hours) of security structures, systems or components with due consideration of the consequence and mitigation applied.</p> <p>c. Loss of CCTV system capability where the area of deficit is sufficiently covered by other surveillance (suitable CCTV or patrol).</p> <p>d. Breaches of procedure in the arrangements to protect information security classified as OFFICIAL-SENSITIVE: SNI (e.g. sending over the internet unencrypted)</p> <p>e. Non-compliance with search regime at entry points to protected area</p> <p>f. Security boundary door found locked, but alarm inhibited.</p> <p>g. Site pass issued for limited access area without necessary clearance or clearance having expired.</p> <p>h. Employee allowed site access on expired pass.</p> <p>i. Short duration shortfall of security staffing (including CNC) as defined in the Site Security Plan which does not affect security outcomes.</p> <p>j. Authorised member of staff given access to site on expired pass.</p> <p>k. Lost site pass not reported correctly</p> <p>l. Any event or matter unlikely to be prejudicial to security.</p>
<b>Regul'n 7(2) qualifying</b>	<p>10 (5)(j) <i>Any other event or matter which might affect the security of premises or the material, equipment or information included in the Security Plan as is required by Regulation 4(2).</i></p> <p>No <b>Major</b> criteria</p> <p>Examples of typical <b>Moderate</b> events might include:</p> <p>a. Discovery of prohibited (unless covered by 10(b) above) items onsite.</p> <p>b. Large, organised protest or gathering in proximity to the site.</p> <p>Examples of typical <b>Minor</b> events might include:</p> <p>a. Attempt to bring prohibited (unless covered by 10(b) above) item onto site.</p> <p>b. Discovery of lost or mislaid pass on-site.</p> <p>c. Alarm(s) activated, investigated and system fault(s) discovered.</p> <p>d. Acts of criminality on site indicating staff behaviours of concern regarding honesty and integrity.</p> <p>e. Any event or matter unlikely to be prejudicial to security.</p>

**NISR 2003 Regulation 18 Reporting – criteria for Nuclear Material Transport event significance**

ONR CNSS Significance Category	Description
Major	Incursions or other malicious activity conducted against the transport; or, where all key control measures necessary to satisfy the delivery of security outcomes and relevant good practices have been, or are likely to be, compromised, which could result in a serious consequence.
Moderate	Where the key control measures necessary to satisfy the security outcomes or relevant good practice have been significantly weakened, which could result in a significant consequence.
Minor	Where the key control measures necessary to satisfy security outcomes and relevant outcomes remain broadly effective but could result in a minor consequence.
None	Where there has been an event or matter that has no security affect or consequence.

NISR 2003 Regulation	Description
18(5)(a – i)	<p>(a) any unauthorised incursion on to, interference with, or other incident affecting the security of any means of conveyance of Category I/II nuclear material or Category III nuclear material during the course of its transport or any attempted or suspected such incursion, interference or incident;</p> <p>(b) any unauthorised incursion on to premises where Category I/II nuclear material or Category III nuclear material is being stored temporarily during the course of or incidental to its transport or any attempted or suspected such incursion;</p> <p>(c) any incident occurring during the transport of Category I/II nuclear material or Category III nuclear material, or on premises where such material is being stored temporarily during the course of or incidental to its transport, involving an explosive or incendiary device or suspected such device, or a firearm or replica firearm;</p> <p>(d) any damage to the means of conveyance of Category I/II nuclear material or Category III nuclear material which might affect the security of that material;</p> <p>(e) any damage to any building or equipment on premises where Category I/II nuclear material or Category III nuclear material is being stored temporarily during the course of or incidental to its transport which might affect the security of the material;</p> <p>(f) any theft or attempted theft, or any loss or suspected loss, or any unauthorised movement of, or any interference with, Category I/II nuclear material or Category III nuclear material during transport;</p> <p>(g) any theft or attempted theft, or any loss or unauthorised disclosure, of information falling within regulation 16(2)(c), or any suspected such theft, loss or disclosure;</p> <p>(h) any unauthorised access to any such information or any attempt to gain such access;</p> <p>(i) any threat to do anything which would fall within any of sub-paragraphs (a)-(h);</p> <p>Examples of typical <b>Major</b> events might include:</p> <p>a. Any act or attempted act of sabotage to security assets protecting nuclear material in transit, including by cyber-attack (e.g. escort).</p> <p>b. Confirmed incursion into any location where a transporter and nuclear material is being temporarily stored.</p> <p>c. Any act or attempted act of sabotage against nuclear material in transit or its associated transport facilities/equipment (e.g. HSV, locomotive).</p>

- d. Any theft or attempted theft of nuclear material during a transport or while in temporary storage, or SNI relating to a transport.
- e. Any protest that blocks the ongoing movement of Category I/II nuclear material in a way that CNC's ability to achieve PPS Outcome is, or is likely to be, compromised.
- f. Confirmed compromise of information classified as SECRET or above (e.g. highly detailed and exploitable information regarding nuclear material in transit that may jeopardise an effective nuclear security response; or that which could seriously damage international relations).
- g. Confirmed compromise of operational technology involved in the transport of nuclear material that is categorised as 'Critical' or 'Major' impact.
- h. Confirmed compromise of IT and/or associated network(s) handling information concerning the transport of nuclear material that is security classified as SECRET or above.

