



Reporting Requirements **Reporting Requirements for Nuclear Power Plants**

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Reporting Requirements for Nuclear Power Plants

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Preface

This regulatory document is part of the CNSC’s reporting requirements series of regulatory documents, which also covers reporting requirements for facilities such as uranium mines and mills, non-power reactors, waste nuclear substance licensees, Class II facilities, and users of prescribed equipment, nuclear substances and radiation devices. The full list of regulatory document series is included at the end of this document and can also be found on the [CNSC’s website](#).

Regulatory document REGDOC-3.1.1, *Reporting Requirements for Nuclear Power Plants*, consolidates and clarifies requirements found in the *Nuclear Safety and Control Act* (NSCA) and regulations made under the NSCA. It sets out additional specific reporting provisions that relate to the purposes of the NSCA and regulations made under the NSCA. It also provides guidance for reports and notifications that licensees must submit to the Commission.

Applicants and licensees should refer to the guidance contained in this regulatory document for additional information on requirements and for direction on how to meet them.

This document is the third version (and supersedes REGDOC-3.1.1, *Reporting Requirements for Nuclear Power Plants*, Version 2 published in April 2016). Version 3 of this document includes the following revisions as well as other minor changes:

- clarifies certain terms and key concepts
- repackages information reported through annual and quarterly reports to create efficiencies or respond to new regulatory requirements
- includes a retraction process for reported events
- introduces requirements related to cyber security and other security reporting
- removes references to all “Other Scheduled Specific Periodic Reports”

A document that shows the changes made to REGDOC-3.1.1, *Reporting Requirements for Nuclear Power Plants*, Version 2 is available from the CNSC upon request.

This document is focused on reporting requirements for CANDU nuclear power plants but high-level concepts within it may apply to other technologies. Requirements found in this regulatory document may be applied in a graded manner to all lifecycle phases for nuclear power plants. For information on the implementation of regulatory documents and on the graded approach, see REGDOC-3.5.3, *Regulatory Fundamentals*.

The words “shall” and “must” are used to express requirements to be satisfied by the licensee or licence applicant. “Should” is used to express guidance or that which is advised. “May” is used to express an option or that which is advised or permissible within the limits of this regulatory document. “Can” is used to express possibility or capability.

Nothing contained in this document is to be construed as relieving any licensee from any other pertinent requirements. It is the licensee’s responsibility to identify and comply with all applicable regulations and licence conditions.

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Reporting Requirements: Nuclear Power Plants

1. Introduction

1.1 Purpose

This regulatory document consolidates the requirements and guidance of the Canadian Nuclear Safety Commission (CNSC) for reports, notifications and filing of specific records to the CNSC by licensees of nuclear power plants (NPPs), as well as the applicable timeframes for reporting.

Licensees are required to report to or notify the CNSC of situations, events, or dangerous occurrences that may require short-term action by the CNSC.

They are also required to submit or file other reports, notifications or specific records including routine scheduled reports on various topics such as certain normal business activities that are required for action by the CNSC, or are required for longer-term compliance monitoring.

1.2 Scope

This regulatory document consolidates and clarifies requirements found in the *Nuclear Safety and Control Act* (NSCA) and the regulations made under the NSCA for reporting, including requirements for content and timing of reports. It sets out additional specific reporting provisions that relate to the purpose of the NSCA and regulations made under the NSCA. Additionally, it provides guidance on the interpretation and scope of application of these requirements, in the context of nuclear power plants.

Note: The term “reporting” is used in this regulatory document as a general term to cover any of the actions below:

- to report or notify of situations or events
- to submit or file other reports or notifications
- to submit specific records, including routine scheduled reports

This regulatory document applies to licensees of operating nuclear power plants. Other licensees should consult, as appropriate, either:

- [REGDOC-3.1.2, Reporting Requirements: Non-Power Reactor Class I Facilities and Uranium Mines and Mills](#) [1]
- [REGDOC-3.1.3, Reporting Requirements for Waste Nuclear Substance Licensees, Class II Nuclear Facilities and Users of Prescribed Equipment, Nuclear Substances and Radiation Devices](#) [2]

Nothing contained in this document is to be construed as relieving any licensee from any other pertinent requirements. It is the licensee’s responsibility to identify and comply with all applicable regulations and licence conditions.

1.3 Relevant legislation

The following provisions of the [Nuclear Safety and Control Act](#) (NSCA) and the regulations made under it are relevant to this document:

- NSCA
 - subsection 24(5)
 - paragraph 27(b)
 - section 44
 - section 45
- [General Nuclear Safety and Control Regulations](#) (GNSCR)
 - subsection 9(4)
 - section 15
 - section 28
 - section 29
 - section 30
 - section 31
 - section 32
- [Class I Nuclear Facilities Regulations](#)
 - subparagraphs 6(k)(ii) and (iii)
- [Class II Nuclear Facilities and Prescribed Equipment Regulations](#)
 - subsection 17(1)
 - paragraph 19 (2) (d)
- [Radiation Protection Regulations](#)
 - paragraph 6(2)(c)
 - paragraph 16(a)
 - paragraph 16(e)
- [Nuclear Security Regulations](#)
 - subsection 7.5(4)
 - section 21
 - subsection 36(3)
 - subsection 44(2)
- [Nuclear Substances and Radiation Devices Regulations](#) (NSRDR)
 - subsection 18(3)
 - subsection 30(2)
 - section 38
- [Packaging and Transport of Nuclear Substances Regulations, 2015](#) (PTNSR, 2015)
 - paragraphs 32(a) and (d)
 - subsection 36(2)
 - section 37
 - section 38
 - section 40
 - section 41

2. Reporting Requirements

The following reporting requirements apply to NPPs:

1. the licensee shall manage requirements for reporting to the CNSC under this regulatory document, in conjunction with other reporting requirements specified in the NSCA, the regulations and the licence
2. all reports filed by the licensee according to this regulatory document shall contain the address of the sender of the report and the date of completion of the report

3. the licensee shall mark all reports made or filed under this regulatory document with an appropriate protection and classification and shall file reports under the appropriate security precautions

4. after becoming aware of a situation, event, dangerous occurrence or a specific reporting provision, the licensee shall file a report or notification according to the requirements and timeframes specified in Appendix A

Note: For attempted or actual breaches of cyber essential assets, the licensee should also use the significance system described in CSA N290.7, *Cyber security for nuclear power plants and small reactor facilities* [3], to determine the significance of the event.

5. the licensee shall use a safety significance classification process as documented in its management system to determine the safety significance for reports

6. the licensee shall classify all structures, systems and components (SSCs) using a safety classification method. For reporting, SSCs that are identified as important to safety shall include the following:

- safety systems
- complementary design features
- safety support systems
- other SSCs whose failure may lead to safety concerns (e.g., process and control systems)

7. an event report that must be submitted immediately may be made orally or filed in writing; if an event report is made orally, it shall be followed by a written event report within seven days of the oral event report submission

Note: This requirement does not apply to reports made under paragraph 32(d) of the PTNSR, 2015.

8. the licensee shall file scheduled reports with the CNSC at the following frequencies:

- a. quarterly reports are due 90 days after the end of each quarter, which occur annually on March 31, June 30, September 30 and December 31
 - b. annual reports are due on May 1, after the end of the calendar year, with the exception of the report on research and development, which is due July 1, after the end of the calendar year
 - c. annual compliance reports for Class II facilities and nuclear substances and radiation devices from the previous calendar year are due on March 31
9. for any extensions to scheduled report due dates, the licensee shall inform the CNSC prior to the due date for the scheduled report and shall provide a proposed submission date

Guidance

The NSCA and the regulations state that reports are submitted to “the Commission.” In terms of submitting reports and notifications, “the Commission” is understood to be “CNSC staff.” The licensee should contact their CNSC point of contact to determine details for submitting any particular report.

Licensees should use the reporting provisions of Appendix A that best correspond to the reported situation(s) or event(s).

Appendix A provides a list of situations and events to be reported regardless of their safety significance level as determined by the licensee’s safety significance classification process.

Throughout this document, all days are calendar days in accordance with the [Interpretation Act](#).

In item 2, the “sender of the report” should always be a designated representative of the licensee.

In item 7, the term “immediately” means when the licensee becomes aware of the situation or event and initiates any required response actions, such as alerting the staff of the nuclear power plant, or alerting any municipal or provincial authorities who are responsible for responding to the situation or event (but for a dangerous occurrence, after the obligations listed in subsection 36(1) of the PTNSR, 2015 have been met). This term is also considered to mean the next action undertaken after taking necessary actions to protect life or stabilize hazardous situations. Oral reports may be made to the duty officer.

In item 9, if the proposed due date is problematic for the CNSC, the CNSC will respond to the licensee accordingly. The licensee should submit the rationale for the extension.

The licensee should make all reasonable efforts to obtain timely and validated information when reporting to the CNSC. For event reports, in situations or events that have not attained stability and predictability, timeliness shall be prioritized over the availability of data and/or information.

The licensee may submit a request for retraction (see section 4.4) if, after further investigation, the licensee believes a situation, event, or dangerous occurrence was not reportable, or a specific reporting provision did not apply.

A situation or event that triggers multiple reporting provisions may be amalgamated into a single event report at the discretion of the licensee. The licensee should provide rationale for submitting a single event report.

Subsequent similar or additional reportable events associated with, or as a consequence of, a previously reported event do not require separate event reports. For example, reporting provision 11(b), in Appendix A, requires licensees to report all unplanned power reductions. A licensee reports a power reduction resulting from a problem with liquid zone (LZ) control. Until LZ control is fixed, all subsequent power reductions associated with the LZ problem originally reported do not require individual reporting.

Licensees should use the situation or event reporting according to this regulatory document as an input to their public disclosure protocol as described by REGDOC-3.2.1, *Public Information and Disclosure* [4].

3. Scheduled Reporting

Licensees shall submit the following scheduled reports:

- [3.1 Quarterly report on safety performance indicators](#)
- [3.2 Quarterly report on NPP pressure boundaries](#)
- [3.3 Quarterly report on NPP personnel](#)
- [3.4 Quarterly report on operational security](#)
- [3.5 Annual report on radiation protection](#)
- [3.6 Annual report on environmental protection](#)
- [3.7 Annual report on research and development](#)
- [3.8 Annual report on risk and reliability](#)
- [3.9 Annual report on fuel monitoring and inspection](#)

- [3.10 Annual compliance reports for Class II nuclear facilities and for nuclear substances and radiation devices](#)

Details on each scheduled report are provided below.

3.1 Quarterly report on safety performance indicators

The safety performance indicator (SPI) reports shall be submitted on a quarterly basis. These reports shall be based on the specifications for each safety performance indicator and shall contain the information listed in the data sheet. See Appendix B for a list of the SPIs. The specifications and data sheets are provided on the CNSC website.

Guidance

If there is an apparent change in SPI results, the licensee should provide a brief explanation in the additional details section of the data sheet.

3.2 Quarterly report on nuclear power plant pressure boundaries

The NPP pressure boundary report shall be submitted on a quarterly basis. It shall include all Class 1-6 pressure boundary systems in accordance with CSA N285.0, *General requirements for pressure-retaining systems and components in CANDU nuclear power plants/Material standards for reactor components for CANDU nuclear power plants* [5], for the purposes of reporting on pressure boundaries and pressure boundary degradations.

The report shall contain the following information:

1. a brief description of any occurrence of a pressure boundary deformation or crack, including:
 - the date of discovery
 - the magnitude of the deformation or crack
 - the associated circumstances, causes, and consequences (or potential consequences)
 - all mitigating actions
2. a brief description of any occurrence of a leak in a pressure boundary, where the leak did not exceed any relevant limit specified in a licensing document, including:
 - the date of discovery
 - the magnitude of the leak
 - the associated circumstances, causes, and consequences (or potential consequences)
 - all mitigating actions
3. a brief description of the occurrence of any degradation or fault of a pressure relief device operating, including:
 - the date of discovery of the degradation or fault
 - the associated circumstances, causes, and consequences (or potential consequences)
 - all mitigating actions

4. a brief description of the occurrence of any pressure relief device that fails its test, including:
 - the date of test failure
 - the associated circumstances, causes, and consequences (or potential consequences)
 - all mitigating actions
5. any supporting information relevant to the descriptions in items 1, 2, 3 and 4 above.

Guidance

For consequences (or potential consequences) related to items 1-4, provide details of the impact (or potential impacts) on the system resulting from the events reported. For example, if the as-found lift pressure of a pressure relief device during testing is measured above the set pressure for the device, describe how the system could have been impacted if the pressure device had lifted at the as-found lift pressure, instead of the correct set pressure.

Class 6 systems that satisfy the exemption criteria of CSA N285.0-17, *General requirements for pressure-retaining systems and components in CANDU nuclear power plants/Material Standards for reactor components for CANDU nuclear power plants* [5], section 5.2.4.2 may be excluded.

3.3 Quarterly report on nuclear power plant personnel

The report on the performance of NPP personnel shall be submitted on a quarterly basis and shall contain the following information:

1. a list of the names of all persons holding a CNSC certification at the NPP during the quarter
2. for certified shift workers, the number of shifts worked in the quarter in each position requiring CNSC certification, the reasons for not working the minimum shifts required and a description of any associated remedial actions
3. the names and dates of any certified shift worker assigned to a temporary position in excess of six months, the title or description of the temporary position, the start date and duration of each temporary assignment and whether the assignment is operationally or non-operationally focused
4. the names and dates of any certified persons whose employment with the licensee's organization ceased during the quarter
5. a list of occurrences where the limits to hours of work or recovery have not been met, for staff in safety-sensitive positions at the NPP
6. a summary of simulator fidelity and system health issues including visible errors, outstanding work orders and corrective and preventative maintenance backlog, identified by priority, along with recovery plans and target dates of completion
7. for the final report of the calendar year:
 - a. a complete and accurate organizational arrangement identifying each individual functional unit together with staffing numbers, staff job titles and a summary of the organizational changes, including responsibilities and reporting, that is current and consistent with the changes as of December 31
 - b. a rolling five-year staffing profile of certified workers that includes the number:
 - i. available at the beginning of the year
 - ii. newly certified
 - iii. lost to attrition and promotion
 - iv. assigned to shift and day support assignments
 - v. available at year end

- vi. of new trainees who have started the “General Training” course
- c. the pass/fail rate on personnel certification examinations and requalification tests
- d. the results of alcohol and drug testing, including the following:
 - i. the random testing rate achieved
 - ii. all drugs for which testing is conducted and cut-off concentrations by specimen type (i.e., urine or oral fluid), including results of tests using lower cut-off concentrations and any special analyses of dilute specimens
 - iii. number of tests administered and results of those tests sorted by workgroup tested and testing circumstances (i.e., pre-placement applicant, pre-placement transfer, reasonable grounds, post-incident, return to work, follow-up and random)
 - iv. alcohol or drugs identified in verified positive tests by specimen type (i.e., breath, urine, oral fluid)
 - v. number of subversion attempts by type (e.g., refusal to test, adulteration, dilution, substitution)

Guidance

Item 4 applies to any situation that could potentially cause cessation of an employee certification, including:

- certified workers who are retiring
- certified workers who are moving permanently to another position within the licensee’s organization
- certified workers who are ending a contract
- certified workers who are changing contracts

For item 5:

- the licensee may submit copies of the report(s) prepared for other governing and regulatory bodies
- for a list of occurrences of non-compliance with the limits on hours of work and recovery periods, licensees should refer to Appendix A of REGDOC-2.2.4, *Fitness for Duty: Managing Worker Fatigue* [6]
- each description of an occurrence of non-compliance should include the date and extent of the item of non-compliance, name or unique identifier position title(s) of the worker involved, the reason for the occurrence of non-compliance and, if applicable, measures implemented to reduce fatigue or the risk of fatigue-related errors

For item 7a:

- the organizational arrangement can be in prose or pictorial form (e.g., traditional organizational chart) It should include:
 - the make-up of the functional units that conduct activities under the licence in accordance with the licensing basis, and identify the individual functional units, down to the lowest sub-unit level
 - the roles, responsibilities and reporting relationships of each functional unit and sub-unit
- the organizational arrangement should describe the functional positions, irrespective of the employment status of the individuals holding these positions, i.e., permanent, temporary or contract

3.4 Quarterly report on operational security

The operational security report shall be submitted on a quarterly basis. It shall contain the following information:

1. a brief description of situations or events at the NPP that had or could have had security-related implications or consequences and that were not reported under an event report
2. a summary of the significant results observed from security-related exercises and drills that were carried out at the NPP
3. a description of revisions to security-related emergency procedures
4. where completed, the significant results of the licensee's annual review of the security-related emergency procedures for the NPP, including arrangements with the emergency response force
5. a brief description of the circumstances and causes of failures or impairment of the security structures, systems, components or devices of the NPP. This includes faults, combinations of faults, situations or events that prevented the security structures, systems, components or devices from meeting their defined specifications and that were not reported under an event report
6. a description of mitigating measures that were not reported under an event report but were taken when security structures, systems, components or devices of the NPP failed to meet their defined specifications
7. a description of any changes to the security report
8. for cyber security, include:
 - a. a summary of any review of the cyber security program or its elements, including the cyber security architecture and controls
 - b. a summary of cyber security program performance
 - c. a summary of any cyber security posture changes identified or observed
 - d. a summary of the significant results observed from cyber security related exercises and drills that were carried out
 - e. any update to the cyber security incident response process
 - f. a brief description of any situations (including the identification of cyber vulnerabilities) or events that had or could have had cyber security related implications or consequences and which were not reported under an event report. The description shall reference the associated incident or corrective action report, and any mitigation measures taken
9. updates related to special security equipment, including the make, model and serial numbers associated with any equipment, as well as individual assignment allocation or other pertinent details, such as spares, training or repairs, of all firearms purchased under the CNSC's Public Agent Identification Number

Guidance

For item 1:

- “security-related implications or consequences” are intended to include events that are minor in nature but could be impacted by other events to create a pattern or vulnerability; minor malfunctions or reductions in the security program that impact one or more specific area(s) would fall under this type
- the description of situations or events should include:
 - location and timing of the situation or event
 - effect or consequences on security systems

- whether prescribed information, nuclear substances or prescribed equipment were involved
- any compensatory measures
- any involvement of external agencies
- this description should include situations or events where a threat was deemed not credible and the steps taken to deem the threat not credible

For item 2, the report should include the conclusions or outcomes of the evaluation, identified deficiencies, improvements and corrective actions, including timelines for implementation.

