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| ONR Procedure  Process for notifying incidents to ONR |



ONR Procedure

Process for notifying incidents to ONR

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| 1.1 | Minor update to address type relating to FUR template reference number. |
| 1.2 | Minor update to references and syntax inconsistencies. |
| 1.3 | Review date extended to July 2024 |
| 1.4 | Minor update to reflect changes to incident notification email address (section B.3). |
| 2.0 | Major update to reflect the changes relating to RIDDOR incident notification process. |
| 2.1 | Minor update to address typo in Figure 1.  Process Owner role title updated to reflect change in role title. |

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# Introduction

## Purpose

ONR is the UK enforcing authority for legislation related to its five statutory purposes. This legislation places duties on organisations and individuals undertaking relevant activities. Some of these duties include notifying the enforcing authority of incidents. ONR’s notification process gives dutyholders a consistent and transparent mechanism to formally notify ONR of incidents where ONR is the enforcing authority.

This document describes the process for dutyholders to formally notify ONR of incidents. The process aligns with the expectations of IAEA General Safety Requirements (GSR) Part 1, Requirement 21 (ref. [1]) and the Regulators’ Code at ref. [2].

## Scope

This process applies to:

* Dutyholders where ONR is the enforcing authority; and
* Incidents that are relevant to ONR’s statutory purposes as defined in Part 3 of The Energy Act 2013 (TEA13).

This process does not apply to ONR’s regulatory response to incidents. ONR will respond to incidents in accordance with the ONR Enforcement Policy, ref. [3] and the process for processing and reporting of incident notifications, ref. [4].

The process assists dutyholders in identifying incidents that require notification.   
It therefore establishes a consistent approach for dutyholders to communicate information about the incidents to ONR.

The legal framework for notifications that are within the scope of this process are:

* Nuclear Installations Act 1965 (NIA65) - Notification to ONR under a Nuclear Site Licence Condition.
* The Nuclear Installations (Dangerous Occurrences) Regulations 1965.
* The Ionising Radiations Regulations 2017 (IRR17) - Incidents that occur on Nuclear Licensed sites.
* The Nuclear Industries Security Regulations 2003 (NISR) - All relevant incidents.
* The Nuclear Safeguards (EU Exit) Regulations 2019 - All relevant incidents.
* The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009 (CDG) - All relevant incidents involving transport of Class 7 dangerous goods.
* The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 (RIDDOR).

All other government and emergency incident notifications are outside the scope of this process, such as, defence sites’ notifications to the Ministry of Defence (MoD).   
The dutyholder must comply with the relevant legislation and expectations for these aspects.

## Roles and responsibilities

The relevant dutyholders are responsible for following this process to notify ONR of incidents.

ONR is responsible for maintaining this process, confirming receipt of incident notifications and providing advice to dutyholders on understanding, implementing and complying with this process and its guidance.

## Definitions

This document uses the following definitions:

Table 1: Table of definitions

| Term / Acronym | Description |
| --- | --- |
| Abnormal occurrences | 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. |
| BTC | Basic Technical Characteristics |
| CDG | The Carriage of Dangerous Goods and Use of Transportable Pressure Equipment Regulations 2009 |
| COMAH | Control of Major Accidents Hazards |
| Dutyholders | Any individual or corporate body that has a duty under the law and ONR is the enforcing authority for that duty. |
| EASR18 | The Environmental Authorisations (Scotland) Regulations 2018 |
| EDRMS | Electronic Document and Record Management System (Content Manager) |
| EPR 2018 (Amendment) | The Environmental Permitting (England and Wales) (Amendment) Regulations 2018 |
| FUR | Follow-up report |
| IAEA | International Atomic Energy Agency |
| Incident | The subset of abnormal occurrences that meet the criteria defined in this document. |
| INES | The International Nuclear and Radiological Event Scale |
| INF | Incident Notification Form |
| IRR17 | The Ionising Radiations Regulations 2017 |
| LC | Licence Condition |
| MoD | Ministry of Defence |
| NIA65 | Nuclear Installations Act 1965 |
| NISR | The Nuclear Industries Security Regulations 2003 |
| Notify or Notification | The formal communication that a dutyholder sends to ONR in accordance with this process. |
| NS | Nuclear Safety – As identified in [Appendix A](#_Appendix_A:_Incident). |
| RIDDOR | The Reporting of Injuries, Diseases and Dangerous Occurrences Regulations 2013 |
| RS | Radiological Safety – as identified in Incident Notification Criteria Table |
| SC | Security – As identified in [Appendix A](#_Appendix_A:_Incident). |
| SG | Safeguard – As identified in [Appendix A](#_Appendix_A:_Incident). |
| TEA13 | The Energy Act 2013 |
| TS | Transport – As identified in [Appendix A](#_Appendix_A:_Incident). |
| WIReD | Well Informed Regulatory Decisions - is a platform that integrates ONR’s regulatory business processes. |