Examples of typical **Moderate** events might include:

- a. Attempted attack or incursion onto a transporter carrying nuclear material.
- b. Attempted entry into a location where nuclear material is being stored.
- c. Any protest that blocks the ongoing movement of Category I/II nuclear material but does not significantly impact CNC's ability to deliver PPS Outcome.
- d. Any protest that successfully blocks the ongoing movement of Category III nuclear material.
- e. Malicious damage to any transporter or associated equipment while material is in transport.
- f. Confirmed compromise of information classified as OFFICIAL SENSITIVE:SNI (e.g. information likely to be of minimal consequence to nuclear security if lost, stolen or published in the media)
- g. Confirmed compromise of operational technology involved in the transport of nuclear material that is categorised as 'Significant' or 'Minor' impact.
- h. Confirmed compromise of IT and/or associated network(s) handling information concerning the transport of nuclear material that is security classified as OFFICIAL SENSITIVE:SNI.

Examples of typical **Minor** events might include:

- a. Any attempt to block by protest any movement of Category III nuclear material.
- b. Attempt to gain unauthorised access.
- c. Attempt to cause malicious damage or disrupt a transport.
- d. Unsuccessful attempt by protestors to block the ongoing movement of category I/II and Category III nuclear material.
- e. Significant anomalous activity or indicator of compromise identified on operational technology involved in the transport of nuclear material requiring further investigation (confirmation of compromise would necessitate an uplift in event grading).
- f. Significant anomalous activity or indicator of compromise identified on IT and associated networks handling SNI concerning the transport of nuclear material that requires further investigation (confirmation of compromise would necessitate an uplift in event grading).
- g. A reasonable suspicion of the loss or compromise of information that is reportable in accordance with the Collaboration on Gas Centrifuge Technology Handbook on Security of Classified Information, that requires further investigation (confirmation of compromise would necessitate an uplift in the event grading).

NISR 2003 Regulation	Description
18(5)(j)	<p><i>(j) any failure to comply with any of the standards, procedures and arrangements described in the approved carrier's approved transport security statement or the measures described in any approved transport plan required under regulation 19;</i></p> <p>Examples of typical <b>Major</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Pass (and PIN) handed to another individual in order to gain access to a transport of where material is temporarily stored for malicious purposes.</li> <li>b. Use of unapproved stabling or overnight storage arrangements that could result in loss or sabotage of material in transport.</li> <li>c. Inability to activate all elements of the emergency/contingency arrangements.</li> <li>d. Movement of Category I/II nuclear material without submitting a Transport Security Plan.</li> <li>e. Total loss of any Security Management System covering the transport, or while material is temporarily stored.</li> </ol> <p>Examples of typical <b>Moderate</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Visitors left unescorted within the secure 'bubble' of a transport or where material is temporarily stored.</li> <li>b. Breaches of procedure in the arrangements to protect information security classified as SECRET or above.</li> <li>c. Security boundary door found unsecure and alarm inhibited</li> <li>d. Non-compliance with search regime at any stage of a transport</li> <li>e. Pass (and PIN) handed to another individual in order to gain access to a transport of where material is temporarily stored.</li> <li>f. Pass issued to someone involved in a transport who does not hold the correct clearance</li> <li>g. Use of unapproved stabling or overnight storage arrangements</li> <li>h. Inability to activate some element of the emergency/contingency arrangements.</li> <li>i. Not submitting a 7-day notification for movement of Category III nuclear material</li> <li>j. Loss of a significant proportion of any security management system covering a transport or while material is stored for periods of more than four hours.</li> </ol> <p>Examples of typical <b>Minor</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Visitors left unescorted in the vicinity of the secure 'bubble' of a transport or where material is temporarily stored</li> <li>b. Breaches of procedure in the arrangements to protect information security classified as OFFICIAL-SENSITIVE:SN1 (e.g. sending over the internet unencrypted).</li> <li>c. Non-compliance with search regime for a transport</li> <li>d. Inability to activate some element of the emergency/contingency arrangements</li> <li>e. Use of non-approved rest area during a Cat III transport.</li> <li>f. Failure of a minor element of any security management system covering a transport or while material is temporarily stored for periods in excess of four hours.</li> </ol>
18(5)(k)	<p><i>(k) any other event or matter which might affect the security of —</i></p> <ol style="list-style-type: none"> <li><i>(i) Category I/II nuclear material or Category III nuclear material being transported,</i></li> <li><i>(ii) premises where Category I/II nuclear material or Category III nuclear material is being stored temporarily during the course of or incidental to its transport, or</i></li> <li><i>(iii) any information falling within regulation 16(2)(c).</i></li> </ol>

NISR 2003 Regulation	Description
	<p>No <b>Major</b> criteria</p> <p>Examples of typical <b>Moderate</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Discovery of prohibited items in location associated with transportation of nuclear material.</li> <li>b. Large organised protest or gathering in proximity to nuclear transport.</li> </ol> <p>Examples of typical <b>Minor</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Attempt to bring prohibited items onto location associated with transportation of nuclear material.</li> <li>b. Discovery of lost or mislaid pass on-site</li> <li>c. Member of public filming or acting suspiciously in proximity to nuclear material transport.</li> <li>d. Acts of criminality indicating staff (involved in transportation of nuclear material) behaviours of concern regarding honesty and integrity.</li> </ol>

***NISR 2003 Regulation 22 - Reporting criteria for Sensitive Nuclear Information event significance***

***Note: The criteria in this section (NISR Reg 22) apply to premises that are not nuclear premises***

ONR CNSS Significance Category	Description
Major	Incursions into areas holding SNI or any other malicious activity conducted against the premises affecting the security of SNI; or where all key control measures necessary to satisfy the delivery of security outcomes and relevant good practices have been, or are likely to be, compromised, which could result in a serious consequence.
Moderate	Where one or more key control measures necessary to satisfy the security outcomes or relevant good practice have been significantly weakened, which could result in a significant consequence.
Minor	Where the key control measures necessary to satisfy security outcomes and relevant outcomes remain broadly effective, but could result in a minor consequence.
None	Where there has been an event or matter that has no security affect or consequence.