3.5 Annual report on radiation protection

The radiation protection (RP) report shall be submitted annually and shall include the following sections and information:

1. a brief description of the initiatives and activities taken to achieve "as low as reasonably achievable" (ALARA) radiation protection and improve the RP performance. This shall include a discussion of RP initiatives and activities that were planned but not completed, or conducted, and a summary of initiatives and targets for the upcoming year (next reporting period)
2. worker dose control
 - a. a summary of radiation doses received by all nuclear energy workers (NEWs), resulting from the licensed activity, during the reporting calendar year (January 1 to December 31), according to the following specifications:
 - i. the total collective effective dose (person-mSv), separated into:
 - routine operations and refurbishment activities and outages (including forced outages)
 - internal dose and external dose
 - total collective effective dose (person-mSv)
 - ii. the effective whole body dose data should be presented in tabular format and should include the distribution of radiation doses by total number of persons monitored by dose range; dose ranges should include the following: <0.01 mSv; 0.01 – 1 mSv; 1.01 – 5 mSv; 5.01 – 10 mSv; 10.01 – 15 mSv; 15.01 – 20 mSv, 20.01 – 50 mSv, and > 50 mSv
 - iii. the lens of the eye dose data should be presented in tabular format and should include the distribution of radiation doses by total number of persons monitored by dose range; dose ranges should include the following: <0.01 mSv; 0.01 – 1 mSv; 1.01 – 5 mSv; 5.01 – 10 mSv; 10.01 – 15 mSv; 15.01 – 20 mSv, 20.01 – 50 mSv, and > 50 mSv
 - iv. the skin dose data should be presented in tabular format and should include the distribution of radiation doses by total number of persons monitored by dose range; dose ranges should include the following: <0.01 mSv; 0.01 – 10 mSv; 10.01 – 50 mSv; 50.01 – 100 mSv; 100.01 – 150 mSv; 150.01 – 200 mSv, 200.01 – 500 mSv, and > 500 mSv
 - v. the extremity dose data should be presented in tabular format and should include the distribution of radiation doses by total number of persons monitored by dose range; dose ranges should include the following: <0.01 mSv; 0.01 – 10 mSv; 10.01 – 50 mSv; 50.01 – 100 mSv; 100.01 – 150 mSv; 150.01 – 200 mSv, 200.01 – 500 mSv, and > 500 mSv

- vi. the average, median, and maximum doses for whole body, lens of the eye, skin and extremity exposures
- vii. the total number of persons monitored for radiation exposure and the number of persons who received a recordable dose (all units combined)
- viii. a description of the work performed by the worker that received the maximum individual whole-body dose, including their work group
- ix. the maximum individual whole-body dose for the current five-year dosimetry period as defined by subsection 1(1) of the Radiation Protection Regulations
- x. an assessment of the radiation dose trends from year to year should be included, for a minimum period of five years, which should include information such as: the number of units in operation, outage information (number of outages, duration), scope of activities and other factors that have contributed to the dose results

Note: For sites with multiple reactors, the licensee shall report the data in individual annual reports for each station, as specified in their licence(s).

- b. the maximum effective dose received by workers who are not classified as NEWs
- c. information on the implementation of the licensee's confirmatory monitoring program, which includes:
 - i. the number of workers that qualified for a confirmatory monitoring
 - ii. the number of workers that were monitored under the confirmatory monitoring for each sample type
 - iii. the type of confirmatory monitoring performed (i.e. bioassay or personal air sampling)
 - iv. the number of positive results for each monitoring type - for positive results:
 - a) the results of investigations to determine the cause of each unexpected result
 - b) the results of evaluations to determine if impacted workers need to be on a routine bioassay program
 - c) the doses assigned from the positive result
- 3. radiological hazard control
 - a. a discussion of data and results, including an assessment of trends separated into:
 - i. personal contamination events (PCEs)
 - ii. loose contamination events
 - iii. discrete particles
- 4. radiation program performance
 - a. highlights of the radiation program performance, including a summary of revisions and improvements to the radiation protection program governance/procedures (for example, processes and procedures, instrumentation and equipment, radiation protection training programs and radiation protection organization)
 - b. trend analysis of issues identified by licensee problem identification and resolution processes
- 5. other challenges the licensee encountered during the year, how they were mitigated and the path forward

3.6 Annual report on environmental protection

The environmental protection report shall be submitted annually and shall contain the following information from the NPP and all its related facilities:

1. a summary of the results of the environmental protection measures identified in REGDOC-2.9.1, *Environmental Principles, Assessments and Protection Measures* [7], and an analysis

- of the significance of the results of the environmental protection program, with respect to the health and safety of persons and the protection of the environment
2. a summary of the objectives of the environmental protection measures conducted in the last calendar year, and whether the objectives have been met
 3. a summary of any updates made to the environmental protection measures, the reason for these changes, and the current timelines for the next planned periodic reviews of the environmental protection measures
 4. the results of the effluent/emissions monitoring program, including the hazardous substances (i.e., activity concentrations, flow rates and loadings), in SI units, suitable for evaluation of compliance against environmental action levels and licence limits
 - a. at minimum, the licensee shall report the following for releases to air, where applicable: tritium oxide (HTO), elemental tritium (HT), carbon-14, noble gases, radioiodine, gross alpha, and gross beta/gamma
 - b. at minimum, the licensee shall report the following for releases to water, where applicable: tritium oxide (HTO), carbon-14, gross alpha, and gross beta/gamma
 5. a summary of other government-required monitoring and reporting associated with effluent/emissions or environmental performance as specified in the licensing basis, along with a web link to the reporting or a specific means of obtaining the formal reporting
 6. the results of the environmental monitoring program, including nuclear and hazardous substances, in SI units, and associated supportive variables required for interpreting the results as identified in the licensee's site-specific programs
 7. the results and calculations of the annual radiation doses to the representative persons and/or critical group or groups in comparison to the regulatory public dose limit with a description of all relevant environmental transfer models and exposure pathways associated with the operation of the NPP
 8. for each parameter reported, as part of the effluent/emission monitoring and environmental monitoring program, a description of the characteristics of the monitoring results, including, but not limited to, the sample frequency, quantity, type and trend
 9. a summary of reportable events and non-reportable, unusual or unforeseen conditions (e.g., uncontrolled releases) that might require corrective action or additional monitoring, and other findings or results, with respect to the conduct of the environmental monitoring program

Guidance

The environmental monitoring program and environmental risk assessment (ERA) are strongly linked. For example, if an ERA identified areas of concern, licensees are expected to conduct confirmatory sampling, at a low frequency and/or at select locations, as part of the revision cycle of the site's ERA.

Some licensees submit annual reports to other government departments concerning their environmental protection program, including hazardous substances, that show the results of the effluent/emission and environmental monitoring programs. These licensees may send a copy of such reports to the CNSC to satisfy the CNSC's requirement for oversight of the licensee's environmental monitoring program. Some examples are Provincial Environmental Compliance Approval (ECA) Reports; Federal Greenhouse Gas (GHG) Emission Reports; National Pollutant Release Inventory (NPRI) Reports; Federal Halocarbon Release Reports; Ozone Depleting Reports; and Wastewater Effluent Discharge Reports.

For item 3, some examples are:

- a summary of the ERA and progress on follow-up recommendations

- environmental management system
- effluent monitoring program
- environmental monitoring program
- groundwater protection program
- supplemental studies, such as sustainability, effects monitoring, species at risk and adaptive management

For item 7, include ERA predictions as well as any standards/guidelines, as applicable, to all figures where monitoring data are presented.

For item 8, the characteristics of monitoring results should include, but not be limited to, the sample frequency (e.g., daily, monthly, semi-annually), sample type (e.g., grab, composite, activity counts over time), statistical quantity reported (e.g., weekly/monthly mean, annual average, annual total), spatial and temporal trend analysis (e.g., simple graphical analysis such as plotting all available sampled data – not just data for the reporting year – versus time, or averages (plus min/max) versus time, using statistical tools to identify trends, explanation of cause(s) of the trend).

3.7 Annual report on research and development

The research and development (R&D) report shall be submitted annually and shall contain the following information:

1. descriptions of R&D activities to resolve safety issues, that were completed, underway or planned during the calendar year or are planned for future years
2. the nature of the safety issues to be resolved, progress made over the calendar year to resolve the safety issues, actual or anticipated results of R&D activities, and any unfinished R&D work (i.e., work that remained underway or planned) at the end of the calendar year
3. a description of the links between each of the R&D programs and the operational or safety issues being addressed
4. the schedule, with relevant milestones, for completing R&D activities that were not finished at the end of the calendar year

Guidance

The annual report on R&D should also include station-specific R&D activities.

3.8 Annual report on risk and reliability

This risk and reliability report shall be submitted annually and shall contain the information outlined in Appendix C.

Guidance

For systems important to safety, the licensee may choose to use bounding evaluations for specific impact calculations, in which case, the cumulative effect of test deferrals must account for all test deferrals for the system over the year.

3.9 Annual report on fuel monitoring and inspection

The fuel monitoring and inspection report shall be submitted annually and shall include a description of the objectives, elements, procedures, limitations, results and conclusions of the

program that the licensee conducted over the calendar year for the purpose of monitoring, inspecting and assessing the condition of the irradiated reactor fuel.

The annual report on fuel monitoring and inspection shall contain the information as outlined in the “Format for the Annual Report on Fuel Monitoring and Inspection.”

3.10 Annual compliance report for Class II nuclear facilities and nuclear substances and radiation devices

Note: This report applies only to licensees that have an amalgamated Class II and/or nuclear substances and radiation devices licence with their nuclear power reactor operating licence (PROL).

The annual compliance report (ACR) for Class II nuclear facilities and nuclear substances and radiation devices shall contain the following information for the report types applicable to the licence:

- information on the activities conducted during the previous year, including a summary of workload (for Class II nuclear facilities only)
- the current inventory of radiation devices, Class II prescribed equipment, sealed sources and unsealed sources
- information on any transfers or disposals

Guidance

ACR forms are available on the [CNSC’s Annual Compliance Reporting](#) web page. The applicable report types are:

- Operate an Irradiator Facility
- Industrial Radiography
- Consolidated Uses of Nuclear Substances

Each annual compliance report should be a standalone document. If any information was previously provided to the CNSC (for example, in an event report or in a separate compliance report) this information does not need to be duplicated. In these cases, a reference to the previous report is adequate.

4. Event Reports and Notifications

The licensee shall submit event reports and notifications as required by their licensing basis. Appendix A summarizes the requirements from the NSCA, the regulations made under the NSCA, licence conditions and other regulatory documents on timing and reporting of notifications, preliminary event reports, and event reports.

Guidance

The information to be reported for an event and notification is listed in sections 4.1 and 4.2.

For notifications to the CNSC, the licensee may choose to notify using either the electronic event report forms or another appropriate means.

A report should not contain any proprietary business information so it can be made available to the public upon request.

Any information considered classified, protected, proprietary or personal should be submitted with the appropriate security protection and marked with the appropriate protection and classification.

4.1 Contents of the preliminary event reports and notifications

A preliminary event report or a notification shall contain the following information as far as practicable and applicable:

1. date, time and circumstances of the situation or event, or notification
2. date and time of the onset (removal, reinstatement) and the duration of the situation or event
3. unique identification reference for the report for record tracking purposes
4. reporting provision(s) as listed in Appendix A (including reference to any specific reporting provisions) that are applicable to the situation(s) or event(s)
5. identification of the affected NPP and associated reactor units
6. identification of the affected structures, systems and components, including:
 - a. the design flow diagram reference number(s)
 - b. material type and code classification
 - c. design and hydrostatic test pressure of the system
 - d. magnitude, size or quantification of the degradation or fault (e.g., approximate size, length, depth or leak rates, deviation from set point)
7. description of the occurrence and consequences of the situation or event, including:
 - a. the condition of the site where the situation or event has occurred and the operating conditions, immediately prior, during and after of any power reactor unit involved in the situation or event
 - b. the safety and control functions affected
 - c. causes, method of investigations, circumstances, consequences and effects of the degradation
 - d. a description of any secondary events that occur as a result of the primary reportable event that may be of regulatory interest
 - e. code, standard or methodology used to assess the significance of the degradation
 - f. a summary of any impairment of a special safety system or SSCs important to safety
 - g. reasons for removal of certified persons
8. identification of persons by their full legal names and position titles affected by the situation or event, including:
 - a. any exposure of a person to radiation
 - b. removal or reinstatement of a certified person from the duties of the position for which the person is certified by the CNSC
 - c. revocation of authorization by the licensee
9. a description of any actions and/or remedial actions the licensee has taken or proposes to take with respect to the situation or event
10. a description of the research or analysis that led to awareness of the problem or potential problem
11. the name of the nuclear or hazardous substance released, the estimated or measured quantity of the unauthorized release, the estimated or measured rate of release, the manner of release, and the offsite monitoring results
12. the municipal, provincial or federal authorities that were notified of the situation or event

13. an indication of when and/or if further information will be submitted for the situation or event to the CNSC
14. for event reports of a contravention of a licence, licensees are to include a description of the nature of the non-compliance with the licence condition
15. an indication if this type of event has occurred before

If any required information is missing, the licensee shall file the required information within 60 days of filing the original event report, as specified in section 4.2.

Guidance

If the licensee determined that investigation beyond the preliminary report is unlikely to yield additional relevant details or identify additional corrective actions, then a detailed report may not be necessary. In this case, the licensee may only need to submit one report; however, the preliminary report should include the information required in a detailed event report.

In item 1, “date” refers to the date on which licensee management becomes aware of the occurrence of the event (typically when a Station Condition Record/Problem Identification and Corrective Action (SCR/PICA) is entered) but before it has been processed to determine if the event requires reporting to the CNSC. Licensees can also include the date on which licensee management initially determined that the event needs to be reported based on section 2, item 4.

In item 2, the date of onset is the date on which the event physically occurred or started to occur.

In item 8a, the term “exposure” means the dose of radiation received by or committed to a person or an organ or tissue under reporting provision 20 in Appendix A.

In item 8b, the term “removal” also includes the individual leaving the position for any reason including termination of the employment associated with resignation or retirement under reporting provision 6 of Appendix A.

In item 8c, the term “revocation” means the cancellation or withdrawal of a security authorization under reporting provision 29 of Appendix A.

4.2 Contents of the detailed event reports

A detailed event report shall contain the following information as far as practicable and applicable:

1. reference to the original event report
2. updates, new or additional information on the content requirements of the preliminary event report
3. identification of any further missing information and the date by which the missing information will be provided to the CNSC
4. a detailed description of the occurrence of the situation or event, including the associated human, technical and organizational circumstances, causes and consequences, and any relevant conclusions or findings established by the investigation
5. a description of the exceedances to the safety and operational limits and conditions
6. a description of the role of contractor companies and their subcontractors in the event and event analysis, if applicable
7. the actions that the licensee has taken or proposes to take, including actions identified and taken to restore the effectiveness of the radiation or environmental protection programs

8. a description of the resulting effects on the health, safety and security of persons and the environment
9. a summary of any analysis completed, including the probable cause(s) and conclusions, drawn from the investigation(s) after the situation or event
10. a conclusion of any cause analysis of the situation or event, including a description of the human, technical and organizational factors that contributed to the event and the interaction between these factors
11. the extent of condition, or any review of comparable situations or events
12. any additional measures taken to correct the situation or event, including those actions that result from a root cause analysis
13. the measures taken to prevent recurrences, including those actions that result from a root cause analysis
14. the effective dose and equivalent dose of radiation received by any person as a result of the situation or event, including the measured or estimated doses to NPP personnel and the public: provide all relevant information used to calculate the committed effective dose, including the time and date of the uptake, the time and date of any bioassay measurements and samples collected, the assessment scenario (inhalation/ingestion), the radionuclides involved, the assumed particle size and lung clearance type, if applicable, the dose coefficients used and the analytical technique used with the minimal detectable activity
15. an evaluation of the degree of impairment of special safety systems or of standby safety-related systems
16. an evaluation of any design, operating and/or training deficiencies uncovered by the situation or event
17. any related operational experience (OPEX) program

If any information is missing from the detailed report, the licensee shall notify the CNSC that the missing information will be submitted within a specified timeframe as supplemental information, as specified in section 4.3.