# Incident notification process

## Process overview

This process enables dutyholders to communicate to ONR the relevant information for incidents they are legally required to notify to ONR. Figure 1 is a diagrammatic representation of the process; with the corresponding subsection number providing details of each step.

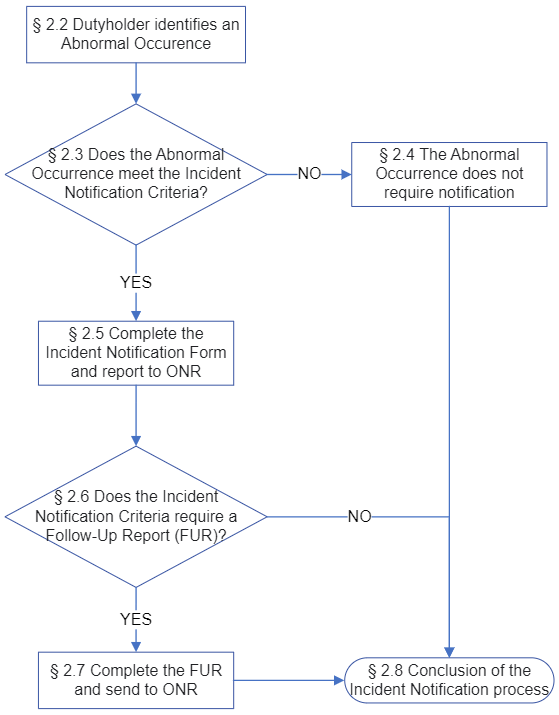


Figure 1: Process for notifying incidents to ONR.

## Identifying an abnormal occurrence

Safety, security, safeguards, transport of radioactive materials legislation[[1]](#footnote-2) and Nuclear Site Health and Safety (RIDDOR 2013) require dutyholders to have arrangements to identify, record and investigate abnormal occurrences. This process is intended to integrate with the dutyholders’ arrangements for such occurrences.

## Categorising abnormal occurrences as notifiable incidents

Notifiable incidents are a sub-set of abnormal occurrences.

The criteria for dutyholders to categorise abnormal occurrences as notifiable incidents are defined in [Appendix A](#_Appendix_A:_Incident). Dutyholders should categorise any abnormal occurrences that meet these criteria as notifiable incidents.

ONR has produced the following additional guidance to help dutyholders implement these criteria in their arrangements for categorising abnormal occurrence:

* ONR-RIO-GD-002 – Nuclear and Radiological Safety Incidents at Nuclear Licenced Sites [5]
* ONR-RIO-GD-003 – Nuclear Security Incidents [6]
* ONR-RIO-GD-004 – Nuclear Safeguards Incidents [7]
* ONR-RIO-GD-005 – Incidents during Transport of Radiological Material [8]
* ONR-RIO-GD-006 – Nuclear Site Health and Safety Incidents [9] (e.g., RIDDOR)

The incident notification categories in [Appendix A](#_Appendix_A:_Incident) define the timescales for dutyholders to complete incident notification (‎Section 2.5).

Where an incident meets the criteria for multiple incident notification categories the dutyholder should apply the timescales from the category with the shortest timescale.

## Abnormal occurrences that are not-notifiable incidents

Dutyholders should not use this process to notify ONR of abnormal occurrences that do not meet the notification criteria in [Appendix A](#_Appendix_A:_Incident). This does not preclude dutyholders from informing ONR, such as contacting the relevant site inspector(s) of these abnormal occurrences outside the scope of this process.