NISR 2003 Regulation	Description
22(10)(a–c)	<p><i>The events and matters are—</i></p> <p>(a) <i>any theft or attempted theft, or any loss or unauthorised disclosure of sensitive nuclear information, uranium enrichment equipment or uranium enrichment software, or any suspected such theft, loss or disclosure;</i></p> <p>(b) <i>any unauthorised access to sensitive nuclear information, uranium enrichment equipment or uranium enrichment software, or any attempt to gain such access;</i></p> <p>(c) <i>any other event or matter which might affect the security of any sensitive nuclear information, uranium enrichment equipment or uranium enrichment software.</i></p> <p>Examples of typical <b>Major</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Confirmed compromise of information classified as SECRET or above (e.g highly detailed and exploitable information regarding Cat I-III nuclear material or vital areas that may jeopardise the nuclear security response at a nuclear premises or of the nuclear material in transit; or that which may damage international relations)</li> <li>b. Confirmed compromise of IT and/or associated network(s) holding information security classified as SECRET or above.</li> <li>c. Total loss of security management system in place to protect information security classified as SECRET or above.</li> </ol> <p>Examples of typical <b>Moderate</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Breaches of procedure in the arrangements to protect information security classified as SECRET or above.</li> <li>b. Confirmed compromise of information classified as OFFICIAL-SENSITIVE:SNI (e.g. information likely to be of minimal consequence to nuclear security if compromised; or that which could have other damaging consequences if lost, stolen or published in the media).</li> <li>c. Significant loss of security management system or controls in place to protect information security classified as SECRET or above.</li> <li>d. Total loss of security management system or controls in place to protect information security classified as OFFICIAL-SENSITIVE:SNI.</li> <li>e. Confirmed compromise of IT and/or associated networks handling information classified as OFFICIAL-SENSITIVE:SNI.</li> <li>f. Access to SNI by an individual without the correct level of national security vetting.</li> <li>g. Individuals sharing passes or passwords to allow unauthorised access to SNI, areas or IT/Networks handling SNI.</li> </ol> <p>Examples of typical <b>Minor</b> events might include:</p> <ol style="list-style-type: none"> <li>a. Breaches in procedure in the arrangements to protect information security classified as OFFICIAL-SENSITIVE:SNI (e.g. email over the internet without adequate encryption)</li> <li>b. Significant anomalous activity or indicator of compromise identified on IT and/or associated networks handling SNI that requires further investigation (confirmation of compromise would necessitate an uplift in the event grading)</li> <li>c. Criminal conviction of a Director/Board member of a Regulation 22 dutyholder.</li> <li>d. Loss of an asset handling SNI that is suitably encrypted (e.g. FOUNDATION grade for OFFICIAL-SENSITIVE:SNI)</li> <li>e. The foreign takeover of a Regulation 22 dutyholder.</li> </ol>

<b>NISR 2003 Regulation</b>	<b>Description</b>
	<ul style="list-style-type: none"><li>f. The compromise of a dutyholder's website.</li><li>g. A break in to a List N premise, without a known compromise to SNI held there.</li><li>h. A reasonable suspicion of the loss or compromise of information that is reportable in accordance with the Collaboration on Gas Centrifuge Technology Handbook on Security of Classified Information, that requires further investigation (confirmation of compromise would necessitate an uplift in the event grading).</li></ul>

## APPENDIX N – MINISTERIAL REPORTING CRITERIA – SAFEGUARDS EVENTS (MRC-MG)

MRC-SG Criteria	Description of Criteria	Event Category
a	An event affecting the health and safety of IAEA safeguards personnel This includes conventional health and safety injuries, unexpected radiological exposure/dose and any other accidents or rule breaches that have a negative impact on the individual's health and safety.	SG01a
b	Denial or restriction of IAEA inspector access to a facility/site/location where access would be expected in accordance with the UK/IAEA Voluntary Offer Safeguards Agreement (VOA) (INFCIRC/951) or the UK Additional Protocol Agreement (INFCIRC/951 Add. 1).	SG01a
c	A discrepancy involving 1 significant quantity or more of qualifying nuclear material resulting from material unaccounted for (MUF), or shipper-receiver differences (SRD).	SG01b
d	Failure to locate a discrete 'item' containing qualifying nuclear material as it is reported in the operator's nuclear material accountancy system.	SG01b
e	IAEA safeguards seals on equipment or plant deliberately detached by non-IAEA staff, lost, or showing signs of deliberate tampering, or evidence of tampering with IAEA equipment.	SG01a
f	Events likely to attract, or that have attracted, national media or public attention, or local media attention with the potential to escalate.	AN01

**Note:** 1 significant quantity - For plutonium containing less than 80% <sup>238</sup>Pu, 8 kg Pu, 8 kg <sup>233</sup>U, 25 kg <sup>235</sup>U;  
 For highly enriched uranium (<sup>235</sup>U ≥ 20%), 75 kg <sup>235</sup>U;  
 For low enriched uranium (0.7% ≤ <sup>235</sup>U < 20%), 10 tonnes natural uranium, 20 tonnes depleted uranium, 20 tonnes thorium.

## **APPENDIX O – GUIDE TO RIDDOR AND OSHA REPORTING**

KPIs are based on RIDDOR (Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013) and OSHA (US Occupational Safety and Health Administration) classification schemes. These have separate criteria and there is no direct relationship between them.