Guidance

In item 2, additional information may include reporting subsequent or related reportable events linked to the original event that was reported in the preliminary event report. When subsequent or related events are reported as additional information, separate event reports are not needed.

In item 6, the licensee should indicate the degree to which a contractor/sub-contractor was involved in the event. The identity of the contractor/sub-contractor is not required.

In item 9, the licensee should include the methods of cause analysis, such as but not limited to root cause, common cause, apparent cause, troubleshooting and event cause. The root cause analysis, if performed, should be submitted to the CNSC.

In item 11, the extent of condition means the extent to which the actual condition exists with other plant processes, equipment, or human performance. The extent of cause means the extent to which the root causes of an identified problem have affected other plant processes, equipment or human performance.

In item 12, these measures should include both preventive measures and corrective actions, as applicable.

4.3 Submission of supplemental information

Situations or events can occur where detailed, final or validated information is not immediately available or attainable by the reporting deadline. This includes situations or events where a relevant analysis, assessment, measurement or investigation has not been completed, or dynamic situations which have not attained or maintained a requisite level of stability and predictability.

A report of supplemental information to complement a previously filed detailed report shall:

1. contain the title, the identifying number and the date of submission of the report to which the supplemental information pertains
2. contain the information that was missing from the detailed report to the CNSC
3. describe the impacts of the additional information on the substance, conclusions or interpretation of the detailed report
4. state whether the supplemental information is complete, or if further information will be filed; if further information will be filed, specify the timeframe for filing this information
5. include the name and address of the sender of the information, the date of the supplemental information and the signature of the designated representative of the licensee

4.4 Request for retraction of an event report

A licensee may, for any situation or event, other than the event referred to in reporting provision 20 b (Appendix A), request that any preliminary or detailed event report the licensee has made to or filed with the CNSC pursuant to this regulatory document be retracted.

The licensee shall file the request for retraction, in writing, with the designated CNSC contact.

The request for retraction shall contain:

1. the title, the identifying number and the date of submission of the report to which the request pertains
2. a description of the grounds for the request, including the reasons why the licensee believes that the report is not required by the licence or the regulations
3. the name and address of the sender of the request, the date of the request and the signature of the designated representative of the licensee

Upon receipt of a request for retraction from a licensee, the CNSC reviews the grounds for the request to determine if the report is required by regulation or by the licensing basis. The CNSC provides the results of this review to the licensee in writing. The schedule for reporting shall pause while the CNSC conducts its review.

If the CNSC grants the licensee's request for a retraction, then the information about the situation or event that the licensee has already submitted to the CNSC will not be treated as information required by this regulatory document, but will remain part of the CNSC's records.

If the CNSC refuses the licensee's request for a retraction, then the licensee shall resume the schedule for reporting on the situation or event, in accordance with this regulatory document.

Guidance

When the CNSC has agreed to the request for retraction, the licensee is not required to include the event in disclosures required by REGDOC-3.2.1, *Public Information and Disclosure* [4], unless it is specifically required under their public information disclosure protocol.

Appendix A: Event Reporting, Notifications and Filing of Specific Records

This appendix provides a list of the situations, events, dangerous occurrences and specific reporting provisions which prompt the need to submit event reports, and includes the timing for each event report:

- immediate reporting for higher significance situations, events or specific reporting provisions
- immediate reporting for dangerous occurrences
- within 14 days for lower significance situations, events or specific reporting provisions
- within 60 days where a detailed report is required
- some exceptions on timing apply to specific situations and events; for example, progress reports or a detailed report are due within 21 days for radiation devices and sealed sources, safeguards, packaging and transport, and for exposures in excess of legal radiation dose limits

The first priority for any reporting provision is to ensure that the reporting party has taken all reasonable measures to mitigate the potential consequences of the event. For reporting provisions that are designated as higher significance, an immediate preliminary report is required to the [CNSC Duty Officer](#) at 613-995-0479 or toll-free at 1-844-879-0805.

Licensees determine the safety or security significance for each of the reporting provisions that follow using their own site-specific procedure, as required by section 2, item 5 of this document. The licensee's significance classification process determines the timeframe of preliminary reporting, except when the regulations specify a predefined timeframe as noted under the "Preliminary event reports" column. The "Notification or filing of specific records" column identifies the timeframe for reporting and is not based on the licensee's significance classification process.

This appendix also sets out additional specific reporting provisions that relate to the purposes of the NSCA and the regulations made under the NSCA. These specific reporting provisions only apply when this regulatory document is included as a condition of the licence.

In addition, this appendix provides the notifications and specific records to be filed and includes the timing for each.

Licensees need only report under one CNSC licence. Licensees holding a power reactor operating licence that also have a nuclear substance and radiation devices licence or radioisotope production licence may file event reports or notifications under the reporting provisions that follow.

Information about reporting requirements and timing

Applicable section(s) of the NSCA or regulations made under the NCSA are noted for each item, where applicable.

A.1 Contravention of the NSCA in relation to an activity that is authorized

Note: see also item A.19

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
1a)	<p>NSCA:</p> <p>27. Every licensee and every prescribed person shall (b) make the prescribed reports and file them in the prescribed manner, including a report on (ii) any contravention of this Act in relation to an activity that is authorized by this Act and any measure that has been taken in respect of the contravention</p> <p>Specific reporting provisions</p> <p>The licensee shall report on the following situations or events:</p> <ol style="list-style-type: none"> 1. a programmatic failure of a program referenced in the licence 2. any contravention of the licence <p>Guidance</p> <p>Regulations made pursuant to the NSCA, orders of the CNSC, a designated officer or an inspector, and licence conditions have their origins from the NSCA. Therefore, it is understood that a contravention of a regulation made pursuant to the NSCA, of an order or of a licence condition is a contravention of the NSCA.</p> <p>Reportable situations or events include items of non-compliance identified by the licensee. Items of non-compliance with safety and control measures, which include regulatory documents and standards, are only reportable if they rise to the programmatic level.</p> <p>Examples of items of non-compliance that are not programmatic include:</p>		Immediate (higher significance) or 14 days (lower significance)	60 days (higher significance)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> one-off occurrences of untreated wood products in the plant are not reportable as Fire Code violations under CSA N293-12, <i>Fire protection for nuclear power plants</i> [8]. These events will be treated as contributing to a potential programmatic non-compliance. one-off pressure boundary inspection and test plan (ITP) execution errors, including lack of Authorized Inspection Agency (AIA) concurrence, where there is no consequential adverse impact on operability, will not be reportable as an item of non-compliance with CSA N285.0, <i>General requirements for pressure-retaining systems and components in CANDU nuclear power plants</i> [5]. These occurrences will be treated as administrative errors contributing to potential programmatic non-compliance. <p>Examples of items of non-compliance that are programmatic include:</p> <ul style="list-style-type: none"> an item of non-compliance with a control measure, such as a limit or requirement that would create an unreasonable risk to national security, the health and safety of persons and the environment failures in a program that forms one part, or all, of a program in a licence the discovery of a degradation or vulnerability that may permit undetected drug or alcohol use by workers <p>Note: For examples of non-compliances that are reportable and not-reportable pursuant to the requirements of the PTNSR, see item 32.</p>			
1b)	<p>General Nuclear Safety and Control Regulations (GNSCR):</p> <p>9. (4) Every person who carries on an activity without a licence in accordance with subsection (1) or (2) shall immediately notify the Commission of that fact.</p> <p>Guidance</p> <p>An activity carried on without a licence would be reported under this clause.</p>	Immediate		

A.2 Transfer or disclosure of prescribed information

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
2	<p>NSCA:</p> <p>48. Every person commits an offence who</p> <p style="padding-left: 40px;">(b) discloses prescribed information, except pursuant to the regulations</p> <p>GNSCR:</p> <p>23. (1) No person shall transfer or disclose prescribed information unless the person</p> <p style="padding-left: 40px;">(a) is legally required to do so; or</p> <p style="padding-left: 40px;">(b) transfers or discloses it to</p> <p style="padding-left: 80px;">(i) a minister, employee or other person acting on behalf or under the direction of the Government of Canada, the government of a province or any of their agencies, for the purpose of assisting themselves in exercising a power or performing a duty or function lawfully conferred or imposed on them,</p> <p style="padding-left: 80px;">(ii) an official of a foreign government or an international agency, for the purpose of meeting obligations imposed by an arrangement made between the Government of Canada and the foreign government or international agency,</p> <p style="padding-left: 80px;">(iii) a worker, for the purpose of enabling the worker to perform duties assigned by the licensee, or</p> <p style="padding-left: 80px;">(iv) a person who is legally required or legally authorized to obtain or receive the information</p> <p>Specific reporting provisions</p> <p>The licensee shall report on:</p> <p>Any situations or events relating to the transfer or disclosure of prescribed information.</p>		Immediate (higher significance)	60 days

A.3 Notification of authorized delegates and responsible persons

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
3	<p>GNSCR:</p> <p>15. Every applicant for a licence and every licensee shall notify the Commission of</p> <p>(a) the persons who have authority to act for them in their dealings with the Commission;</p> <p>(b) the names and position titles of the persons who are responsible for the management and control of the licensed activity and the nuclear substance, nuclear facility, prescribed equipment or prescribed information encompassed by the licence; and</p> <p>(c) any change in the information referred to in paragraphs (a) and (b), within 15 days after the change occurs</p>	Within 15 days		

A.4 Contingency plan

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
4a)	<p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p>		Immediate (higher significance) or	60 days (higher significance)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>(d) a situation or event that requires the implementation of a contingency plan in accordance with the licence</p> <p>Specific reporting provisions</p> <p>The licensee shall report on:</p> <ol style="list-style-type: none"> i. any situation or event that requires the implementation of the nuclear emergency plan, or the use of any abnormal operating procedures or emergency operating procedures, or the mobilization of resources in response to the situation or event ii. the occurrence of any unusual external events (flood, fires, earthquakes, etc.) at or near the site that require further inspection to verify its effect on NPP structures, systems and components iii. the occurrence of any unusual external events at the site that resulted in an operating transient at the NPP <p>Guidance</p> <p>This reporting is in response to an unexpected occurrence that creates a hazard to the safe operation of the NPP, or to the health, safety and security of persons and the environment.</p> <p>Reportable situations include:</p> <ul style="list-style-type: none"> • activation of the site nuclear emergency plan, including false alarms that activate the site nuclear emergency plan • use of abnormal or emergency operating procedures by meeting the entry conditions, including evacuation of an area • sounding the emergency alarm, mobilizing the site emergency response team (ERT) or offsite emergency responders 		14 days (lower significance)	

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> activation of any abnormal or operating procedure in response to a security situation or event, including the presence of on-site security responders or law enforcement entities, activation of security incident command or a heightened security posture natural hazard events, including floods, fires, earthquakes, etc. <p>A fire is reportable if:</p> <ul style="list-style-type: none"> application of an extinguishing agent was required the fire causes entry into an abnormal incident manual (AIM) or the provincial nuclear emergency plan an unexplained flame is witnessed damage has occurred beyond the point of origin <p>An earthquake is reportable if:</p> <ul style="list-style-type: none"> it was felt at the site it exceeded 50% of the design basis earthquake for the NPP; to be able to calculate this, an NPP should have a working seismic monitoring system in accordance with the requirements of CSA N289.5, <i>Seismic instrumentation requirements for nuclear power plants and nuclear facilities</i> [9] any damage associated with an earthquake is identified it has caused any disruption of life in the exclusion zone; disruption of life can be related to physical damage to housing or public infrastructure, but can also be related to traffic congestion, for example <p>An event is not reportable if:</p> <ul style="list-style-type: none"> an alarm was sounded, the emergency response team responded, but no mitigating actions were required 			

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> a minor amount of extinguishing agent was applied in error or was unnecessary smoke was from a slipping belt, overheated or malfunctioning equipment damage was very minor and limited to a single electrical component, such that no surrounding components or equipment were impacted there was a traffic incident involving police where no arrest was made 			
4b)	<p>(g) an actual, threatened or planned work disruption by workers;</p> <p>Specific reporting provision</p> <p>The licensee shall report on the following situations or events:</p> <ul style="list-style-type: none"> any actual, impending, planned or threatened work disruption, including labour actions such as a slowdown, walkout or strike, or another action such as a civil demonstration, that could affect the safety or security of operations at the facility or the capability of the licensee to maintain the staffing levels required by the licensee situations involving the possibility of a strike are considered to be reportable when a union that operates at the facility is in a legal strike position, regardless of whether any actual strike activity has taken place 		Immediate (higher significance) or 14 days (lower significance)	60 days (higher significance)

A.5 Serious illness, injury or death

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
5	GNSCR:		Immediate	60 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(h) a serious illness or injury incurred or possibly incurred as a result of the licensed activity;</p> <p>(i) the death of any person at a nuclear facility;</p> <p>Guidance</p> <p>For an illness or injury to be considered serious, there should have been lost time associated with it. The event is reportable once a lost time incident occurs.</p> <p>Any death within the exclusion zone or the outer facility site boundary (whichever is larger), regardless of cause, or any death resulting from an injury or illness, regardless of time intervening between injury or illness and death, will be reported. Include all deaths occurring within the boundary of the nuclear facility even if unrelated to the operation of the NPP.</p>			

A.6 Notification of removal or reinstatement of certified personnel

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
6	<p>Specific reporting provision</p> <p>The licensee shall submit notification of the following:</p> <p>a. removal of a certified person from the duties of the position for which the person is certified by the CNSC</p>	21 days		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>b. reinstatement of a certified person to the duties of the position for which the person is certified by the CNSC</p> <p>Guidance</p> <p>“Removal” includes leaving the position for any reason, including termination of employment associated with resignation or retirement.</p> <p>“Reinstatement” means return to duties in accordance with REGDOC-2.2.3, <i>Personnel Certification, Volume III: Certification of Persons Working at Nuclear Power Plants</i> [10].</p>			

A.7 Financial status

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
7	<p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(j) the occurrence of any of the following events:</p> <ul style="list-style-type: none"> (i) the making of an assignment by or in respect of the licensee under the <i>Bankruptcy and Insolvency Act</i>, (ii) the making of a proposal by or in respect of the licensee under the <i>Bankruptcy and Insolvency Act</i>, 		Immediate	60 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> (iii) the filing of a notice of intention by the licensee under the <i>Bankruptcy and Insolvency Act</i>, (iv) the filing of a petition for a receiving order against the licensee under the <i>Bankruptcy and Insolvency Act</i>, (v) the enforcement by a secured creditor of a security on all or substantially all of the inventory, accounts receivable or other property of the licensee that was acquired for, or used in relation to, a business carried on by the licensee, (vi) the filing in court by the licensee of an application to propose a compromise or an arrangement with its unsecured creditors or any class of them under section 4 of the <i>Companies' Creditors Arrangement Act</i>, (vii) the filing in court by the licensee of an application to propose a compromise or an arrangement with its secured creditors or any class of them under section 5 of the <i>Companies' Creditors Arrangement Act</i>, (viii) the making of an application for a winding-up order by or in respect of the licensee under the <i>Winding-up and Restructuring Act</i>, (ix) the making of a liquidation, bankruptcy, insolvency, reorganization or like order in respect of the licensee under provincial or foreign legislation, or (x) the making of a liquidation, bankruptcy, insolvency, reorganization or like order in respect of a body corporate that controls the licensee under provincial or foreign legislation. 			