## Incident notification

All incidents should be reported to ONR via the appropriate route[[2]](#footnote-3) below:

* Registered users should **sign in** to the dutyholder portal to submit all incidents.
* Unregistered users should submit RIDDOR incidents to the dutyholder portal.
* Unregistered Transport dutyholder users should continue to submit via the Incident Notification Form (INF1)[[3]](#footnote-4) template, available on [ONR website](https://www.onr.org.uk/notify-onr.htm).

We have published guidance and links to access these [portals on our website](https://onr.powerappsportals.com/SignIn?returnUrl=/).

A unique ‘identification number’ is generated for each incident record.

If an incident meets the criteria of multiple incident notification categories, then the dutyholder should record all of these categories accordingly.

The dutyholder is responsible for the quality of the information supplied to the dutyholder portal and for completing the notification within the timescales defined in [Appendix A](#_Appendix_A:_Incident).

Should the ONR portal not be accessible for any reason, the procedure for completing and sending an INF1 and/or INF3 to ONR are described in [Appendix B](#_Appendix_B:_Fallback).

ONR’s expectations for reporting timescales are described in [Appendix C](#_Appendix_C_–).

## Incident follow-up report (FUR) requirement

Dutyholders should submit a FUR for incidents that have a higher safety, security, safeguards or transport significance. [Appendix A](#_Appendix_A:_Incident) contains the incident reporting categories that require a FUR.

In [Appendix A](#_Appendix_A:_Incident), categories that have identified FUR as “optional” are at the discretion of the relevant ONR inspector. The assumption should be that a FUR is required unless directly informed by the relevant ONR inspector that one is not required.

**Note:** A FUR is not required for RIDDOR incidents.

## Incident FUR notification

The dutyholders should notify ONR of all incidents that require a FUR using the WIReD[[4]](#footnote-5) dutyholder portal. ONR has published guidance and links to access this portal on our [website](https://onr.powerappsportals.com).

[Appendix B](#_Appendix_B:_Fallback) of this document describes the secondary procedure in cases where the WIReD portal is not available. When using this procedure dutyholders can use the ‘FUR Form’, or an alternative format agreed with the relevant ONR inspector.

The dutyholder should complete the FUR notification following the completion of their investigations. The target timescale for completing a FUR notification is 60 calendar days following the date the dutyholder made the initial INF1 notification.

In cases the dutyholder’s investigation has not been completed in 60 calendar days, the dutyholder should seek agreement with the relevant ONR inspector to send an interim FUR(s). The dutyholder should agree the timescales for the final FUR with the inspector.

## Conclusion of incident notification process

The process conclusion means that the dutyholders has completed their formal notification of an incident.

**Note**: ONR’s regulatory response to the incident is outside the scope of this process. This is independent of the incident notification process and may be informed by the notification. This means that a dutyholder completing a formal incident notification may not end ONR’s regulatory response to an incident.

# Process oversight

ONR will monitor dutyholders’ adherence to this process, and where necessary, will engage with dutyholders to provide advice and support improvements.

# Records

ONR’s record of dutyholder notifications is maintained within WIReD. ONR has described these arrangements in ref. [4]. By exception, some documents may be stored in the ONR’s Electronic Document and Record Management System (Content Manager) (EDRMS). In such case, RIO DDS should indicate the relevant record refence in WIReD.

# References

|  |  |
| --- | --- |
| [1] | IAEA, “GSR Part 1 - Govermental, Legal and Regulatory Framework for Safety,” International Atomic Energy Agency (IAEA), Vienna, 2016. |
| [2] | Department for Business Innovation and Skills, “Regulators’ Code,” 2014. |
| [3] | ONR, “ONR-ENF-POL-001 - Enforcement Policy Statement,” 2020. |
| [4] | ONR, “ONR-RIO-PROC-003 - Processing Incident Notifications”. |
| [5] | ONR, “ONR-RIO-GD-002 - Nuclear and Radiological Safety Incidents at Nuclear Licenced Sites”. |
| [6] | ONR, “ONR-RIO-GD-003 - Nuclear Security Incidents”. |
| [7] | ONR, “ONR-RIO-GD-004 - Nuclear Safeguards Incidents”. |
| [8] | ONR, “ONR-RIO-GD-005 - Incidents during Transport of Radiological Material”. |
| [9] | ONR, “ONR-RIO-GD-006 - Nuclear Site Health and Safety Incidents”. |
| [10] | ONR, “ONR-DOC-TEMP-103 - INF1 Template”. |
| [11] | IAEA, “The International Nuclear and Radiological Event Scale User's Manual,” 2009. |
| [12] | ONR, “ONR-DOC-TEMP-350 - Incident Follow Up Report (FUR) Template”. |