### **1. Employees**

- 1) This means staff employed by the Company, or formally seconded to the Company.
- 2) An accident at a company site counts against the site where the accident occurred.
- 3) Accidents when travelling on company business (not home to normal base location) count against the normal base location under OSHA (Occupational Safety and Health Administration). They are not counted under RIDDOR.
- 4) An accident to an employee when visiting other company locations is counted against the injured person's normal base location.

In deciding "normal base location" consideration is given, in descending order, to:

- the location where a person works on a long term basis
- the location from where a person normally works on a long term basis
- the payroll location.

### **2. Agency**

Agency staff engaged by any part of the Company is classed as Agency. The same rules as for employees' accidents apply. Agency staff engaged by contractors are classed as contractors.

### **3. Contractors**

- 1) This means anyone who is either self-employed or is employed by another organisation and not by the Company, that person or organisation has a contract to provide a service to the Company. It includes subcontractors. Delivery drivers are included if there is a contract covering the delivery.
- 2) Contractors' accidents are counted by the site where the accident occurred irrespective of who is managing the contract or supervising the person concerned.

Accidents occurring off-site, or while travelling to or from the site are not normally counted. Exceptions may occur when site related work (e.g. monitoring, dredging) is carried out in the vicinity of the site and advice is sought from EHSS&Q on a case by case basis.

### **4. Visitors**

Other people working on site (NDA, Regulators, delivery drivers etc.)

RIDDOR - injuries are reported by their employer not by the Company. These injuries are NOT counted towards the Company KPIs.

OSHA – injuries are NOT counted towards the Company KPIs.

### **5. Injuries to non-workers**

In the event that someone who is not at work is injured and meets the RIDDOR criterion the Company reports it in accordance with RIDDOR. It is not counted under OSHA.

## 6. Definitions

The following notes provide a simplified approximation to the application of RIDDOR and OSHA following an accident at a Company Site, Hub, or other facility managed by the Company.

Further RIDDOR information can be found by following this link – [Here!](#)

The number in small brackets after each definition title refers to the corresponding item in the flow charts below.

### Accident <sup>(1)</sup>

An accident is a separate, identifiable, unintended incident which causes physical injury. Injuries themselves e.g., ‘feeling a sharp twinge’ are not accidents as there must be an identifiable external event that causes the injury. Cumulative exposure to hazards which eventually cause injury (e.g., repetitive lifting) are not classed as accidents under RIDDOR.

### RIDDOR - Work Related <sup>(2)</sup>

For the injury to be reportable to RIDDOR, the injury must arise ‘out of or in connection with work’. Generally, and injury is not reportable if following investigation, there is no evidence of a work-related cause or there is no defect in any of the three key factors.

- the way the work was organised, carried out or supervised.
- any machinery, plant, substances or equipment used for work; and
- the condition of the site or premises where the accident happened. This includes the state and design of floor, paving, stairs and lighting.

If none of these factors are relevant to the incident, it is likely that a report will not be required.

### OSHA - Work Related<sup>(2)</sup>

You must consider an injury or illness to be work-related if an event or exposure in the work environment either caused or contributed to the resulting condition or significantly aggravated a pre-existing injury or illness. Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless a specific exemption in OSHA applies.

### Types of Reportable Injury

#### Fatality<sup>3</sup>

All deaths to workers or non-workers must be reported if they arise from a work-related accident, including an act of physical violence to a worker.

#### Specified Injury<sup>4</sup>

The list of ‘specified injuries’ in RIDDOR 2013 (reg 4) includes:

- a fracture, other than to fingers, thumbs and toes.
- amputation of an arm, hand, finger, thumb, leg, foot or toe.
- permanent loss of sight or reduction of sight.
- crush injuries leading to internal organ damage.
- serious burns (covering >10% of the body, or damaging the eyes, respiratory system or other vital organs).
- scalpings (separation of skin from the head) which require hospital treatment.
- unconsciousness caused by head injury or asphyxia.

any other injury arising from working in an enclosed space, which leads to hypothermia, heat-induced illness or requires resuscitation or admittance to hospital for more than 24 hours.

### **Over Seven Day Injury to Workers<sup>5</sup>**

This is where an employee, or self-employed person, is away from work or unable to perform their normal work duties for more than seven consecutive days (not counting the day of the accident). This includes weekends, holidays, rest days whether or not the person was scheduled to work.

### **Injuries to non-workers<sup>6</sup>**

Work-related accidents involving members of the public or people who are not at work must be reported if a person is injured, and is taken from the scene of the accident to hospital for treatment to that injury.

### **>1-day injury<sup>7</sup>**

This is where a person, is away from work or on restricted duties for more than one day (not counting the day of the accident). This includes weekends, holidays and rest days whether or not the person was scheduled to work.

### **>3-day injury<sup>8</sup>**

This is where a person is away from work or on restricted duties for than three consecutive days (not counting the day of the accident). This includes weekends, holidays and rest days whether or not the person was scheduled to work.

### **Restricted Work<sup>9</sup>**

This is where the greater majority of the core of an individual's allocated tasks or key elements of the tasks cannot be undertaken. A minor injury is not reportable if work is restricted only by virtue of other procedures e.g. minor cut prevents entry into a C2 area.

### **Medical Treatment and First Aid<sup>10</sup>**

This is where treatment is provided on or off site by a healthcare professional other than observation, counselling, diagnostic procedures or first aid.