A.8 Inaccurate or incomplete records

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
8	<p>GNSCR:</p> <p>31. (1) Every licensee who becomes aware of an inaccuracy or incompleteness in a record that the licensee is required to keep by the Act, the regulations made under the Act or the licence shall file a report of the inaccuracy or incompleteness with the Commission within 21 days after becoming aware of it, and the report shall contain the following information:</p> <ul style="list-style-type: none"> (a) the details of the inaccuracy or incompleteness; and (b) any action that the licensee has taken or proposes to take with respect to the inaccuracy or incompleteness. <p>(2) Subsection (1) does not apply to a licensee if:</p> <ul style="list-style-type: none"> (a) the licence contains a term or condition that requires the licensee to report inaccuracies or incompleteness in a record to the Commission; or (b) the inaccuracy or incompleteness in the record could not reasonably be expected to lead to a situation in which the environment, the health and safety of persons or national security is adversely affected. <p>Specific reporting provision</p> <p>The licensee shall report on inaccuracies or incompleteness found.</p>		<p>Within 21 days</p> <p>or</p> <p>Not required if GNSCR 31(2)(b) applies</p>	60 days

A.9 Notification and filing of record of disposal of records

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
9	<p>GNSCR:</p> <p>28. (2) No person shall dispose of a record referred to in the Act, the regulations made under the Act or a licence unless the person</p> <p>(a) is no longer required to keep the record by the Act, the regulations made under the Act or the licence; and</p> <p>(b) has notified the Commission of the date of disposal and of the nature of the record at least 90 days before the date of disposal.</p> <p>(3) A person who notifies the Commission in accordance with subsection (2) shall file the record, or a copy of the record, with the Commission at its request.</p> <p>Guidance</p> <p>The notification of intent to dispose of a record should include:</p> <ul style="list-style-type: none"> • unique correspondence tracking identifier • planned date of disposal of the record • representative sample of the record sufficient for the CNSC to ascertain the nature of the record. 	At least 90 days before the date of disposal		

A.10 Failure, degradation or weakening of structures, systems and components (SSC)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
10	<p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(f) information that reveals the incipient failure, abnormal degradation or weakening of any component or system at the site of the licensed activity, the failure of which could have a serious adverse effect on the environment or constitutes or is likely to constitute or contribute to a serious risk to the health and safety of persons or the maintenance of security;</p> <p>Specific reporting provisions</p> <p>For Class 1 to 6 systems in accordance with CSA N285.0 <i>General requirements for pressure-retaining systems and components in CANDU nuclear power plants</i> [5], the licensee shall report on the discovery of the following situations or events:</p> <ul style="list-style-type: none"> a. ruptures b. safety-significant deformation or cracks c. degradations that have the potential to significantly impair the operating ability of the system d. degradations that cause a leak that exceeds a limit specified in the licensing basis e. changes in the size, rating or material properties of any part of a pressure boundary that was not allowed for in the design of the boundary f. local or general reductions in wall thickness beyond that allowed by the applicable pressure vessel code, standard or Act under which the Class 1-6 system’s pressure boundary was registered (or could have been registered) 		Immediate (higher significance)	60 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>g. degradations of overpressure protection equipment that caused or would have caused the equipment to fail to operate in accordance with the overpressure protection report or another version-controlled document or a licensee document requiring notification of change, other than a relief device that activates above its maximum set point during testing but below the hydrostatic test pressure of the associated system</p> <p>h. a transient load condition that exceeds a relevant design condition of a pressure boundary or that exceeds Level B service limits for a nuclear component that has been designed in accordance with Section III, Division 1, Subsection NB of the ASME Boiler & Pressure Vessel Code [11]</p> <p>i. an analysis related to a Class 1-6 pressure boundary system that concludes that an applicable limit specified in the associated design analyses, the design and inspection codes or the design and inspection standards has been exceeded</p> <p>j. a safety-significant pressure boundary failure or leak in a system that:</p> <ul style="list-style-type: none"> • contains radioactive or hazardous substances in high enough concentrations to pose a hazard to unprotected personnel • is of sufficient pressure or temperature to pose a hazard to unprotected personnel • results in a leak of any material that impinges upon any electrical component • results in a leak that causes damage or flooding that affects the safe operation of the plant <p>k. a situation where the configuration of a valve or other device associated with a pressure boundary contravenes relevant requirements in the overpressure protection report or another version-controlled document or a licensee document requiring notification of change</p>			

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>Guidance</p> <p>Class 6 systems that satisfy the exemption criteria of Clause 5.2.4.2 of CSA N285.0, <i>General requirements for pressure-retaining systems and components in CANDU nuclear power plants</i> [5], may be excluded.</p> <p>Only higher significance events are reported immediately as events. Lower significance events are reported on the quarterly report on nuclear power plant pressure boundaries (see section 3.2).</p> <p>Failure of the following typically do not need to be reported, unless required by another reporting provision:</p> <ul style="list-style-type: none"> • vacuum relief valves, provided they are non-code valves and they do not perform or support a safety function • power operated relief valves, provided they do not perform a safety function • pressure relief valves in systems that are not and are not required to be registered under CSA N285.0, <i>General requirements for pressure-retaining systems and components in CANDU nuclear power plants</i> [5] <p>In item g, event reporting is intended for the discovery of the failure or potential failure of overpressure protection equipment.</p> <p>If a relief device activates above its maximum set point during the testing but below the hydrostatic test pressure of the associated system, this should be reported in the quarterly report on nuclear power plant pressure boundaries (see section 3.2).</p> <p>If a relief device activates above the hydrostatic test pressure of the associated system, report it as an event under this reporting provision.</p>			

A.11 Process systems

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
11	<p>Specific reporting provisions</p> <p>The licensee shall report on the following situations or events:</p> <p>a. a serious process failure</p>		Immediate	60 days (if required)
	<p>b. an unplanned change in reactor power or in core reactivity</p> <p>Guidance:</p> <p>The intent of this reporting provision is to report all unplanned shutdowns, stepbacks, setbacks and unexpected or unexplained phenomena.</p> <p>This reporting requirement applies to events during startup, normal operations, during shutdown/GSS and events related to radioisotope production systems.</p> <p>This reporting requirement applies to an unplanned change in core reactivity, for example:</p> <ul style="list-style-type: none"> • a failed approach to criticality • unexpected core response • gadolinium precipitation events • unexpected flux tilts greater than actionable limits in the governing operations documents • discovery of fuel burnup or cobalt-60 rod activity being significantly different than expected • an error in using or not using depleted bundles as planned • unplanned reactivity device intervention or compensation 		Immediate (higher significance) or 14 days (lower significance)	60 days (higher significance)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	The common definition of “unplanned” is unexpected, not anticipated, not prepared for or otherwise not arranged in advance. Unexpected responses to planned power changes are reportable under this provision. However, planned changes in power related to normal operations such as testing, fuelling, reactor following (within a controlled power band), surplus baseload generation, planned outages and auto trips (during commissioning) are not reportable under this provision. Likewise, planned shutdowns associated with forced outages are not reportable.			
	<p>c. an acute and unrecoverable loss of more than 100 kg of heavy water.</p> <p>Guidance</p> <p>Loss of heavy water includes losses from process failures and/or the storage of heavy water.</p> <p>Heavy water is considered to be a nuclear substance. Theft of a nuclear substance is covered under reporting provision 26 in Appendix A.</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

A.12 Safety systems

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
12	<p>Specific reporting provisions</p> <p>The licensee shall report on situations or events that result in any of the following:</p> <ol style="list-style-type: none"> a. an actuation, at any power level, of a shutdown system, except where: <ul style="list-style-type: none"> • the actuation occurs while the reactor unit is in a guaranteed shutdown state and there is no indication that the shutdown guarantee has failed • the actuation was deliberate, as required for testing purposes or as part of a pre-approved shutdown procedure b. an actuation of an emergency core cooling system or subsystem as a consequence of an initiating parameter going beyond a set point c. an actuation of a containment system or subsystem as a consequence of an initiating parameter going beyond a set point d. a degradation of a special safety system or standby safety-related system that prevents the system from performing its safety function as intended or from meeting its defined specifications found in the NPP safe operating envelope (SOE) e. a spurious operation or a spurious failure of a device at the final point of control for the purpose of separating the circuits of the heat transport system from the emergency core cooling systems <p>Guidance</p> <p>The report should include a specific statement as to why a special safety system actuation was not a serious process failure.</p> <p>For item c, spurious actuation of containment by exceeding a set point from a fault or unauthentic signal should not be reported.</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance, if required)</p>

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	Example: containment system box-ups on activity where the initiating parameter was exceeded as a result of fields external to the reactor building ventilation exhaust flow (i.e., shine from moderator slurry activities in the vicinity of the box-up monitors or due to radiography in the area).			

A.13 Reactor, turbine and generator control

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
13	<p>Specific reporting provision</p> <p>The licensee shall report on situations or events that reduce the effectiveness of a system, outside of defined specifications, for:</p> <ul style="list-style-type: none"> a. controlling reactor power b. controlling the pressure or inventory of the primary heat transport system c. protecting the turbine/generator <p>Guidance</p> <p>For item a, only a reduction in the means of controlling reactor power is reported under this provision; an unplanned reduction in reactor power is reported under provision number 11.</p> <p>For items a, b and c, the defined specifications may be contained in the licensee’s documentation on safe operating envelope (SOE), systems important to safety action levels, design requirements or impairment manual. Note: reductions in redundancies or safety margins are not reportable under this clause.</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	60 days (higher significance)

A.14 Hazards

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
14	<p>Specific reporting provisions</p> <p>The licensee shall report on any of the following situations or events arising from operating experience, research, new or revised safety analysis, that reveals a hazard or a potential hazard to the environment, health and safety of persons and the maintenance of national security and measures required to implement international obligations to which Canada has agreed that may be (or is determined to be) different in nature, greater in probability or magnitude than was previously represented to the CNSC:</p> <p>a. discovery of any of the following:</p> <ul style="list-style-type: none"> i. any special safety system that does not meet its defined specifications ii. a reactor that is operating in a state that was not considered in the safety analysis iii. occurrence of a situation or event of a type that was not considered in the safety analysis iv. unexplained or unexpected behaviour of a reactor core v. an event where two or more systems or components that were assumed in the safety analysis to be mutually independent are, in fact, interdependent vi. safety and control measures described in the licence application and the documents needed to support the licence application contain an error that, if accepted, relied or acted upon as being valid, could give rise to increased risks vii. new information, from an event analysis, indicating the possible release of a nuclear substance in a quantity or rate greater than predicted in the safety analysis viii. determination that actual field configuration is not consistent with assumptions made in the safety analysis 		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>ix. the discovery of any item that calls into question the critical characteristics of components and/or the defined specifications of a special safety system, a SSC important to safety or a security system</p> <p>x. discovery of any documentation or safety and control measures that renders inaccurate or suspect the information used to establish continued operation of a component, SSC important to safety or a system important to safety</p> <p>Guidance Situations and events reported under this provision are typically identified as a result of operational activities such as transients, event analysis, operator routines or surveillance. It is acceptable to report lower significance events for item i above in the Annual Report on Risk and Reliability (see section 3.8).</p>			
	<p>b. discovery of any of the following:</p> <p>i. a final safety analysis report containing an assumption, input, analytical method or safety analysis result that is or may be invalid or uncertain</p> <p>ii. a limit defined in the licensing basis that is or may be inadequate to assure safety</p> <p>iii. an analysis, from which a limit was derived, that may be invalid or uncertain such that the margin of safety may be less than predicted</p> <p>iv. defined specification of a special safety system or of an SSC important to safety of an NPP are or may be invalid</p> <p>v. <i>[provision retracted as part of version 3 updates]</i></p> <p>vi. safety and control measures in place for the purpose of protecting the environment from the operating impacts of an NPP are or may be inadequate</p>			21 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>vii. the discovery of a degradation mechanism or component condition that changes or renders inaccurate the licensing basis, continued operation of a component, SSC important to safety or system important to safety</p> <p>Guidance</p> <p>Situations and events reported under this provision are typically identified through activities such as research, program review or updating documents.</p>			

A.15 Counterfeit, fraudulent or suspect items

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
15	<p>Specific reporting provisions</p> <p>The licensee shall report situations or events that result in the discovery of counterfeit, fraudulent or suspect items during the conduct of licensed activities.</p> <p>Guidance</p> <p>Counterfeit and fraudulent items are reported only as such once confirmed and validated. Suspect items are reported when substandard quality, suspicious differences in packaging, labelling, physical appearance, shipping details, etc., create doubts regarding the genuineness of the item without certain proof. Suspect items do not necessarily include substandard items from a change or defect in the manufacturing process.</p> <p>If the item is installed in the NPP, the significance of the impact determines the timing of the preliminary report. If the item is not installed in the NPP, it is considered a lower significance event.</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>Licensees are encouraged to report items as suspect upon discovery and not wait until confirmation as counterfeit or fraudulent.</p> <p>Protection of information should not inhibit reporting to the CNSC. The make/model of the item could be protected information if its release would harm the company.</p>			

A.16 Outages

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
16	<p>Specific reporting provisions</p> <p>The licensee shall submit:</p>			
	<p>a. a notification of regulatory undertakings (NoRU) that identifies all regulatory undertakings to be completed during the outage. The NoRU should also identify the planned work that, in the licensee’s judgement, is of regulatory interest.</p> <p>Guidance</p> <p>Email notification is acceptable.</p> <p>In this context, “regulatory undertakings” refers to outage work that is required by a code or a standard that is referenced in the power reactor operating licence (PROL) (mandatory work) or work that was committed by the licensee to the CNSC through formal correspondence (committed work), including:</p> <ul style="list-style-type: none"> periodic inspection program (PIP) inspections in the last outage of a PIP cycle 	60 days prior to the outage		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> PIP work that is required to allow the extension of an existing disposition that will expire before the next planned outage <p>Also in this context, “planned work” is major safety significant work that is scheduled in the outage, that in the licensee’s judgement is of regulatory interest, but is not mandatory or committed, including:</p> <ul style="list-style-type: none"> repair or maintenance tasks to correct known problems, e.g., level 3 impairments inspection tasks (e.g., PIP inspections) that must be completed over a multi-year cycle and for which there is another planned maintenance outage before the end of the current cycle requests from CNSC staff to do additional inspections beyond the PIP requirements 			
	<p>b. a notification of any changes to the regulatory undertakings and commitments stated in the notification of regulatory undertakings (NoRU)</p> <p>Guidance</p> <p>This notification should include additions to outage scope, such as component repairs or replacement resulting from conducting a planned inspection during the outage.</p>	7 days		
	<p>c. an outage of completion assurance statement (OCAS) confirming that all regulatory undertakings were successfully completed during the outage</p> <ul style="list-style-type: none"> the OCAS shall include any conditions that the licensee imposed upon reactor restart and/or subsequent operation to ensure the continued safe operation of the nuclear facility the OCAS should include the status of planned work that was identified in the NoRU <p>Guidance</p> <p>Regulatory undertakings that are not completed during the outage should be identified in the OCAS.</p>	30 days after the outage		

A.17 Missed regulatory predefines (scheduled plant activities)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
17	<p>Specific reporting provisions</p> <p>The licensee shall report on situations or events that result in any failure to perform a test that is required by a licence condition, including any routine test of a SSC important to safety that is required by a licensing document that has not been deferred in accordance with procedures that are permitted by the licence.</p> <p>Guidance</p> <p>This specific reporting provision includes missed preventative maintenance calibrations for instruments identified in licensee SOE documentation.</p> <p>The following failures do not need to be reported unless required by another reporting provision:</p> <ul style="list-style-type: none"> • vacuum relief valves, provided they are non-code valves and they do not perform a safety function • power operated relief valves, provided they do not perform a safety function • pressure relief valves in systems that are not or would not be required to be registered under CSA N285.0, <i>General requirements for pressure-retaining systems and components in CANDU nuclear power plants</i> [5] <p>Reports made under this provision should be consistent with the notes in safety performance indicator 17 (SPI-17), Safety System Test Performance (see Appendix B).</p> <p>Any missed preventive maintenance (PM) on a non-SSC important to safety is not reportable.</p>		7 days	60 days

A.18 Other reportable situations and events

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
18	<p>Specific reporting provisions</p> <p>The licensee shall report on all other situations or events that are not otherwise specified in this document but can be reasonably assumed to be of regulatory interest, including notifications and situations or event reports to other regulatory agencies within the scope covered by the objects of the Commission (see section 9 of the NSCA), or where CNSC requests the report.</p> <p>Guidance</p> <p>The licensee may submit copies of the report(s) or notification(s) prepared for other governing bodies to the CNSC as a preliminary event report.</p> <p>Licensees should look at all other reporting provisions before considering reporting under reporting provision 18.</p> <p>The term “of regulatory interest” is intended to include any situation or event that could be of concern, including but not limited to:</p> <ul style="list-style-type: none"> • any matter or item of regulatory interest that the CNSC has previously or currently expressed interest in and/or concern • matters that are likely to have public or community concern • matters that are likely to have media attention • negative trends or non-conservative behaviours <p>This reporting provision could include site-specific scenarios that are not covered elsewhere.</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

A.19 Misuse of anything intended to protect the environment and the health and safety of persons or maintain security