# Appendix A – Incident notification criteria

| **ONR Category** | **Notification Criteria** | **Timing** | **FUR** |
| --- | --- | --- | --- |
| **Incidents attracting Media Attention** | | | |
| AN01 | Events likely to attract, or that have attracted, **significant media or public attention**. | Immediate | Yes |
| **Nuclear Safety** | | | |
| NS01 | 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. | Immediate | Yes |
| NS02 | Any uncontrolled criticality excursion. | Immediate | Yes |
| NS03 | Any incident that meets either of these criteria:   1. 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)   **OR**   1. 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).   **AND**  the overall impact means that an adequate safety case to continue operations cannot be made. | Immediate | Yes |
| NS04 | 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. | Immediate | Yes |
| NS05 | Any operation or condition of plant that is prohibited by operational limits and conditions or operating rules. | Day | Yes |
| NS06 | Any uncontrolled or unplanned reactivity excursion. | Day | Yes |
| NS07 | 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. | Day | Yes |
| NS08 | 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. | Week | Yes |
| NS09 | Any event or abnormal condition that resulted in the manual or automatic operation of a protection system or other engineered safety features thereby challenging safety systems. | Week | Yes |
| NS10 | A fire or other internal hazard that posed an actual threat to safety of the nuclear installation or that significantly distracted site personnel in the performance of duties necessary for safe operation. | Week | Yes |
| NS11 | 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. | Week | Yes |
| NS12 | 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. | Week | Yes |
| NS13 | Any natural phenomenon or other external condition 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. | Week | Yes |
| NS14 | Any fault or mal-operation of lifting equipment that had or may have had a significant effect on nuclear safety. | Week | Yes |
| NS15 | If a Duly Authorised Person appointed under Licence Condition 12 is prevented by the licensee from continuing to act in that capacity. | Week | Yes |
| NS16 | Any event or occurrence that could significantly compromise the effectiveness of the arrangements for emergency preparedness and response on the site. | Week | Yes |
| NS17 | If it is intended to reject, in whole or in part, any advice given by a Nuclear Safety Committee to a licensee. | Week | Yes |
| **Radiological Safety** | | | |
| RS01 | 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. | Immediate | Yes |
| RS02 | Abnormal occurrences leading to a radioactive substance which has been:  (a) released or is likely to have been released into the atmosphere as a gas, aerosol or dust;  (b) spilled or otherwise released in such a manner as to give rise to significant contamination; and  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 Environmental Permitting (England and Wales) (Amendment) Regulations 2018 (EPR 2018) or The Environmental Authorisations (Scotland) Regulations 2018 (EASR18). | Immediate | Yes |
| RS03 | 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. | Immediate | Yes |
| RS04 | 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 quantities set out in Column 5 of Part 1 of Schedule 7 to the IRR17. | Day | Yes |
| RS05 | A confirmed breach of, or discharge expected to breach quantitative limits of a Certificate of Authorisation for the disposal of radioactive waste issued under the EPR 2018 or EASR18. | Day | Yes |
| RS06 | An incident or occurrence that leads to a person receiving an unexpected effective dose either from external dose exposure, or internal dose exposure due to an intake of radioactive material, or both exposure pathways that exceeds 1 mSv. | Week | Yes |
| RS07 | Discovery outside a controlled area boundary of radiation or contamination, including contamination on equipment, clothing or skin, significantly above that permitted by the local arrangements. | Week | Yes |
| RS08 | Confirmed exposure to radiation of any individual which exceeds or is suspected to exceed, the dose limits specified in the IRR17. | Immediate | Yes |
| RS09 | 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). | Day | Yes |
| RS10 | Where assessment confirms that the average effective dose to specified classes of persons exceeds the level ONR has Specified under LC 18 (1). | Day | Yes |
| RS11 | An occurrence whereby exposure of any individual worker is confirmed to have received an effective dose that exceeds or is likely to exceed 1 mSv above that estimated for the task. | Week | Yes |
| RS12 | An occurrence where an individual receives an emergency exposure as defined by REPPIR 2019, Regulation 18 (1). | Week | Yes |
| RS13 | 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 IRR17 and which was under an employer’s control is lost or has been stolen. | Day | Yes |
| RS14 | Any event where radioactive material or waste was inadvertently brought onto or transported off the licensed site. | Day | Yes |
| **Nuclear Security** | | | |
| SC10a | Any unauthorised incursion on to the premises or any attempted or suspected such incursion. | Immediate | Yes |
| SC10b | Any incident occurring on the premises involving an explosive or incendiary device or suspected such device, or a firearm or replica firearm. | Immediate | Yes |
| SC 10c | 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). | Immediate | Optional[[5]](#footnote-6) |
| SC10d | 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). | Immediate | Yes |