The definition of First Aid is very specific and only includes the following types of care:

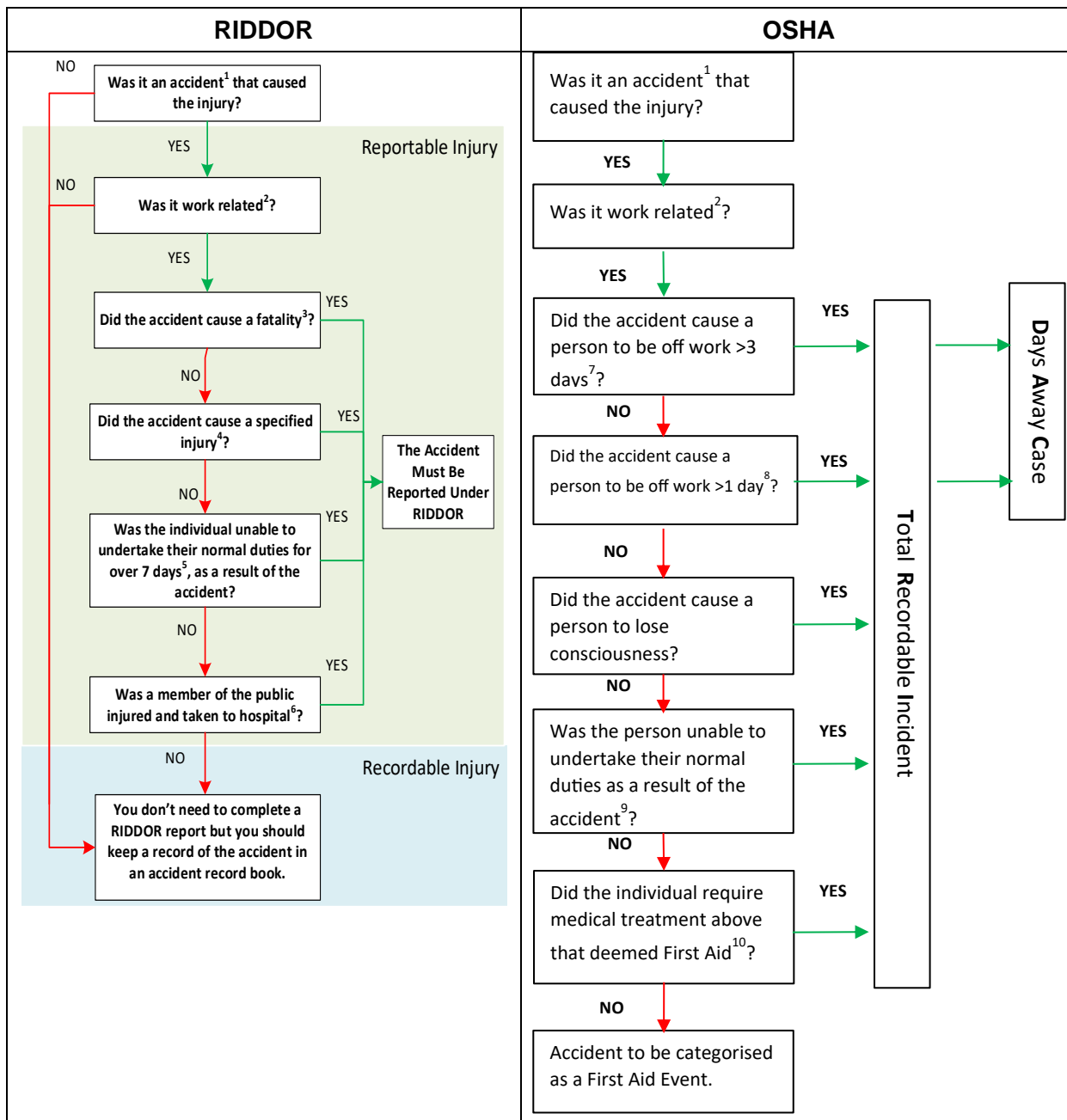
- Using a non-prescription medication at a non-prescription strength.
- Administering tetanus immunisations; cleaning, flushing or soaking of wounds on the surface of the skin.
- Using wound coverings such as bandages, gauze pads, etc.; or using steri-strips.
- Using hot or cold therapy; Drinking fluids for relief of heat stress.
- Removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means.
- Drilling of a 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.
- Using any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc.
- Using finger guards.
- Using massages and Using temporary immobilisation devices while transporting an accident victim.

**Note:** As with other wound closing devices, such as sutures, staples and tapes, the use of medical glue to close a wound is not first aid, and therefore must be considered medical treatment.

### 7. OSHA

Adhering to NDA 'Site Licence Companies Event Sentencing and Reporting Principles and Guideline', Issue 1 September 2012, the work relatedness requirements under RIDDOR i.e. reporting of accidents 'arising in or out of connection with work' will have the same principles applied to OSHA recordable incidents.

### 8. Flow diagrams for RIDDOR and OSHA reporting and recording



## 9. Considerations for Life Event, Work Relatedness and Aggravation of an Existing Injury

### 'Normal Life' Event

Is the accident a 'Normal Life' event? i.e., those events that could have easily happened outside of work and with no direct cause attributed to work activities. Consideration needs to be given as to whether there was anything that the Company could have done to prevent the accident occurring.

**Note:** If unsure whether the event is a 'Normal Life' event and need further advice about categorising it, contact the Head of Profession (Industrial Safety) (HoP(IS)), the EHSSQ Site Inspector, or Head of EHSSQ Standards. All such events must be categorised - using S-495 - as IS99 if it is agreed to be a 'Normal Life' event.