Note: related to authorized activities (see A.1, A.2 and A.3 in this appendix)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
19	<p>NCSA:</p> <p>48. Every person commits an offence who</p> <p>(a) alters, otherwise than pursuant to the regulations or a licence, or misuses anything the purpose of which is to</p> <p style="padding-left: 40px;">(i) protect the environment or the health or safety of persons from any risk associated with the development, production or use of nuclear energy or the possession or use of a nuclear substance, prescribed equipment or prescribed information, or</p> <p>(k) fails to comply with this Act or any regulation made pursuant to this Act.</p> <p>GNSCR:</p> <p>17. Every worker shall</p> <p>(b) comply with the measures established by the licensee to protect the environment and the health and safety of persons, maintain security, control the levels and doses of radiation, and control releases of radioactive nuclear substances and hazardous substances into the environment;</p> <p>Specific reporting provision</p> <p>The licensee shall report on situations or events:</p> <ul style="list-style-type: none"> • where an offence is committed or there is a misuse of anything intended to protect the environment or the health or safety of persons from any risk associated with authorized activities 		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> where workers failed to comply with licensees’ measures to protect the environment and the health and safety of persons, maintain security, control the levels and doses of radiation, and control releases of nuclear and hazardous substances into the environment <p>Guidance</p> <p>The term “misuse” refers to intentional misuse and would include tampering and using something in an unsuitable or unintended way, but would not include an unintentional mistake or ignorance.</p> <p>Violations to the alcohol or drug-related fitness for duty policy, including the use, sale, distribution, possession or presence of illegal drugs, or the consumption or presence of alcohol or cannabis at a high-security site, should be reported under this reporting provision.</p> <p>The discovery of a degradation or vulnerability that may permit undetected drug or alcohol use or abuse by workers, such as but not limited to quality assurance or testing errors, should be reported under this reporting provision.</p> <p>Any intentional act that could jeopardize the integrity of alcohol and drug testing results should be reported under this reporting provision.</p>			

A.20 Actual or potential exposure in excess of legal radiation dose limits (worker)

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
20a)	<p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(b) the occurrence of an event that is likely to result in the exposure of persons to radiation in excess of the applicable radiation dose limits prescribed by the <i>Radiation Protection Regulations</i>;</p>		Immediate	Within 21 days
20b)	<p><i>Radiation Protection Regulations (RPR):</i></p> <p>15 (1) The effective dose limits and equivalent dose limits prescribed in sections 13 and 14 do not apply to a person participating in the control of an emergency.</p> <p>16 When a licensee becomes aware that a dose of radiation received by or committed to a person or an organ or tissue may have exceeded an applicable dose limit prescribed by section 13 or 14, the licensee must</p> <p>(a) immediately notify the person and the Commission of the dose;</p> <p>(e) within 21 days after becoming aware that the dose limit has been exceeded, report to the Commission the results of the investigation or the progress that has been made in conducting it.</p> <p>Guidance</p> <p>Participating in the control of an emergency is understood to mean a person who is engaged in emergency response [12]. Event reports submitted under this provision contain personal information and should be reported on the Personnel Situation Report, consistent with section 2, item 3 of this document.</p>	Immediate		Within 21 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
20c)	<p>Specific reporting provisions</p> <p>The licensee shall report on any situations or events that could have caused a reportable dose of radiation under the <i>Radiation Protection Regulations</i> but did not, due to fortuitous circumstances rather than to approved procedures.</p>		Immediate	Within 21 days
20d)	<p>NSCA:</p> <p>45. Every person who, on reasonable grounds, believes that</p> <p>(b) an event has occurred that is likely to result in the exposure of persons or the environment to a dose of radiation in excess of the prescribed limits, shall immediately notify the Commission or an appropriate authority of the location and circumstances of the contamination or event.</p>	Immediate		Within 21 days

A.21 Reaching an action level for the purposes of environmental or radiation protection

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
21	<p>RPR</p> <p>6. (2) When a licensee becomes aware that an action level referred to in the licence for the purpose of this subsection has been reached, the licensee must</p> <p>(c) notify the Commission within the period specified in the licence</p> <p>Specific reporting provisions</p>	Within the period specified in the licence	Within the period specified in the licence	60 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	After becoming aware of situations or events that result in an action level being reached, the licensee shall report to the CNSC the results of the investigation or on the progress that has been made in conducting the investigation.			

A.22 Nuclear and hazardous substance release

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
22	<p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(c) a release, not authorized by the licence, of a quantity of radioactive nuclear substance into the environment.</p> <p>Specific reporting provisions</p> <p>The licensee shall report on the following situations or events:</p> <ul style="list-style-type: none"> a. any failure to monitor, control or record the release of a nuclear substance as required by the licence b. any failure to monitor or control the release of a hazardous substance as required by any federal or provincial regulation, or a licence, permit or certificate issued by a municipal, provincial or other federal authority c. any event that either has or has the potential to adversely affect the environment <p>Guidance</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>For item b, a failure to collect an individual sample where justified is not considered failure to monitor. For the purposes of event reporting, failure to monitor is more appropriately considered in the context of programmatic failure.</p> <p>An unmonitored or uncontrolled release of a nuclear or hazardous substance into the environment is reportable if the licensee cannot demonstrate that the release did not exceed regulatory limits or the release has occurred at other than established points of release.</p> <p>Reported spills do not include releases onto artificial surfaces (e.g. concrete, asphalt) which are contained and which the licensee can recover.</p> <p>Note: Spills and release estimates for events not exceeding regulatory limits should be reported in the quarterly safety performance indicators, SPI-5, Environmental Releases - Radiological and SPI-6, Spills (see Appendix B).</p>			

A.23 Exposure devices and sealed source assemblies

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
23a)	<p><i>Nuclear Substances and Radiation Devices Regulations (NSRDR):</i></p> <p>30. (2) Every licensee who becomes aware of any of the following situations shall notify the Commission immediately of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(a) the exposure device or the sealed source assembly is lost, stolen or damaged to an extent that could impair its normal use;</p>	Immediate		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<ul style="list-style-type: none"> (b) the exposure device has a radiation dose rate of more than 2 mSv per hour on any part of its surface when the sealed source assembly is in the shielded position; (c) the sealed source assembly is separated from the exposure device when the latter is not being serviced; or (d) the sealed source assembly fails to return to the shielded position inside the exposure device. 			
23b)	<p>NSRDR:</p> <p>38. (2) Every licensee referred to in subsection (1) or subsection 30(2) who becomes aware of a situation referred to in one of those subsections shall file a full report of the situation with the Commission within 21 days after the day on which the licensee becomes aware of it or within the period specified in the licence, and the report shall contain the following information:</p> <ul style="list-style-type: none"> (a) a description of the situation, the circumstances and the problem, if any, with the radiation device; (b) the probable cause of the situation; (c) the nuclear substance, and if applicable, the brand name, model number and serial number of the radiation device involved; (d) the date, time and location where the situation occurred or, if unknown, the approximate date, time and location, and the date and time of becoming aware of the situation; (e) the actions that the licensee has taken to re-establish normal operations; (f) the actions that the licensee has taken or proposes to take to prevent a recurrence of the situation; (g) if the situation involved an exposure device, the qualifications of the workers, including any trainee, who were involved; 	Within 21 days		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>(h) the effective dose and equivalent dose — as those terms are defined in subsection 1(1) of the <u>Radiation Protection Regulations</u> — received by any person as a result of the situation; and</p> <p>(i) the effects on the environment, the health and safety of persons and the maintenance of security that have resulted or may result from the situation.</p>			

A.24 Notification of sealed source leakage of 200 Bq or greater

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
24	<p>NSRDR:</p> <p>18. (3) Where a licensee, in the course of conducting a leak test on a sealed source or on shielding, detects the leakage of 200 Bq or more of a nuclear substance, the licensee shall</p> <p>(d) immediately after complying with paragraphs (a) to (c), notify the Commission that the leakage has been detected.</p>	Immediate		

A.25 Filing of a sealed source tracking report

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
25	<p>Specific reporting provisions</p> <p>The licensee shall provide notification of any import, export, transfer or receipt of sealed sources using the CNSC database (the sealed source tracking system) that tracks the location of each significantly hazardous nuclear source (IAEA Category 1 and 2 sources and sources used for industrial radiography regardless of category) in Canada.</p> <p>The notification shall include:</p> <ol style="list-style-type: none"> 1. on transfer or export of a sealed source(s): <ol style="list-style-type: none"> a. the date of transfer or export b. the export licence number (where applicable) c. the name of the recipient and licence number or the name of the importer d. the address of the recipient's or importer's authorized location e. the nuclear substance (radionuclide) f. activity (radioactivity) (Bq) per sealed source on the reference date g. the reference date h. the number of sealed source(s) i. the aggregate activity (Bq) j. the sealed source unique identifiers (if available) k. where the sealed source is incorporated into prescribed equipment: <ol style="list-style-type: none"> i. the name and model number of the equipment ii. the equipment serial number (if available) 	At least 7 days before transfer out or export, and within 48 hours of receipt or import		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	2. on receipt or import of a sealed source(s): <ul style="list-style-type: none"> a. the date of receipt of a transfer or import b. the name of the shipper and licence number or the name of the exporter c. the address of the shipper's or exporter's authorized location d. the nuclear substance (radionuclide) e. activity (radioactivity) (Bq) per sealed source on the reference date f. the reference date g. the number of sealed source(s) h. the aggregate activity (Bq) i. sealed source unique identifiers (if available) j. where the sealed source is incorporated into prescribed equipment: <ul style="list-style-type: none"> i. the name and model number of the equipment ii. the equipment serial number (if available) 			

A.26 Theft or loss of nuclear substance, prescribed equipment or prescribed information

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
26	NSCA: 27. Every licensee and every prescribed person shall		Immediate (higher significance)	60 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>(b) make the prescribed reports and file them in the prescribed manner, including a report on</p> <p>(i) any theft or loss of a nuclear substance, prescribed equipment or prescribed information that is used in carrying on any activity that is authorized by this Act.</p> <p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(a) a situation referred to in paragraph 27(b) of the NSCA</p>			

A.27 Actual or attempted breach of security or act of sabotage

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
27	<p>GNSCR:</p> <p>29. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the location and circumstances of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(e) an attempted or actual breach of security or an attempted or actual act of sabotage at the site of the licensed activity;</p> <p>Specific reporting provisions</p> <p>The licensee shall report on:</p>		<p>Immediate (higher significance)</p> <p>or</p> <p>14 days (lower significance)</p>	<p>60 days (higher significance)</p>

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>a. any attempted or actual cyber-attack against computer-based systems and/or subsystems that adversely impacts or potentially impacts the safety, security, emergency preparedness or safeguard functions</p> <p>b. any security incident in the form of:</p> <ul style="list-style-type: none"> i. an actual or attempted breach of the licensee’s physical protection system ii. an actual or attempted act of sabotage at the facility iii. a misuse of security-related equipment that may result in a security and/or safety vulnerability iv. the discharge of firearm in a use-of-force application v. the application of any use of force vi. a credible threat made against the NPP <p>Guidance</p> <p>Immediate reporting is required only where a hazard to health, safety and security of persons and the environment or to the security of the nuclear facility exists.</p> <p>Licensees should assume threats are credible until law enforcement determines otherwise. A credible threat made against the NPP can include an actual or attempted breach of the licensee’s physical protection system or an actual or attempted act of sabotage at the facility.</p>			

A.28 Filing of security record for threat and risk assessment

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
28	<p>Nuclear Security Regulations (NSR):</p> <p>7.5 (4) Every licensee shall provide a copy of the written [threat and risk assessment] record, together with a statement of actions taken as a result of the threat and risk assessment, to the Commission within 60 days after completion of the assessment.</p> <p>Specific reporting provisions:</p> <p>For the Annual Report for Threat and Risk Assessment:</p> <ul style="list-style-type: none"> the licensee, upon their assessment that is conducted every 12 months, shall provide a summary to the CNSC of the information collected and analyzed from the previous year’s assessment, and provide information about changes to the facility and surrounding community that influenced the threat and risk assessment every 5 years, the licensee shall provide to the Commission a copy of the written record together with a statement of actions taken as a result of the threat and risk assessment, within 60 days after completion of the assessment <p>Guidance</p> <p>The following are the 10 key principles that should be covered in the licensee’s threat and risk assessment (TRA) methodology:</p> <ol style="list-style-type: none"> summary of management processes and procedures for conducting a TRA (site specific) data collection to be included in the submission (interviews, intelligence, local law enforcement, site staff interviews, news outlets, environmental data, etc.) documented analysis of facility policies and procedures taken into consideration (security or other) 	Within 60 days		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	4. summary of how asset identification was completed, and rationale on where the “asset identification line” is located 5. asset identification (all systems related to nuclear material and substances, security systems associated with protection of those assets, all vital areas, employees, security staff, material and substances, etc.) 6. threat analysis to identified assets 7. vulnerability assessment 8. countermeasures and effectiveness 9. correlation and assessment of risk acceptability clearly defined 10. recommendations on residual risk and risk acceptance			

A.29 Notification of revocation of authorization

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
29	<p>NSR:</p> <p>21. (2) Subject to subsection (3), a licensee shall immediately notify the Commission in writing of any revocation made under subsection (1) and the reasons for it.</p> <p>(3) If a revocation is in respect of an authorization under section 17, a licensee need not inform the Commission of the revocation and the reasons for it unless the revocation was made because there were reasonable grounds to believe that the person to whom the authorization was issued posed or could have posed a risk to the security of the facility.</p>	Immediate		

A.30 Notification of intent to conduct security exercise

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
30	<p>NSR:</p> <p>36. (3) Every licensee shall notify the Commission in writing of its intention to conduct a security exercise at least 60 days before the exercise date.</p> <p>Guidance</p> <p>Security exercises include cyber security exercises.</p>	At least 60 days before the exercise date		

A.31 Safeguards

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
31	<p>GNSCR:</p> <p>30. (1) Every licensee who becomes aware of any of the following situations shall immediately make a preliminary report to the Commission of the situation and of any action that the licensee has taken or proposes to take with respect to it:</p> <p>(a) interference with or an interruption in the operation of safeguards equipment or the alteration, defacement or breakage of a safeguards seal, other than in accordance with the safeguards agreement, the Act, the regulations made under the Act or the licence; and</p> <p>(b) the theft, loss or sabotage of safeguards equipment or samples collected for the purpose of a safeguards inspection, damage to such equipment or samples, or the illegal use, possession, operation or removal of such equipment or samples.</p>		Immediate	21 days

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>(2) Every licensee who becomes aware of a situation referred to in subsection (1) shall file a full report of the situation with the Commission within 21 days after becoming aware of it, unless some other period is specified in the licence, and the report shall contain the following information:</p> <ul style="list-style-type: none"> (a) the date, time and location of becoming aware of the situation; (b) a description of the situation and the circumstances; (c) the probable cause of the situation; (d) the adverse effects on the environment, the health and safety of persons and the maintenance of national and international security that have resulted or may result from the situation; (e) the effective dose and equivalent dose of radiation received by any person as a result of the situation; and (f) the actions that the licensee has taken or proposes to take with respect to the situation. 			

A.32 Dangerous occurrences

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
32	<p>Packaging and Transport of Nuclear Substances Regulations, 2015 (PTNSR, 2015):</p> <p>35. For the purposes of sections 36 to 38, a dangerous occurrence is any of the following situations:</p> <ul style="list-style-type: none"> (a) a conveyance carrying radioactive material is involved in an accident; (b) a package shows evidence of damage, tampering or leakage of its contents, or its integrity is degraded in a manner that may reasonably be expected to impair its ability to comply with these Regulations or its certificate; (c) radioactive material is lost, stolen or no longer in control of a person who is required to have control of it under the Act; (d) radioactive material has escaped from a containment system, a package or a conveyance during transport; (e) fissile material is outside the confinement system during transport; (f) the level of non-fixed contamination, as defined in the IAEA Regulation, during transport exceeds the following limits as applicable when averaged over any area of 300 cm² of any part of the surface of the package or the conveyance: <ul style="list-style-type: none"> (i) 4 Bq/cm² for beta and gamma emitters and low toxicity alpha emitters, or (ii) 0.4 Bq/cm² for all other alpha emitters (g) there is a failure to comply with the provisions of the Act, the provisions of these Regulations or any licence or certificate that is applicable to a package that may reasonably be expected to lead to a situation in which the environment, the health and safety of persons or national security is adversely affected. 			