| SC10e | Any theft or attempted theft, or any loss or suspected loss, or any unauthorised movement:  of any nuclear material used or stored on the premises or in transit to or from them, or  in the case of premises which are or form part of a nuclear site, of any other radioactive material used or stored on them. | Immediate | Yes |
| SC10f | 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. | Immediate | Yes |
| SC10g | Any unauthorised access to any sensitive nuclear information kept on the premises, or any attempt to gain such access. | Immediate | Optional |
| SC10h | Any threat to do anything which would fall within any of the above criteria 10 a-g. | Immediate | Optional |
| SC10i | Any failure to comply with any of the standards, procedures and arrangements described in the approved security plan for the premises or in any approved temporary security plan to which for the time being they are subject. | Immediate | Optional |
| SC10j | Any other event or matter which might affect the security of the premises, or the material, equipment or information mentioned in regulation 4(2). | Immediate | Optional |
| SC18 | An approved carrier must report to the Secretary of State any event or matter of a kind specified in the NISR. | Immediate | Optional |
| SC22a | Any theft or attempted theft, or any loss or unauthorised disclosure, of sensitive nuclear  information or any suspected such theft, loss or disclosure. | Immediate | Yes |
| SC22b | Any unauthorised access to sensitive nuclear information or any attempt to gain such access. | Immediate | Optional |
| SC22c | Any other event or matter which might affect the security of any sensitive nuclear information. | Immediate | Optional |
| **Nuclear Safeguards** | | | |
| SG01a | An event affecting IAEA safeguards arrangements:   1. IAEA Safeguards personnel’s Health and Safety   **OR**   1. IAEA Safeguards personnel’s Access to a location is denied or restricted in contravention of international agreements.   **OR**   1. 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. | Immediate | Yes |
| SG01b | A safeguards incident that meets any of the following criteria:   1. A discrepancy involving 1 significant quantity or more of qualifying nuclear material resulting from material unaccounted for (MUF), or shipper-receiver differences (SRD). 2. Failure to locate a discrete ‘item’ containing qualifying nuclear material as it is reported in the operator’s nuclear material accountancy system. | Immediate | Yes |
| SG02 | It is believed that there has been, or might be, an unexpected loss or gain of qualifying nuclear material | Day | Yes |
| SG03 | Information that qualifying nuclear material shipped by, or to the operator has been or may have been lost or considerably delayed during transfer | Day | Yes |
| SG04 | An 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. | Day | Yes |
| SG05 | 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 (Week) | Week | Yes |
| SG06 | Statutory nuclear material accounting reports not being issued or at risk of not being issued to timescales required under the Nuclear Safeguards (EU Exit) Regulations 2019. | Day | Yes |
| SG07 | 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 | Day | Yes |
| SG08 | Changes affecting the annual Programme of Activities declared to ONR that are assessed as having significant implications for compliance with safeguards obligations | Week | Yes |
| SG09 | 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 | Week | Yes |
| **Transport of Radiological Material** | | | |
| TS01 | A radiation emergency: a situation arising during the course of the carriage of a consignment of class 7 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  **OR**  Any occurrence during the carriage of nuclear material, causing or likely to cause death, or serious injury to persons by reason of the radioactive properties of such nuclear matter. | Immediate | Yes |
| TS02 | Theft (actual or attempted) or loss (permanent or temporarily) of the class 7 goods in carriage | Immediate | Yes |
| TS03 | Emergency arrangements have been initiated in relation to class 7 goods even if, in the event, no intervention was made pursuant to those arrangements | Immediate | Yes |
| TS04 | An occurrence during loading, carriage or unloading of class 7 goods involving:   1. Any release of radioactive material from the packages, or from the conveyance if being transported unpackaged, or 2. 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”) | Immediate | Yes |
| TS05 | 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 | Immediate | Yes |
| TS06 | An occurrence where class 7 goods have been transported with any non-compliance regarding radiation or contamination levels (see notes) | Day | Yes |
| TS07 | Where class 7 goods have not been transported in full compliance with any appropriate specification or regulation, except as otherwise covered by TS05 or TS06 | Week | Yes |
| TS08 | A safety significant abnormaloccurrence which has taken place during the loading, filling, carriage or unloading of class 7 goods, provided it did not lead to a transport in breach of relevant statutory provisions, package specification or handling instructions. | Month | Optional |
| TS09 | The discovery of radioactive material in a shipment believed to be non-radioactive | Month | Optional |
| **Nuclear Site Health & Safety (RIDDOR)** | | | |
| HS01 | Any injury defined in RIDDOR 2013 Regulations 4, 5 or 6 at a site where ONR is the enforcing authority. | 10 Days | Optional |
| HS02 | Any disease defined in RIDDOR 2013 Regulations 6, 8 or 9 at a site where ONR is the enforcing authority. | Refer to [RIDDOR 2013 Schedule 1](https://www.hse.gov.uk/riddor/when-do-i-report.htm#:~:text=NB%3A%20A%20report%20must%20be,using%20the%20appropriate%20online%20form.) | Optional |
| HS03 | Any dangerous occurrence defined in RIDDOR 2013 Regulations 7 and Schedule 2 at a site where ONR is the enforcing authority. | 10 Days | Optional |