If first aid treatment was given report as First Aid only.

Example	RIDDOR Reportable
An employee was walking from one building to another for a meeting and stepped off a kerb and sustained an injury that caused them to be off work for >7 days. There were no issues associated with the road surface, kerb or footwear etc and the kerb was not presenting an unreasonable trip hazard in a work area.	NO
An employee was walking from one building to another for a meeting and stepped off a kerb and sustained an injury that caused them to be off work for >7 days. The investigation showed that the kerb stone was loose and partially covered by fallen leaves.	YES
An employee slipped in a shower following arduous work and sustained an injury that caused them to be off for >7 days. There were no issues associated with the shower in that it had a non-slip surface and there were no damaged tiles that caused the injury.	NO
An employee slipped in a shower following arduous work and sustained an injury that caused them to be off work for >7 days. The injury was caused by a cut from a damaged tile.	YES
An employee breaks their leg whilst playing football at lunchtime.	NO

### Work Related

Is the injury work related? When considering whether the injury is work related the totality of the job should be considered.

Example	Reportable
An employee twists an ankle. They carried on with their normal routine then took time off two weeks later.	NO
An employee slipped and sustained an injured wrist, reported it at the time, but did not get it x-rayed until two weeks later. It was found to be fractured.	YES (RIDDOR)
An employee slipped, sustained an injured wrist and reported it at the time. One week later, the employee went to their GP and physiotherapy was required.	YES (OSHA)

### Aggravation of a Pre-existing Condition.

When the accident has aggravated a pre-existing injury, consideration needs to be given to:

- whether the pre-existing injury was known by the individual's line manager.
- whether work had been modified to accommodate the known injury.
- whether the aggravation to the pre-existing condition was caused by a single accident or through normal life events.
- whether the individual required treatment for the pre-existing condition prior to and post-accident.

Aggravated pre-existing conditions are discounted if a "normal life" activity led to the aggravation.

Example	OSHA Reportable
Employee aggravated pre-existing injury while undertaking a 'normal life' activity while at work.	NO
Employee aggravated a back injury whilst lifting a large box. There was no lost time and no change to the existing treatment.	NO
Employee aggravated a back injury whilst lifting a large box. No treatment was required before the aggravation; however, following the incident physiotherapy was required.	YES
Employee aggravated a back injury whilst lifting a large box. Employee was off work for 2 days.	YES
Employee aggravated back injury lifting a large box. As a result of the pain, lost consciousness.	YES

## APPENDIX P – SUBMIT A RIDDOR REPORT USING ONR WIRED DUTYHOLDER PORTAL

ONR is the enforcing authority for nuclear site health and safety. Incidents on a nuclear site that are reportable under RIDDOR 2013 will be reported via the [ONR Dutyholder portal](#) which is accessible via the ‘[Notify ONR](#)’ page of ONR’s website and clicking on the “[ONR Dutyholder portal](#)” link within in the “RIDDOR Incident Notification” section - there is no requirement to sign in or register in the portal before submitting a RIDDOR report. **Note:** A Google search for “Notify ONR” should find that page.

Dutyholders are required to notify ONR of the reportable incident by the quickest practicable means without delay. In the event of an emergency, e.g. a fatal accident or an incident necessitating immediate contact with ONR, please call 0151 922 5911 to notify them.

A RIDDOR report is to be submitted to ONR within 10 days of the incident. The ‘within 10 days’ timing is the prescribed limit for making the report in an approved manner.

An Incident Notification Form 1 (INF1) should NOT be used to notify ONR of a relevant RIDDOR incident. If an incident meets the reporting criteria for RIDDOR 2013 and INF1, it should be reported via both routes. ONR’s WIRed Dutyholder portal is the primary route for both. See Appendix B for submitting an INF1.

### 1. Initial Page: Submit a RIDDOR report

Under ‘Submit a RIDDOR report’ select the applicable button (i.e. ‘Yes’ or ‘No’)

Input the code from the image. Check the details you’ve entered are correct before proceeding.

https://onr.powerappsportals.com/riddor/

Home | Apply List-N Status | RIDDOR Report | Search | Sign in

Home > RIDDOR Report

Health and Safety at Work Act 1974;  
The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

0%

**Submit a RIDDOR report**

Did this occur on a site for which ONR is the enforcing authority?  
 No  Yes

2PKBJDM  
[Generate a new image](#)  
[Play the audio code](#)

Enter the code from the image

Next

**Guidance Notes**

This portal should only be used to report incidents that have occurred at sites for which ONR is the enforcing authority for RIDDOR 2013.

For further advice, please contact the Nuclear Site Licensee for the site at which the incident occurred.

This includes:  
 GB Nuclear sites  
 New nuclear build sites  
 Authorised defence sites or any other defence nuclear site

Please see the details of the Sites/Facilities that we regulate for further information

Please note that all information entered will be handled in accordance with our external privacy notice

Click the ‘Next’ button to proceed to next page to provide more information.

## 2. Page 2: Reporter Details

Input the requested information. **WARNING:** Avoid using the autofill function, input the details manually to avoid automated errors occurring. If preferred, when the autofill window appears click the

Home | Apply List-N Status | RIDDOR Report | Sign in

Home > RIDDOR Report

Health and Safety at Work Act 1974;  
The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

11%

### Reporter Details

First name \*

Last name \*

Your Job Title

Contact number \*

Provide a telephone number

Email \*

Previous Next

**Guidance Notes**  
The report should be submitted by the Responsible Person.

For reportable injuries, fatalities or dangerous occurrences, the Responsible Person is:

- For a person at work, a representative of the employer of that person
- For a person not at work, or a self-employed person, or a dangerous occurrence not involving a person, the individual in control of the premises where the reportable incident occurred

For reportable disease diagnosis, the Responsible Person is:

- For a person at work, a representative of the employer of that person
- For a self-employed person, themselves

'X' to close it.