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>37. (2) No preliminary report is required for the dangerous occurrence referred to in 35(f) in respect of the internal surfaces of a tank or intermediate bulk container, as those terms are defined in the IAEA Regulations – or of a freight container or conveyance – that is dedicated to the transport of radioactive material under exclusive use for as long as it remains under that specific exclusive use.</p> <p>Guidance</p> <p>Relating to paragraph 35(a) of the PTNSR, 2015, regardless of the severity of the accident, the reporting requirements remain unchanged. All accidents involving a conveyance carrying radioactive material must be reported.</p> <p>Relating to paragraph 35(b) of the PTNSR, 2015, all damage sustained by a package during the loading or unloading process or during the course of transportation, regardless of the severity, must be reported. However, normal wear and tear sustained by a package is not reportable. Examples of normal wear and tear include, but are not limited to, a cringed corner on a fiberboard box, paint scratches, minor dents, surface rust.</p> <p>As per paragraph 35(g) of the PTNSR, 2015, not all non-compliances are considered a dangerous occurrence, and therefore reportable. Only those non-compliances that can adversely affect the environment, the health and safety of persons or national security are reportable.</p> <p>Examples of non-compliances relating to the transport documents that do not require reporting include:</p> <ul style="list-style-type: none"> • typographical errors such as incorrect spelling of shipping names • activity not accurately matching what was in transport or what was stated on transport labels • incomplete or incorrect declaration <p>Note that if no transport document is present during transport, this would be reportable.</p>			

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>Examples of non-compliances relating to the labeling or marking of packages that do not require reporting include:</p> <ul style="list-style-type: none"> • activity not accurately matching what was in transport or what is stated on the transport document • incorrect transport index noted on label • typographical errors such as incorrect spelling of shipping names • missing mark, as long as it does not adversely affect the environment, the health and safety of persons or national security, such as the international vehicle registration code (VRI code) <p>Any non-compliance with section 26 of the PTNSR, 2015 must be reported.</p>			
32a)	<p>PTNSR, 2015:</p> <p>36. (2) As soon as feasible after a dangerous occurrence has occurred the consignor, carrier or consignee of the package or radioactive material involved in the occurrence must have an expert in radiation protection assess the situation. The expert must report the results of the assessment to the Commission as soon as feasible.</p> <p>Guidance</p> <p>The expert in radiation protection may be an employee of the consignor, carrier or consignee, or may be an independent consultant retained for the purpose of assessing the situation and reporting to the Commission.</p>	As soon as feasible after a dangerous occurrence		

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
32b)	<p>PTNSR, 2015:</p> <p>37. (1) Immediately after becoming aware of a failure to comply with the requirements of section 26 or after the obligations set out in subsection 36(1) have been discharged, every consignor, carrier, consignee and holder of a licence to transport a package while in transit must make a preliminary report of the situation to the Commission.</p> <p>38. Within 21 days after the failure to comply with the requirements of section 26 or after the dangerous occurrence, the consignor, carrier and consignee and any holder of a licence to transport a package while in transit must file a full report with the Commission that includes the following information:</p> <ul style="list-style-type: none"> (a) the date, time and location of the failure to comply or of the dangerous occurrence; (b) the names of the persons involved; (c) the details of the packaging and packages; (d) the probable cause; (e) the effects on the environment, the health and safety of persons, and national or international security that have resulted or may result; (f) the doses of radiation that any person has received or is likely to have received; and (g) the actions taken to remedy the failure to comply or the dangerous occurrence and to prevent its recurrence. <p>Guidance</p> <p>Subsection 31(1) and section 38 refer to section 26, which sets out the requirements for presenting a package containing radioactive material or a nuclear substance for transport.</p> <p>Subsection 37(1) refers to subsection 36(1), which sets out the [non-reporting] obligations of the consignor, carrier or consignee in the event of a dangerous occurrence.</p>		Immediate	Within 21 days after a dangerous occurrence or a failure to comply with the requirements

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>For any non-compliances with section 26 of the PTNSR, 2015, reports are required. Examples of non-compliances associated with section 26 include, but are not limited to, the use of improper package type, preparing a package for transport in a manner that was not in accordance with its manufacturing standard, loading a package with radioactive material that exceeds the capacity of the package.</p> <p>As stated in subsection 37(2), no preliminary report is required for the dangerous occurrence referred to in paragraph 35(f) in respect of the internal surfaces of a tank or intermediate bulk container, as those terms are defined in the IAEA Regulations, or of a freight container or conveyance – that is dedicated to the transport of unpackaged radioactive material under exclusive use for as long as it remains under that specific exclusive use.</p>			

A.33 Package is damaged, tampered with, or contents are outside the containment system

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
33	<p>PTNSR, 2015:</p> <p>40. (3) Every person who receives a package or who opens a package must, at that time, determine if any of the following conditions exist:</p> <ul style="list-style-type: none"> (a) the package is damaged; (b) the package has been tampered with; (c) if the package contains fissile material, whether any portion of the fissile material is outside the confinement system; and (d) any portion of the contents of the package is outside the containment system. 		Immediate	Within 21 days after the discovery

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
	<p>(4) If any of the conditions exist, the person must immediately make a preliminary report to the Commission and to the consignor.</p> <p>(5) The preliminary report must include information on how and where the condition was discovered and on any action that the person has taken or proposes to take with respect to it.</p> <p>(6) Within 21 days after the condition has been discovered the consignor and the person who made the preliminary report must file a full report with the Commission that includes the following information:</p> <ul style="list-style-type: none"> (a) the date, time and location of the discovery of the condition; (b) the names of the persons involved; (c) the details of the packaging and packages; (d) the probable cause; (e) the effects on the environment, the health and safety of persons, and national or international security that have resulted or may result; (f) the doses of radiation that any person has received or is likely to have received; and (g) the actions taken to remedy the condition and to prevent its recurrence. <p>Guidance</p> <p>The 21-day detailed event report only has to include what happened as per the PTNSR, 2015.</p>			

A.34 Notification of undeliverable consignments

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
34	<p>PTNSR, 2015:</p> <p>41. If a consignment cannot be delivered to the consignee, the carrier must</p> <p>(a) notify the consignor, the consignee and the Commission</p>	As soon as feasible		

A.35 Hours of work exceedances

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
35	<p>Specific reporting provisions</p> <p>The license shall report on any situations or events involving hours of work exceedances for safety-sensitive positions for the following limits:</p> <p>a) 16 hours of work in a 24-hour period; and</p> <p>b) minimum recovery period of eight consecutive hours free from work between shifts.</p>		<p>Immediate (higher significance) or</p> <p>14 days (lower significance)</p>	60 days

A.36 Firearms or special security equipment

No.	Event, notification or filing of specific records with the CNSC	Timing		
		Notification or filing of specific records	Preliminary event reports	Detailed event reports
36	<p>Specific reporting provisions</p> <p>The licensee shall report on all situations or events involving firearms or special security equipment, including:</p> <ul style="list-style-type: none"> i. the negligent, accidental or unintentional discharge of a firearm or special security equipment ii. the removal of a firearm from the facility without prior CNSC authorization iii. the theft or loss of a firearm or special security equipment iv. any other conditions outlined in the public agent or peace officer authorization <p>Guidance</p> <p>The discharge of a firearm or special security equipment is considered a higher significance event. The police agency of jurisdiction needs to be made immediately aware of any stolen or missing firearms. These reporting provisions apply if a firearm is negligently, accidentally or unintentionally discharged on site or not, for any reason.</p>		Immediate	60 days

Appendix B: Safety Performance Indicators

NOTE: Performance data indicator sheets have been added to the consultation copy for ease of review. The final published document will include the specifications found in Appendix B, but the revised datasheets will be removed and published separately on the CNSC's website.

This appendix provides the specifications for each safety performance indicator. The safety performance indicator reports shall be based on these specifications.

Sample data sheets are available on the CNSC's website.

B.1 Collective Radiation Exposure

Purpose:

To indicate the total dose of ionizing radiation received by all individuals working at the nuclear power plant (NPP) and its related facilities.

To monitor the performance in keeping NPP whole-body dose as low as reasonably achievable.

Definitions:

Total dose is the sum of all effective doses (received and committed) assigned to all individuals, including contract staff and visitors, exposed to ionizing radiation at operating stations and associated sites.

Calculations:

Online (in operation) whole-body dose = collective external radiation exposure (mSv) + collective internal radiation exposure (mSv)

Outage whole-body dose = collective external radiation exposure (mSv) + collective internal radiation exposure (mSv)

Notes:

Collective dose is the total dose for the NPP. For multi-unit stations, it includes all units. The licensees are to provide a brief summary of the activities that contributed to the collective dose.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Collective Radiation Exposure	
NPP:	
Year:	
Quarter:	
Online (in operation) whole-body dose:	
External dose (mSv)	
Internal dose (mSv)	
Total online (in operation) whole-body dose (mSv)	
Number of workers receiving a non-zero radiation dose	
Number of units operating	
Number of units being rehabilitated	
Days in operation	
Average (mean) dose	
Median dose	
Outage whole-body dose from planned outages:	
External dose (mSv)	
Internal dose (mSv)	
Total outage whole-body dose (mSv)	
Number of workers receiving a non-zero radiation dose	
Outage duration (days)	
Outage whole-body dose from unplanned/forced outages:	
External dose (mSv)	
Internal dose (mSv)	
Total unplanned outage whole-body dose (mSv)	
Number of workers receiving a non-zero radiation dose	
Unplanned outage duration (days)	
Total dose:	
Total online and outage external dose (mSv)	
Total online and outage internal dose (mSv)	
Total collective dose (mSv)	
Maximum dose	
Maximum whole-body dose	
Worker's work group	
Work performed	

Additional details as required:	
Prepared by:	Date:

B.2 Personnel Contamination Events

Purpose:

To indicate the total personnel contamination events that occurred at the NPP and its related facilities.

Definitions:

Tier 1 event: > 50,000 cpm on skin, clothing, modesty garments

Tier 2 event: > 5,000 cpm on skin, clothing, modesty garments

Tier 3 event: ≥ 100 cpm on skin, clothing, modesty garments (not radiation personal protective equipment (RPPE))

Calculations:

Data only.

Notes:

As the licensee’s available data permits, it is acceptable to submit the number of events at the entire NPP as stated in the purpose or the number of events at NPP units, as shown in the data sheet e-form.

The licensees are to provide the skin dose received from a skin contamination, if any. The licensees are to provide the Station Condition Record/Problem Identification and Corrective Action (SCR/PICA) numbers for each Tier 1 and Tier 2 event and a brief description of each event.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Personnel Contamination Events								
NPP:								
Year:								
Quarter:								
PCE	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Tier 1 (>50,000 cpm)								
Tier 2 (>5,000 cpm)								
Tier 3 (≥ 100 cpm)								
The licensee's current basis document(s)* that define the three PCE Tiers are:								
Document title			Reference number			Revision number		

Additional details as required:	
Prepared by:	Date:

B.3 Unplanned Dose / Unplanned Exposure

Purpose:

To indicate the estimated unplanned external whole-body exposure and unplanned internal exposure received at the NPP and its related facilities.

Definitions:

Unplanned external whole-body exposure:

- Tier 1 event: ≥ 2 mSv (200 mrem) above plan
- Tier 2 event: ≥ 1 mSv (100 mrem) above plan
- Tier 3 event: ≥ 0.1 mSv (10 mrem) above plan

Unplanned internal tritium exposure:

- Tier 1 event: ≥ 2 mSv (200 mrem) above plan
- Tier 2 event: ≥ 1 mSv (100 mrem) above plan
- Tier 3 event: ≥ 0.3 mSv (30 mrem) above plan

Unplanned internal exposure events (other than tritium):

- \geq the licensee's recording level

Calculations:

Data only.

Notes:

The term "unplanned" refers to a radiation dose that exceeds the estimated dose in the radiological plan for associated work authorization or ALARA assessment. The licensees are to provide the Station Condition Record/Problem Identification and Corrective Action (SCR/PICA) numbers for each Tier 1 and Tier 2 event and a brief description of each event.

For any unplanned internal exposure other than tritium, the licensees are to provide a brief description of the event, including the radionuclides of concern, such as radioiodine, C-14, MFAP or TRU, the dose received from the event and any other relevant details.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Unplanned Dose / Unplanned Exposure		
NPP:		
Year:		
Quarter:		
<p>Unplanned external whole-body exposure</p> <p>Tier 1 event: ≥ 2 mSv (200 mrem) above plan: _____</p> <p>Tier 2 event: ≥ 1 mSv (100 mrem) above plan: _____</p> <p>Tier 3 event: ≥ 0.1 mSv (10 mrem) above plan: _____</p> <p>Unplanned internal tritium exposure</p> <p>Tier 1 event: ≥ 2 mSv (200 mrem) above plan: _____</p> <p>Tier 2 event: ≥ 1 mSv (100 mrem) above plan: _____</p> <p>Tier 3 event: ≥ 0.3 mSv (30 mrem) above plan: _____</p> <p>Unplanned internal exposure events (other than tritium)</p> <p>\geq the licensee's recording level: _____</p> <p>The licensee's current basis document(s) that define Unplanned Dose / Unplanned Exposure Tiers events are:</p>		
Document title	Reference number	Revision number

Additional details as required:	
Prepared by:	Date:

B.4 Loose Contamination Events

Purpose:

To indicate the loose contamination events that occurred at the NPP and its related facilities.

Definition:

Tier 1 event: Loose or fixed contamination ≥ 37 kBq/m² in zone 1 or public domain

Tier 2 event: Loose or fixed contamination in unzoned area, zone 1 or public domain, or widespread loose in Zone 2

Tier 3 event: Widespread loose contamination in zone 3 or isolated loose in zone 2

Calculations:

Data only.

Notes:

The term “loose contamination” includes uncontrolled nuclear substances independent of whether the substance is removable or fixed.

The term “widespread” uses the following definition: “contamination is found in multiple locations traceable to a common source.”

The term “isolated” is intended to mean a specific area with defined borders such as an object or small surface.

The licensees are to provide the Station Condition Record/Problem Identification and Corrective Action (SCR/PICA) numbers for each Tier 1 and Tier 2 event and a brief description of each event.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Loose Contamination Events		
NPP:		
Year:		
Quarter:		
<p>Tier 1 event: Loose or fixed contamination ≥ 37 kBq/m² in zone 1 or public domain: _____</p> <p>Tier 2 event: Loose or fixed contamination in unzoned area, zone 1 or public domain, or widespread loose in zone 2: _____</p> <p>Tier 3 event: Widespread loose contamination in zone 3 or isolated loose in zone 2: _____</p> <p>The licensee's current basis document(s) that define Unplanned Dose / Unplanned Exposure Tiers events are:</p>		
Document title	Reference number	Revision number
Additional details as required:		
Prepared by:		Date:

B.5 Environmental Releases – Radiological

Purpose:

To indicate the airborne carbon 14 releases, airborne tritium releases and waterborne tritium releases at the NPP and its related facilities.

Definitions:

Airborne tritium release is the weekly tritium air emissions released to the environment via monitored pathways from each station.

Airborne noble gas release is the weekly noble gas air emissions released to the environment via monitored pathways from each station.

Airborne iodine 131 release is the weekly iodine 131 air emissions released to the environment via monitored pathways from each station.

Airborne radioactive particulate release is the weekly radioactive particulate air emissions released to the environment via monitored pathways from each station.

Airborne carbon 14 release is the weekly carbon 14 air emissions released to the environment via monitored pathways from each station.

Waterborne tritium release is the monthly tritium liquid effluent released to the environment via monitored pathways from each station.

Waterborne gross beta/gamma release is the monthly beta/gamma liquid effluent released to the environment via monitored pathways from each station.

Waterborne carbon 14 release is the monthly carbon 14 liquid effluent released to the environment via monitored pathways from each station.

Calculations:

Data only.

Notes:

In addition to the SPI form, licensees shall also submit their effluent data in an electronic spreadsheet format as part of their quarterly SPI reports.

“Airborne” and “waterborne” releases are radiological releases from the NPP. “Related facilities” are those facilities that have radiological releases to the environment that contribute to the annual total effective dose to the public from the site and have licensed release limits (e.g., Derived Release Limits (DRLs)) and/or environmental action levels. Releases, other than airborne and waterborne releases from “related facilities” that have licensed release limits and/or environmental action levels established in the NPP licence, are not included in this SPI. Such releases are only reported in the annual environmental protection report in section 3, item 5 of REGDOC-3.1.1 (e.g., sewer releases from Pickering are only reported in the annual EP report).

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Environmental Releases – Radiological																
NPP:																
Year:																
Quarter:																
Weekly airborne releases for the quarter (discharges to air): (AL = action limit and DRL = derived release limit)																
	Tritium oxide		Elemental tritium		Noble gases		Radioiodines		Particulates (Gross alpha)		Particulates (Gross beta/gamma)		Carbon-14			
Week	Bq/wk	%DRL/wk	Bq/wk	%DRL/wk	Bq/wk	%DRL/wk	Bq/wk	%DRL/wk	Bq/wk	%DRL/wk	Bq/wk	%DRL/wk	Bq/wk	%DRL/wk		
1																
2																
3																
4																
5																
6																
7																
8																
9																
10																
11																
12																
13																
Monthly waterborne releases for the quarter (discharges to water): (AL = action limit and DRL = derived release limit)																
	Tritium oxide				Particulates (Gross alpha)				Particulates (Gross beta/gamma)				Carbon-14 AL: Bq/month DRL: Bq/year			

Month	Bq/month	%DRL/month	Bq/month	%DRL/month	Bq/month	%DRL/month	Bq/month	%DRL/month
M1								
M2								
M3								
Total								
Additional details as required:								
Prepared by:					Date:			

B.6 Spills

Purpose:

To indicate the total Category A, B and C spills that occurred at the NPP and its related facilities.