# Appendix B – Fallback procedure for completing and sending incident notifications to ONR

Dutyholders should primarily use the ONR portal[[6]](#footnote-7) to notify ONR of incidents.

The procedure in this appendix provides an alternative means should the WIReD dutyholder portal not be available.

## B.1 INF1 notifications

The [INF1 template](https://www.onr.org.uk/operational/inspection/onr-incident-notification-form-inf1.doc) [10] contains the relevant fields that the dutyholder should complete. This templates captures the following information:

* The date, time and location that incident occurred.
* A description of the incident that explains what occurred and what was impacted.
* All incident notification categories that apply to the incident and explanation of their applicability.
* Where applicable, a provisional INES rating and a justification that is proportionate the incident’s significance [11].
* The dutyholder’s perspective of the significance of the incident (minor, moderate or major).
* The actual safety, security or safeguards consequences of the incident.
* The potential safety, security or safeguards consequences of the incident.
* The potential safety, security or safeguards impact on other operations or other installations.
* The dutyholders’ mitigating actions in response to the incident and anticipated future actions.
* Additional notifications to external parties, including emergency services, government departments, other relevant regulators and media.

Any description of the safety, security or safeguards consequences of an incident should be relevant to the incident category and ONR’s responsibility for regulating the activity. For example, defence sites should not describe the security or safeguards aspects.

The information provided by the dutyholder will then be uploaded to WIReD by ONR, as appropriate. The dutyholder should therefore not report this incident when the portal becomes available. ONR will notify the dutyholder that incident has been recorded within ONR, and provide an incident notification number.

## B.2 INF3 notifications

In the absence of ONR’s dutyholder portal, the dutyholder should ensure that any notifiable RIDDOR incident is communicated to ONR at the earliest opportunity.   
This communication should clearly include:

* The reporting organisation and details of the reponsible person.
* The date, time and location of the Injury or Dangerous Occurrence.
* A brief description of the incident that explains what occurred and what was impacted. This should reflect the expectation of the RIDDOR 2013.
* In respect of an incident injuring a person at work, that person’s

(a) full name;

(b) occupation;

(c) injury.

* In respect of an incident injuring a person not at work, that person’s

(a) full name;

(b) status (for example “passenger”, “customer”, “visitor” or “bystander”); and

(c) injury,

unless these are not known and it is not reasonably practicable to ascertain them.