Click the 'Next' button to proceed to next page to provide more information. Or, to click 'Previous' to go back a page.

## 3. Page 3: Reporting Person's Organisation

Click on the green "🔍" button of the search box to open the 'Lookup Records' page where you can type the Company name then click the green "🔍" to search for it. Tick the box beside the correct company name then click 'Select' to choose it. You will be returned to Page 3: 'Reporting Person's Organisation'.

If necessary, use 'Remove Value' to discard the name and start this part of the selection process again.

Home | Apply List-N Status | RIDDOR Report | Sign in

Home > RIDDOR Report

Health and Safety at Work Act 1974;  
The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

22%

### Reporting Person's Organisation

Select your Organisation

My organisation is not listed above

Previous

**Guidance Notes**  
Please select **your** organisation from the drop down-list. If you cannot see your organisation listed, tick 'My Organisation is not listed'. On the next screen you will be asked to provide additional details.

In Page 3: Reporting Person's Organisation, click the 'Next' button to proceed to next page to provide more information. Or, to click 'Previous' to go back a page.

#### 4. **Page 4: Incident Type**

Click your cursor in the 'Select the type of incident' box to choose the appropriate option from those presented.

r.powerappsportals.com/riddor/?stepid=9226d41a-e114-ee11-9cbe-0022481b5048

---

Home | Apply List-N Status | RIDDOR Report | 🔍 | Sign in

---

Home > RIDDOR Report

Health and Safety at Work Act 1974;  
The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013

33%

### Incident Type

Select the type of incident \*

Previous Next

#### Guidance Notes

To check whether an incident is reportable under RIDDOR 2013, please check:

1. The HSE webpage for RIDDOR reporting ([here](#))
2. The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 ([here](#))

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ONR website  
ONR Portal Support  
Privacy & cookies

Copyright  
Disclaimer  
Accessibility

Click the 'Next' button to proceed to next page to provide more information. Or, click 'Previous' to go back a page.

The next page will be presented. Dependent upon which incident type was selected you will be presented with the following pages:

#### 5. Incident Type selected:


**5.1 'Injury':** 'Injury Details' page opens. Click the calendar icon of the 'Date of Diagnosis' box and select the required date.

**Note:** If you've selected 'No' for the 'Did the person die as a result of their injury or injuries?' question you can proceed with providing the other requested information in this page then click 'Next' to progress to the 'Injury to a Worker' page. Move to Step 5.1.1 below and follow this through to Step 5.1.5.

**Note:** If you've selected 'Yes' for the 'Did the person die as a result of their injury or injuries?' question the 'Contact number for the injured person' box will be removed. Therefore, you can proceed with providing the other requested information in this page then click 'Next' to progress to the 'Injury to a Worker' page. Move to Step 5.1.1 below and follow this through to Step 5.1.5.


**5.1.1** In the "Injury to a Worker" page, provide more information, including searching for and selecting the type of Specified Injury, or if not a Specified Injury, tick the small box to confirm that the injury prevented the person from working for 7 days or more.

Click the 'Next' button to proceed to 'Incident details' page to provide more information. Or, to click 'Previous' to go back a page.

**5.1.2** In the “Incident Details” page use the green “” button of the search box to open the ‘Select the incident which occurred’ page where you can select the appropriate option before clicking the ‘Select’ button which will return you to the ‘Incident Details’ page again.

Continue this approach until the required information is provided.

Then click the ‘Next’ button to proceed to the ‘Location of the Incident’ page to provide more information. Or, to click ‘Previous’ to go back a page.

**5.1.3** In the ‘Location of the Incident’ page provide the required information. Use the green “” button of the search box to open the ‘Lookup records’ page and use the search box therein to find the correct site. Click the ‘Select’ button to choose the site and return to the ‘Location of the Incident’ page.

**5.1.4** In the ‘Reporting to ONR’ page select the applicable button (“Yes” or “No”) re: ‘Incident communicated to ONR previously?’. This question relates to whether or not ONR/the ONR Site Inspector has been notified about this RIDDOR incident, e.g. verbally in-person, verbally by telephone, or by email.

If ‘No’ is selected, you can then click ‘Next’ to proceed to the ‘RIDDOR Summary’ page.


If ‘Yes’ is selected it will present more boxes to provide requested information for ONR. When that’s completed click the ‘Next’ button to proceed to the ‘RIDDOR Summary’ page.

**5.1.5** Your report is now populated. Please conduct a final review of the information entered. If you do need to change anything, click ‘Back’ to return to the previous step(s). When ready, click ‘Submit’ to formally share the RIDDOR report with ONR.


**5.1.6** Once submitted, you will receive a confirmation email from WIReD e.g. ‘RIDDOR Report Confirmation’ containing the unique reference number and other date/time details. On the next page, you will be given an opportunity to download a PDF copy of your submitted report.

**5.1.7** If this option is selected ensure the report is actually downloaded. Retain the copy in accordance with your local arrangements/requirements taking due care to protect personal or sensitive information that may be contained in the report.

**5.1.8** If you need to amend the information submitted, please email the ‘onr.incidents@onr.gov.uk’ quoting the unique Incident ID, the date and time of the RIDDOR report, the name of reporting person and the Organisation. This is the advice presented in the automated email issued to the RIDDOR reporting person.