Definitions:

A Category A/1 spill causes or may cause one or more of the following adverse effects:

- widespread injury or damage to plant or animal life
- harm or material discomfort to any person
- adverse effect on the health of any person
- impairment of the safety of any person

A Category B/2 spill causes or may cause one or more of the following adverse effects:

- localized injury or damage to any animal life
- widespread or long-term interference with the normal conduct of business
- widespread or long-term loss of enjoyment of the normal use of property
- widespread damage to property other than plant or animal life
- damage to property, other than plant or animal life, such that the property cannot be restored, within a reasonable time, to the condition that existed immediately before the discharge occurred

A Category C/3 spill requires reporting to the Ministry of the Environment but is not classified as either very serious (Category A/1) or serious (Category B/2) spill:

- little to no potential for environmental impact

Calculations:

Data only.

Notes:

In this context, “widespread” uses the following definitions: “contamination is found in multiple locations traceable to a common source.”

The term “localized” is intended to mean a specific area with defined borders such as an object or small surface.

The term “loss of enjoyment” is intended to mean a change in the normal usage of the property.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Spills	
NPP:	
Year:	
Quarter:	
Category A/1:	_____
Category B/2:	_____
Category C/3:	_____
Additional details as required:	
Prepared by:	Date:

B.7 Mispositioning Index

Purpose:

The mispositioning index value (MIV) is an aggregate index based on number of mispositioning events and consequential or non-consequential mispositionings.

Definitions:

NC = non-consequential mispositioning = structures, systems and components off baseline condition or when state changed as per instructions has an unexpected result that results in:

- no fluid / energy movement
- fluid / energy movement that has no operational consequence
- no challenge to personnel safety
- no introduction of energy into a work protection (WP) boundary

C = consequential mispositioning = structures, systems and components off baseline condition or when state changed as per instructions has an unexpected result that:

- resulted in fluid or energy movement (or lack of) that has operational consequences
- affected equipment operation (including poised systems)
- introduced energy into a WP boundary
- challenged personnel safety
- caused unplanned radiation exposure

E = Mispositioning event = structures, systems and components off baseline condition or when state changed as per instructions has an unexpected result that:

- caused a transient or would have prevented operation when called to in response to a transient
- caused a safety system actuation or would have prevented a poised or standby system from operating when called
- resulted in an unmonitored release or significant spill/contamination
- resulted in personal injury
- caused damage to safety-related system(s) or process system(s)

Index performance is averaged over a 3-month rolling period. Data is collected on a monthly basis.

Calculations:

$$\text{MIV} = 100 - (\text{E} * 10) - (\text{C} * 5) - (\text{NC} * 1)$$

Notes:

Performance flag: high is better

Unit of measure: percentage (three-month rolling average)

Include additional details for consequential events.

The term “mispositioning” means that something was found in a different state than expected or a normal change in state had an unexpected result.

The licensee’s event identifier and the date for category E and C events can be listed in the Additional Details text box.

This SPI is intended to match the World Association of Nuclear Operators (WANO) performance indicator of the same name.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Mispositioning Index				
NPP:				
Year:				
Quarter:				
Additional details on E and C events as required:				
	Number of Mispositioning events/month (E)	Number of Consequential Mispositioning events/month (C)	Number of Non-Consequential Mispositioning events/month (NC)	Mispositioning Index Value (MIV)
Current month				
Current month-1				
Current month-2				
Average MIV for all 3 months				
Note: Mispositioning index value (MIV) = 100 - (E*10) - (C*5) - (NC*1)				
Additional details as required:				
Prepared by:			Date:	

B.8 Number of Unplanned Transients

Purpose:

To indicate the number of reactor power transients due to equipment failures or operator errors while the reactor is not in a guaranteed shutdown state (GSS).

Definition:

The unplanned transients are the situations or events that result in a change of reactor operating states due to:

1. unplanned reactor setbacks and stepbacks, both automatic and manual, that occur while the reactor is not in a guaranteed shutdown state. These reactor setbacks and stepbacks are events resulting from internal plant equipment failure, spurious signal, human error or an external event.
2. unplanned reactor trips, both automatic and manual, that occur while the reactor is not in a guaranteed shutdown state. These reactor trips are events resulting from internal plant equipment failure, spurious signal, human error, or an external event.

Calculations:

Total number of unplanned transients in a quarter for a unit.

Total number of hours during which the reactor is either being placed in GSS or is in GSS.

Notes:

The manual reactor trips, setbacks or stepbacks that are required by planned (as opposed to forced) outage maintenance or routine testing are not to be included. Include additional details for setbacks and trips.

If a situation or event results in a combination of a reactor setback, stepback and/or trip in sequence, then the total number of transients will be counted as one.

If a situation or event results in a reactor trip on both shutdown systems, the number of reactor trips shall only be counted as one.

After a reset of reactor setback, stepback and/or trip by operator and the reactor power is allowed to increase, if another transient occurs because the causes of the initial transient were not corrected, then the subsequent reactor setback, stepback and/or trip shall be included in the calculation of the number of unplanned transients.

Data inputs for this SPI are related to SPI 13, Total Reactor Trips.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Number of Unplanned Transients				
NPP:				
Year:				
Quarter:				
Section 1.0 Reactor trips:				
Auto or manual	Affected trip parameter(s)	% full power prior to trip	Event date	Reference
Section 2.0 Reactor stepbacks:				
Auto or manual	Affected trip parameter(s)	% full power prior to trip	Event date	Reference
Section 3.0 Reactor setbacks:				
Auto or manual	Affected trip parameter(s)	% full power prior to trip	Event date	Reference
Additional details as required:				
Prepared by:			Date:	

B.9 Reactivity Management Index

Purpose:

The reactivity management index is based on the severity of reactivity management events.

Definition:

RMEC = reactivity management event category

RMEC1= significant reactivity management event:

An unplanned or uncontrolled change in reactivity that leads to a significant impact, including operation outside safe operating limits (e.g., as a result of a change in reactor configuration, status or poison concentration, operating policies and principles (OP&P) limits for reactor power exceeded).

RMEC2= reactivity management event:

An unplanned or uncontrolled change in reactivity that leads to an impact, including operation outside administrative (procedural) limits (e.g., as a result of a change in reactor configuration, status or poison concentration).

RMEC3= near miss reactivity management event:

Failure of a barrier, process or procedure for which there was minor or no direct impact on reactivity; however, under different circumstances, the failure could have led to a category 1 or 2 event (e.g., loss of redundancy on a reactivity management related system).

RMEC types:

- Type A: power and reactivity device control
- Type B: fuelling/fuel
- Type C: guaranteed shutdown state/criticality control
- Type D: safe operating envelope

Notes:

The basis for the RMEC types is COG GL 2007-01, *Screening and Trending of Reactivity Management Events (CANDU Plants)*.

Event summary:

- include summaries of the RMEC events
 - the summaries shall include a report number, RMEC category, RMEC type, unit, event title and date of occurrence
 - e.g., X-2013-123456, RMEC 2, Type A, Unit 1, Reactor stepback on approach to criticality, dd/mm/yyyy
- For RMEC 1 and RMEC 2 events, provide additional details to describe the circumstances of the event

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Reactivity Management Index																																																																	
NPP:																																																																	
Year:																																																																	
Quarter:																																																																	
<table border="1"><thead><tr><th>Event Identifier Number</th><th>RMEC Category</th><th>RMEC Type</th><th>Unit</th><th>Title</th><th>Date</th></tr></thead><tbody><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr><tr><td> </td><td> </td><td> </td><td> </td><td> </td><td> </td></tr></tbody></table>						Event Identifier Number	RMEC Category	RMEC Type	Unit	Title	Date																																																						
Event Identifier Number	RMEC Category	RMEC Type	Unit	Title	Date																																																												
Additional details as required:																																																																	
Prepared by:			Date:																																																														

B.10 Unit Capability Factor

Purpose:

To monitor progress in attaining high unit and industry energy production reliability. This indicator reflects effectiveness of plant programs and practices in maximizing available electrical generation and provides an overall indication of how well plants are operated and maintained.

Definition:

Unit capability factor is defined as the ratio of the available energy generation over a given time period to the reference energy generation over the same time period, expressed as a percentage.

Calculations:

The unit capability factor is determined for each period as shown below:

$$UCF = \frac{(REG - PEL - UEL)}{(REG)} \times 100$$

where:

UCF = unit capability factor

REG = reference energy generation for the period

PEL = total planned energy losses for the period

UEL = total unplanned energy losses for the period

Notes:

SPIs 10, 11 and 12 are reported on the same data sheet.

Performance Indicator Data Sheet (SPIs 10, 11 and 12)

Revision Date: yyyy-mm-dd

Title: Unit Capability Factor, Unplanned Capability Loss Factor and Forced Loss Rate								
NPP:								
Year:								
Quarter:								
	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Unit Capacity (MWe)								
Reference Period (hrs)								
Reference Energy Generation (MWe-hrs)								
Planned Energy Losses (MWe-hrs)								
Unplanned Energy Loss (Mwe-hrs)								
Unplanned Outage Extension Energy Losses (MWe-hrs)								
Unit Capability Factor (%) (SPI 10)								
Unplanned Capability Loss Factor (%) (SPI 11)								
Forced Loss Rate (%) (SPI 12)								

<p>Notes:</p> <p>Unit capability factor (UCF) = $((REG - PEL - UEL) / REG) * 100\%$</p> <p>Unplanned capability loss factor (UCLF) = $(UEL) / REG * 100\%$</p> <p>Forced Loss Rate (FLR) = $FEL / (REG - (PEL + OEL)) * 100\%$</p>	
<p>Additional details as required:</p>	
<p>Prepared by:</p>	<p>Date:</p>

B.11 Unplanned Capability Loss Factor

Purpose:

To monitor industry progress in minimizing outage time and power reductions that result from unplanned equipment failures or other conditions. This indicator reflects the effectiveness of plant programs and practices in maintaining systems available for safe electrical generation.

Definition:

Unplanned capability loss factor is defined as the ratio of the unplanned energy losses during a given period of time, to the reference energy generation, expressed as a percentage.

Unplanned energy loss is energy that was not produced during the period because of unplanned shutdowns, outage extensions, or unplanned load reductions as a result of causes under plant management control. Causes of energy losses are considered to be unplanned if they are not scheduled at least four weeks in advance. Causes considered to be under plant management control are further defined in the clarifying notes.

Reference energy generation (REG) is the energy that could be produced if the unit were operated continuously at full power under reference ambient conditions throughout the period. Reference ambient conditions are environmental conditions representative of the annual mean (or typical) ambient conditions for the unit.

Calculations:

Reference energy generation (REG) = Unit capacity x referenced period (Mw hrs)

Total unplanned energy loss per quarter (UEL) = Total unplanned energy loss over referenced period (Mw hrs)

Unplanned capability loss factor (UCL) = $UEL \times 100\% / REG$

Notes:

SPIs 10, 11 and 12 are reported on the same data sheet.

B.12 Forced Loss Rate

Purpose:

To monitor industry progress in minimizing outage time and power reductions that result from unplanned equipment failures, human errors, or other conditions during the operating period (excluding planned outages and their possible unplanned extensions). This indicator reflects the effectiveness of plant programs and practices in maintaining systems available for safe electrical generation when the plant is expected to be at the grid dispatcher's disposal.

Definition:

The forced loss rate (FLR) is defined as the ratio of all unplanned forced energy losses during a given period of time to the reference energy generation minus energy generation losses corresponding to planned outages and any unplanned outage extensions of planned outages, during the same period, expressed as a percentage.

Calculations:

The forced loss rate is calculated for a period as shown below.

$$FLR \text{ for a unit } (\%) = \frac{(FEL)}{(REG - (PEL + OEL))} \times 100$$

where:

FLR = forced loss rate

FEL = unplanned forced energy losses

REG = reference energy generation

PEL = planned energy losses

OEL = unplanned outage extension energy losses

Notes:

SPIs 10, 11 and 12 are reported on the same data sheet.

B.13 Reactor Trip Rate (RTR)**Purpose:**

To monitor performance of unplanned reactor shutdowns.

To provide an indication of how well a plant is operated and maintained.

Definition:

Unplanned reactor trips per 7,000 hours critical.

Calculations:

The unit and industry values for this indicator are determined for a period as shown below:

$$RTR = \frac{(total\ unplanned\ reactor\ trips\ over\ last\ 4\ quarters) \times 7000}{(total\ number\ of\ hours\ in\ critical\ during\ last\ 4\ quarters)}$$

Notes:

Unplanned reactor trips include both automatic and manual reactor trips that occur while the reactor is in critical state. These reactor trips are events resulting from internal plant equipment failure, spurious signal, human error, or an external event.

Use data from SPI 8, Number of Unplanned Transients, as an input for this SPI.D

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Reactor Trip Rate (RTR)								
NPP:								
Year:								
Quarter:								
	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Total number of automatic SDS trips								
Total hours during which reactor is critical (hrs)								
Reactor Trip Rate								
<p>Note: Reactor Trip Rate (RTR) = (total unplanned reactor trips while critical for the last 4 quarters * 7000) / (total number of hours reactor critical during the last 4 quarters). Note: 7000 hours represents a full year</p>								

Additional details as required:	
Prepared by:	Date:

B.14 Corrective Maintenance Backlog

Purpose:

To monitor the effectiveness of the maintenance program at the NPP and its related facilities.

Definition:

Corrective maintenance work is required when a structure, system or component (SSC) has failed and can no longer perform its design function. Corrective maintenance backlog consists of all corrective work generated through work order requests and appears in the work management system as uncompleted work.

Corrective maintenance work should only include critical and non-critical corrective work. This excludes the corrective maintenance to be performed on run-to-failure components and critical and non-critical components of very low consequence if not corrected. The criteria used for determining critical components are in accordance with INPO AP-913 [17].

Calculations:

The indicator consists of the total number of online corrective maintenance work orders at the end of the quarter which appears as uncompleted work. The corrective maintenance work orders should be reported on two different priorities (critical and noncritical components). The indicator is in the form of work orders per unit.

Notes:

Common service should be treated as a separate unit, such as unit 0.

Outage corrective maintenance work is not included in this indicator.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Corrective Maintenance (CM) Backlog									
NPP:									
Year:									
Quarter:									
	Unit	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Corrective critical work backlog									
Corrective non-critical work backlog									
Additional details as required:									
Prepared by:					Date:				

B.15 Deficient Maintenance Backlog

Purpose:

To monitor the effectiveness of the maintenance program at the NPP and its related facilities.

Definition:

Deficient maintenance is planned when structures, systems, or components have been identified as degrading but still capable of performing their design function. Deficient maintenance backlog consists of all deficient work generated through work requests and appears in the work management system as uncompleted work.

The criteria used for determining critical components are in accordance with INPO AP-913, *Equipment Reliability Process Description* [17].

Calculations:

The indicator consists of the total number of deficient maintenance work orders at the end of the quarter, which appears as uncompleted work. The deficient maintenance work orders should be reported on two different priorities (critical and noncritical components). The indicator is in the form of work orders per unit.

Notes:

Common service should be treated as a separate unit, such as unit 0.

Outage deficient maintenance work is not included in this indicator.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Deficient Maintenance Backlog									
NPP:									
Year:									
Quarter:									
	Unit	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Deficient critical work backlog									
Deficient non-critical work backlog									
Additional details as required:									
Prepared by:					Date:				

B.16 Deferral of Preventive Maintenance

Purpose:

To monitor the effectiveness of the maintenance program at the NPP and its related facilities.

Definition:

Deferred preventive maintenance is preventive maintenance that has received an approved technical justification for extension prior to its late date.

Calculations:

The value includes two parts:

- number of deferrals of critical preventive maintenance work orders per unit per quarter
- number of total deferred preventive maintenance work orders per unit per quarter

Notes:

Identification and count is for the primary preventive maintenance tasks only; e.g., do not include secondary tasks such as maintaining scaffolding.

Common service should be treated as a separate unit, such as unit 0.

The work orders include both online and outage work orders.

The number of total deferred preventive maintenance work orders includes the number of deferrals of critical preventive maintenance work orders and the number of deferrals of non-critical preventive maintenance work orders. Therefore, the number of total deferred preventive maintenance work orders is greater than or at least equal to the number of deferrals of critical preventive maintenance work orders.

This SPI should not count the number of deferred surveillance tests, such as tests on SSCs important to safety.

The criteria used for determining critical components are in accordance with INPO AP-913, *Equipment Reliability Process Description* [17].

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Deferral of Preventive Maintenance										
NPP:										
Year:										
Quarter:										
	Unit	Unit 1	Unit 2	Unit 3	Unit 4	Unit	Unit 5	Unit 6	Unit 7	Unit 8
Number of deferrals of critical preventative maintenance tasks										
Total number of deferred preventative maintenance tasks										
Additional details as required:										
Prepared by:						Date:				

B.17 Safety System Test Performance

Purpose:

To indicate successful completion of tests required by licence condition, including those referenced in documents submitted in support of a licence application.