* The date on which the incident or dangerous occurrence was first notified or reported to the relevant enforcing authority.
* The method by which the incident or dangerous occurrence was first notified or reported.
* The dutyholders’ mitigating actions in response to the incident and anticipated future actions.
* Additional notifications to external parties, including emergency services, government departments, other relevant regulators and media.

The information provided by the dutyholder will then be uploaded to WIReD by ONR, as appropriate. ONR will notify the dutyholder that incident has been recorded within ONR, and provide an incident idntification number. ONR may ask for additional information to ensure quality of data being made available.

**Note:** For reporting Diseases, the dutyholder should report these incidents at the earilest opportunity, once the duthyholder portal becomes available.

The dutyholder should therefore not report this incident when the portal becomes available.

## B.3 FUR notifications

[The FUR template](https://how2.prod.onr.gov.uk/CtrlWebIsapi.dll/ECFBA4B8F0B140F9B9B68C6FD873AE8F.cwl?__id=webFile.save&doc=7BDE0CDF194742E78A89CEB0C46E49A4&dpt=1&save=1) [12] contains the relevant fields that the dutyholder should complete. This template is optional, and dutyholders can use a different form for the FUR with the agreement of an ONR inspector. The dutyholder should ensure that this FUR clearly includes:

* A detailed description of the incident, actual or potential safety, security or safeguards impact, corrective actions and lessons learned.
* Any changes, with explanation, to the incident categories or INES rating
* Where available, lessons learned for other operators or facilities and how they have been or will be disseminated.
* Additional notification to external parties, including emergency services, government departments, other regulators and media.

To avoid producing detailed FUR to contain this information, dutyholders can append relevant supporting references such as press releases, learning reports or internal investigation reports.

The dutyholder may use the FUR template for an interim FUR. This should clearly explain why the dutyholder has provided an interim FUR, the timescales for the final FUR and areas of information that the final FUR will provide.

## B.4 Notification route

The focal point for registered users for incident reporting and notification is via ONR’s [dutyholder portal](https://onr.powerappsportals.com/).

For non-registered users, RIDDOR incidents should be reported using RIDDOR Portal.

For non-registered transport dutyholders, incidents should be reported to ONR via [INF1 template](https://view.officeapps.live.com/op/view.aspx?src=https%3A%2F%2Fwww.onr.org.uk%2Foperational%2Finspection%2Fonr-incident-notification-form-inf1.doc&wdOrigin=BROWSELINK) available on ONR webpage.

[ONR.Incidents@onr.gov.uk](mailto:ONR.Incidents@onr.gov.uk) remains available as an alternative, back-up notification route, if the ONR dutyholder portal is unavailable.

# Appendix C – ONR expectations for reporting timescales

The Appendix A timescales for the dutyholder to complete the INF1 notification apply from the time when the dutyholder confirms that the incident category applies.   
The definitions of the timescales for these notifications are:

* **Immediate:** As soon as practicable after the incident categorisation. For all incidents with a Nuclear Security Incident Category, NISR requires notification as soon as practicable and within 24 hours after the incident categorisation.
* **Day:** The end of the working day after the incident categorisation.
* **Week:** Within seven calendar days from the incident categorisation.
* **10 Days**: This is ten days from the incident
* **Month:** Within twenty eight calendar days from the incident categorisation.

ONR will confirm receipt of all INF1 or FUR notifications. This will include the unique INF reference number. Dutyholders should contact ONR when they do not receive this confirmation within five working days.

1. NIA65 (C57) and The Nuclear Installations (Dangerous Occurrences) Regulations 1965 (c1824) [↑](#footnote-ref-2)
2. The ONR portal covers; Registered and non-registered portal users. [↑](#footnote-ref-3)
3. INF1 captures Safety, Security, Safeguards and Transport incident notifications.

   INF3 captures RIDDOR incident notifications. [↑](#footnote-ref-4)
4. Well Informed Regulatory Decisions (WIReD) is a platform that integrates ONR’s regulatory business processes. [↑](#footnote-ref-5)
5. All uses of optional in this table are at the discretion of the ONR Inspector. [↑](#footnote-ref-6)
6. This is applicable to both registered and public access users of the ONR portal. [↑](#footnote-ref-7)