**5.2** **‘Dangerous Occurrence’:** The ‘Incident Details’ page opens. Use the green “” button of the search box to open the ‘Select a Dangerous Occurrence’ page where you can search for or scroll through the options or use the numbered buttons to select pages. Select the appropriate Occurrence before clicking the ‘Select’ button which will return you to the ‘Incident Details’ page again.

Provide the other required information in the ‘Incident Details’ page before clicking the ‘Next’ button to proceed to the ‘Location of the Incident’ page to provide more information. Or, click ‘Previous’ to go back a page.

**5.2.1** In the ‘Location of the Incident’ page provide the required information. Use the green “” button of the search box to open the ‘Lookup records’ page and use the search box therein to find the correct site. Click the ‘Select’ button to choose the site and return to the ‘Location of the Incident’ page.

- 5.2.2** When back to the 'Location of the Incident' page click 'Next' to proceed to the 'Reporting to ONR' page.
- 5.2.3** In the 'Reporting to ONR' page select the applicable button ("Yes" or "No") re: 'Incident communicated to ONR previously?'. This question relates to whether or not ONR/the ONR Site Inspector has been notified about this RIDDOR incident, e.g. verbally in-person, verbally by telephone, or by email.
- If 'No' is selected, you can then click 'Next' to proceed to the 'RIDDOR Summary' page.
- If 'Yes' is selected it will present more boxes to provide requested information for ONR. When that's completed click the 'Next' button to proceed to the 'RIDDOR Summary' page.
- 5.2.4** Your report is now populated. Please conduct a final review of the information entered. If you do need to change anything, click 'Back' to return to the previous step(s). When ready, click 'Submit' to formally share the RIDDOR report with ONR.
- 5.2.5** Once submitted, you will receive a confirmation email from WIReD e.g. 'RIDDOR Report Confirmation' containing the unique reference number and other date/time details. On the next page, you will be given an opportunity to download a PDF copy of your submitted report.
- 5.2.6** If this option is selected ensure the report is actually downloaded. Retain the copy in accordance with your local arrangements/requirements taking due care to protect personal or sensitive information that may be contained in the report.
- 5.2.7** If you need to amend the information submitted, please email the 'onr.incidents@onr.gov.uk' quoting the unique Incident ID, the date and time of the RIDDOR report, the name of reporting person and the Organisation. This is the advice presented in the automated email issued to the RIDDOR reporting person.
- 5.3** **'Disease'**: The 'Disease Details' page opens. Click the calendar icon of the 'Date of Diagnosis' box and select the required date.
- 5.3.1** If 'No' is selected for the 'Did the person die as a result of their exposure to the biological agent?' you can proceed directly to Step 5.3.3 below.
- 5.3.2** If 'Yes' is selected for the 'Did the person die as a result of their exposure to the biological agent?' the 'Select the diagnosed disease' box will be removed. Therefore, proceed to Step 5.3.3.
- 5.3.3** Use the green "🔍" button of the 'Select the diagnosed disease' search box to open the 'Lookup records' page where you can search for or scroll through the options. Select the appropriate one before clicking the 'Select' button which will return you to the 'Disease Details' page again.
- Provide the other required information in the 'Disease Details' page before clicking the 'Next' button to proceed to the 'Reporting to ONR' page to provide more information. Or, click 'Previous' to go back a page.
- 5.3.4** In the 'Reporting to ONR' page select the applicable button ("Yes" or "No") re: 'Incident communicated to ONR previously?'. This question relates to whether or not ONR/the ONR Site Inspector has been notified about this RIDDOR incident, e.g. verbally in-person, verbally by telephone, or by email.
- If 'No' is selected, you can then click 'Next' to proceed to the 'RIDDOR Summary' page.
- If 'Yes' is selected it will present more boxes to provide requested information for ONR. When that's completed click the 'Next' button to proceed to the 'RIDDOR Summary' page.

- 5.3.5** Your report is now populated. Please conduct a final review of the information entered. If you do need to change anything, click 'Back' to return to the previous step(s). When ready, click 'Submit' to formally share the RIDDOR report with ONR.
- 5.3.6** Once submitted, you will receive a confirmation email from WIReD e.g. 'RIDDOR Report Confirmation' containing the unique reference number and other date/time details. On the next page, you will be given an opportunity to download a PDF copy of your submitted report.
- 5.3.7** If this option is selected ensure the report is actually downloaded. Retain the copy in accordance with your local arrangements/requirements taking due care to protect personal or sensitive information that may be contained in the report.
- 5.3.8** If you need to amend the information submitted, please email the 'onr.incidents@onr.gov.uk' quoting the unique Incident ID, the date and time of the RIDDOR report, the name of reporting person and the Organisation. This is the advice presented in the automated email issued to the RIDDOR reporting person.

## APPROVAL SHEET

Approval		
<b>Title:</b> Categorisation and Notification of Events		
<b>Document Number:</b> S-495	<b>Issue No:</b> 8	
<b>Company Area:</b> NRS Centre and NRS Sites Delivery Business Unit		
<b>Document Type:</b> Standard Procedure		
<b>Parent Process:</b> PD-016 Business Improvement		
<b>Author:</b> <b>Colin Hargreaves</b>	Lead Site Inspector	<b>Date:</b> <b>07.10.2024</b>
<b>Verifier:</b> <b>Kelly Masters</b>	Head of Internal Oversight	<b>Date:</b> <b>10.10.2024</b>
<b>Authoriser:</b> <b>Eleri Joyce</b>	Process Owner	<b>Date:</b> <b>21.10.2024</b>