To monitor performance in meeting regulatory and licensee availability requirements.

Definition:

The safety system test (SST) performance is the sum of those tests that are not completed for each of the three groups of safety-related systems (i.e., the special safety systems, the standby safety systems, and other safety-related process systems) in a quarter.

Calculations:

Number of missed tests = a + b + c

where:

- a = number of missed tests for the special safety systems
- b = number of missed tests for the standby safety systems
- c = number of missed tests for the safety-related process systems

Notes:

This safety performance indicator was renamed from “number of missed mandatory safety system tests” for improved clarity and application.

For the purpose of this safety performance indicator, the following shall apply:

- special safety systems: shutdown system 1 (SDS1), SDS2 (SDSE for PNGS-A), emergency core cooling (ECC), and containment
- standby safety systems: boiler emergency cooling, emergency power supply, standby generators, emergency filtered air discharge, emergency water, inter-unit feedwater tie
 - safety-related process systems: reactor regulating; heat transport; moderator; Class I, II and III power; auxiliary boiler feed; service water

This list may be expanded in the future.

Missed tests refer to those not completed, as opposed to those that fail. Missed tests do not include tests deferred in accordance with procedures that are permitted by the licence.

Tests conducted beyond the maximum allowable time interval permitted by the reliability calculation or by an applicable engineering code will count as a missed test, unless approval has been obtained from the CNSC to extend the test interval.

For multi-unit stations, station-wide tests shall be reported under unit 0.

For benchmarking, report the total number of tests performed for each category (a, b, and c).

These figures do not include panel check SSTs.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Safety System Test Performance										
NPP:										
Unit:										
Year:										
Quarter:										
	Unit	Unit 1	Unit 2	Unit 3	Unit 4	Unit	Unit 5	Unit 6	Unit 7	Unit 8
Missed Special SSTs										
Performed Special SSTs										
Missed Standby SSTs										
Missed Safety-related STs										
Performed Safety-related STs										
Total Missed Tests										
Total Performed Tests										

<p>Total missed tests (Special + Standby + Safety-related) = _____</p> <p>Total tests performed (Special + Standby + Safety-related) = _____</p> <p>Note: Count any SSTs that cover both standby and SSCs important to safety testing in one safety system test in both data fields.</p>	
<p>Additional details as required:</p>	
<p>Prepared by:</p>	<p>Date:</p>

B.18 Preventive Maintenance Completion Ratio

Purpose:

To indicate the fraction of preventive maintenance jobs to total maintenance jobs completed.

To monitor performance in meeting expectations in the area of preventive maintenance.

Definition:

The ratio of preventive maintenance (PM) jobs completed divided by the preventive maintenance plus corrective maintenance (CM) jobs completed for all safety-related systems.

Calculations:

$$PM \text{ Completion } (\%) = \frac{(PM \text{ jobs per quarter})}{(PM \text{ jobs per quarter} + CM \text{ jobs per quarter})} \times 100$$

Notes:

PM jobs are those jobs performed on the safety-related system equipment in the field that is in working order when the job commences. The PM jobs shall include those that are frequency or condition based.

Corrective maintenance jobs are those jobs performed as a result of a reported failure of safety-related system equipment. It shall not include design modifications.

Work orders on safety-related systems are those work orders that are written during the quarter and must have undergone a preliminary review by the NPP work management group and be designated as valid to be included in the count for a quarter. Work orders include both online and outage work orders.

The data is to be reported by unit, including the common unit for multi-unit NPPs. Jobs are counted by work order issued to each discipline, not on a task basis. A work order that covers repetitive jobs for multiple equipment shall be counted as one work order for each separate piece of equipment.

Common service should be treated as a separate unit, such as unit 0.

Only include the critical corrective (CC) and non-critical corrective (CN) work in the completed corrective maintenance work.

Corrective maintenance on run-to-failure components or critical and noncritical components (CL) is not included.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Preventive Maintenance Completion Ratio										
NPP:										
Year:										
Quarter:										
	Unit	Unit 1	Unit 2	Unit 3	Unit 4	Unit	Unit 5	Unit 6	Unit 7	Unit 8
Preventative Maintenance Jobs on SRS completed										
Corrective Maintenance Jobs on SRS completed										
Preventative Maintenance Completion Ration %										
Additional details as required:										
Prepared by:						Date:				

B.19 Chemistry Index

Purpose:

To indicate long-term unit control of important chemical parameters.

To monitor performance in meeting licensee's requirements in chemistry.

To compare performance between Canadian CANDU units.

Definition:

The average percentage of time that the selected chemical parameters are in specification during the quarter.

Calculations:

$$\text{Chemistry index (\%)} = \frac{\sum_{i=1}^m a_i}{\sum_{i=1}^m A_i} \times 100$$

where:

a_i = the number of hours that parameter "i" is in specification during the quarter

A_i = the number of hours the plant is in an operational state during the quarter, as defined by licensee-specific documentation

a_i/A_i = the fraction of time that parameter "i" is in specification during the quarter

m = the number of parameters monitored during the period, usually the 15 parameters on the list below

$\frac{\sum_{i=1}^m a_i}{\sum_{i=1}^m A_i}$ = the sum of individual time-in-specification fractions for each parameter monitored in the index

All data is dimensionless. The chemistry index (CI) results will range between 0% and 100%.

Parameters monitored:

Annulus gas:	[O ₂]	Condensate extraction pump:	dissolved O ₂ pH
Feed water:	dissolved O ₂ total iron total copper hydrazine	Primary heat transport system:	pH _a (calc) dissolved D ₂ chloride fluoride conductivity
Steam generators:	[Cl ⁻] [SO ₄ ²⁻] [Na ⁺]		

Note 1:

The Chemistry Index shall be reported as the percentage of time in specification. For each parameter, the index is calculated as follows:

$$\text{time in specification (\%)} = \frac{(\text{hours in specification})}{(\text{total operating hours in period})} \times 100$$

The initiation of an out-of-specification event occurs with the first result measured outside the range of the specification, as indicated in licensee-specific chemistry program documentation.

Termination of the event is achieved only by reducing the control parameter within the specification range. The duration of the out-of-specification condition will be calculated as the time between the first out-of-specification sample and the next measured in-specification sample. The time in specification (%) is then calculated as 100% - S (time of measurement period out-of-specification (%)).

The total operating hours in the period refers to the total operating hours for the system to which the chemical parameter pertains.

Note 2:

Parameters that are included in the indicator but were not measured (because the monitoring capability did not exist or the measurements were not obtained during the period; e.g., an instrument not available) will be reported as being out-of-specification. In cases where the parameter is out-of-specification due to the unavailability of a facility, the parameter shall be reported as being out-of-specification.

When the safety of chemical technicians or employees could be adversely affected by new hazards during normal execution of their tasks, or when the status of the plant is such that the chemical measure is useless or unrepresentative, the representative period will be adjusted without penalty. Such measures will be qualified “void”. The data shall be auditable.

It is recognized that in some cases a temporary exemption is granted for measurement of a parameter, or deviation of a specification from the range specified in program documentation. This exemption is to be granted by the chemistry program authority. It is acceptable to indicate “not applicable (N/A)” for the parameter for the specific time period. If the temporary exemption applies for less than one quarter, the time-in-specification for the parameter shall be calculated as the time that the temporary exemption does not apply. Temporary exemptions are intended to be used when instruments or facilities are not available for a significant period of time, where there are temporary modifications to licensee procedures due to new concerns regarding unsafe conditions, or when short duration trials are being carried out. Records pertaining to the temporary exemption shall be auditable.

Whenever the parameter is deemed to be “not applicable (N/A)”, a short explanatory note and a reference to the licensee’s documentation for any temporary exemption should accompany the submission on these performance indicators.

In cases where the parameter is deemed to be “not applicable (N/A)” for a particular period of time, the number of parameters in the Chemistry Index % equation should be adjusted to reflect the number of parameters actually tracked during the specific quarter.

Note 3:

For systems whose performance is reported only for unit operating conditions – if a parameter is in (or out of) specification before a shutdown, it is considered to remain in (or out of) specification once the system is back in service until it is re-analyzed and found to be otherwise.

Note 4:

Performance must be reported for all Chemistry Index and chemistry compliance index parameters using the specifications documented in the most current revision of the licensee's chemical specifications manual. Performance must be reported for all time periods when the system is considered to be in an operational state, as defined by licensee-specific documents.

Note 5:

The reference chemical specifications and sampling frequency for each parameter shall be as documented in the most current revision of the licensee's chemistry specifications manuals. Any deviations from these reference values for reporting on these performance indicators shall be noted in report submissions. Any changes to the specifications and sampling frequency shall be documented in the chemistry specifications manuals and supporting documentation.

The minimum sampling/monitoring frequency is determined by the licensee's current requirements.

Note 6:

Each station will determine whether results from grab samples or on-line instrument readings will be used to calculate the performance. Online instrument readings are the preferred method if an adequate quality assurance / quality control (QA/QC) program is in place to ensure accuracy.

Where online monitoring equipment is available, the success ratio will be calculated as the ratio of time where the monitoring is online and valid data is available and within range over total time. When monitoring equipment fails, it is permissible to replace the monitoring with manual sampling techniques at a reasonable frequency.

Note 7:

For multi-unit sites, the unit performance is the average of the performance of the individual control parameters. On an operating unit basis:

$$\text{time in specification (\%)} = \frac{\sum(\text{time in specification for index parameters (\%)})}{(\text{number of parameters in the index})}$$

Note 8:

The station result is the time-weighted average of the operating units' Chemistry Index or chemistry compliance index values; this ensures that units which were operating for only part of the period are not given the same weight as those which operated for the whole period.

$$\text{station index} = \frac{\sum(\text{index for each unit } \times \text{operating hours for unit})}{\sum(\text{operating hours for all units})}$$

Note 9:

Performance does not need to be reported for parameters during short duration trials or tests being conducted to optimize chemistry and which affect those parameters.

Note 10:

Parameters making up the list of the index, and the definitions of time-in-specification and voiding, are reviewed by the CNSC.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Chemistry Index									
NPP:									
Year:									
Quarter:									
<p>In Specification = IS_# is the number of hours that the parameter is within specification defined by the licensee documentation while each reactor unit is in an operational state.</p> <p>Operational = O_# is the number of hours that the parameter's corresponding plant system is operational as defined by licensee documentation while each reactor unit is an operational state.</p>									
Parameter	Hours (hrs)	Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Primary heat transport system pH _a (calc)	IS ₁								
	O ₁								
Primary heat transport system Dissolved D ₂	IS ₂								
	O ₂								

Primary heat transport system chloride	IS ₃								
	O ₄								
Primary heat transport system fluoride	IS ₄								
	O ₄								
Primary heat transport system conductivity	IS ₅								
	O ₅								
Annulus gas [O ₂]	IS ₆								
	O ₆								
Steam generators chloride	IS ₇								
	O ₇								

Steam generators sulphate	IS ₈								
	O ₈								
Steam generators sodium	IS ₉								
	O ₉								
Feedwater dissolved O ₂	IS ₁₀								
	O ₁₀								
Feedwater total iron	IS ₁₁								
	O ₁₁								
Feedwater total copper	IS ₁₂								
	O ₁₂								
Feedwater hydrazine	IS ₁₃								

	O ₁₃								
Condensate extraction pump dissolved [O ₂]	IS ₁₄								
	O ₁₄								
Condensate extraction pump pH	IS ₁₅								
	O ₁₅								
Total hours in specification									
Total hours in operation									
Chemistry index (%)									
Additional details as required (attach supplementary pages as necessary):									
Prepared by:					Date:				

B.20 Chemistry Compliance Index (non-GSS and GSS)

Purpose:

To indicate unit control of safety-related chemical and radiochemical parameters, in both non-guaranteed shutdown state (non-GSS) and in guaranteed shutdown state (GSS).

To monitor performance in meeting regulatory and licensee requirements in chemistry control.

To compare performance between Canadian CANDU units.

Definition:

The average percentage of time that the selected chemical parameters are in specification during the quarter.

Calculations:

Sampling frequencies and specifications shall be defined in the licensee's operating documentation. The method for calculation of the chemistry index also applies to this chemistry compliance index (non-GSS and GSS). The parameters are selected as compliance parameters in accordance with the safe operating envelope (SOE), and on the basis of safety.

Parameters monitored:

Non-GSS operating conditions:

- Gadolinium ([Gd]) in liquid injection safety system poison injection tanks
- [Gd] in moderator (unit in poison outage or SDS2 actuated)
- moderator D₂O isotopic
- moderator H³
- moderator cover gas D₂
- moderator conductivity
- primary heat transport system D₂O isotopic
- primary heat transport system H³
- primary heat transport system I¹³¹
- primary heat transport system D₂O storage tank cover gas D₂
- moderator to primary heat transport system D₂O isotopic purity difference check
- annulus gas system dew point
- end shield cooling water pH
- end shield cooling cover gas H₂ (for Point Lepreau and Pickering 5-8)
- emergency coolant injection (ECI) system high-pressure water tank(s) pH
- ECI high-pressure water tank(s) hydrazine concentration
- liquid zone control system cover gas [H₂]
- liquid zone control system conductivity

GSS conditions:

liquid injection safety system poison injection tanks pH_a (when SDS2 is available)
[Gd] in moderator
moderator D₂O conductivity
moderator D₂O pH_a
supplementary parameter(s) sampled

Notes:

The chemistry compliance indices (non-GSS and GSS) shall be reported as the percentage of time in specification. For each parameter, the index is calculated as follows:

$$\text{time in specification (\%)} = \frac{(\text{hours in specification})}{(\text{total operating hours in period})} \times 100$$

For further information, refer to notes 1 through 10 of the chemistry index (SPI 19).

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Chemistry Compliance Index (non-GSS and GSS)									
NPP:									
Year:									
Quarter:									
In Specification = IS _# is the number of hours that the parameter is within specification defined by the licensee documentation while each reactor unit is an operational state.									
Operational = O _# is the number of hours that the parameter's corresponding plant system is operational as defined by licensee documentation while each reactor unit is an operational state									
Parameter		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
[Gd] in liquid injection safety system poison injection tanks	IS ₁								
	O ₁								
[Gd] in moderator (unit in poison outage, SDS2 actuated)	IS ₂								
	O ₂								
Moderator D ₂ O isotopoic	IS ₃								

	O ₄									
Moderator ³ H	IS ₄									
	O ₄									
Moderator cover gas D ₂	IS ₅									
	O ₅									
Moderator conductivity	IS ₆									
	O ₆									
Primary heat transport system D ₂ O isotopic	IS ₇									
	O ₇									
Primary heat transport system ³ H	IS ₈									
	O ₈									

Primary heat transport system ¹³¹ I	IS ₉									
	O ₉									
D ₂ in cover gas of primary heat transport D ₂ O storage tank	IS ₁₀									
	O ₁₀									
Moderator to primary heat transport system D ₂ O isotopic purity difference check	IS ₁₁									
	O ₁₁									
Annulus gas system dew point	IS ₁₂									
	O ₁₂									
End shield cooling water pH	IS ₁₃									

	O ₁₃									
End shield cooling cover gas H2 (for Point Lepreau, Pickering 5-8)	IS ₁₄									
	O ₁₄									
ECI high-pressure water tanks pH	IS ₁₅									
	O ₁₅									
ECI high-pressure tank(s) hydrazine concentration	IS ₁₆									
	O ₁₆									
Liquid zone control cover gas [H2]	IS ₁₇									
	O ₁₇									
Liquid zone control conductivity	IS ₁₈									

	O ₁₈								
Total hours in specification during non-GSS									
Total hours in operation during non-GSS									
Non-GSS Chemistry Compliance Index (%)									

Guaranteed shutdown state (GSS)

In Specification = IS_# is the number of hours that the parameter is within specification defined by the licensee documentation while each reactor unit is an operational state.

Operational = O_# is the number of hours that the parameter’s corresponding plant system is operational as defined by licensee documentation while each reactor unit is an operational state

Parameter		Unit 1	Unit 2	Unit 3	Unit 4	Unit 5	Unit 6	Unit 7	Unit 8
Liquid injection safety system poison injection tanks pH ₂ (when SDS2 is available)	IS ₁								
	O ₁								
[Gd] in moderator	IS ₂								

	O ₂									
Moderator D ₂ O conductivity	IS ₃									
	O ₄									
Moderator D ₂ O pH _a	IS ₄									
	O ₄									
Supplementary parameter(s) sampled	IS ₅									
	O ₅									
	IS ₆									
	O ₆									
	IS ₇									
	O ₇									

Total hours in specification during GSS									
Total hours in GSS									
GSS Chemistry Compliance Index (%)									
Chemistry Compliance index (%)									
Additional details as required:									
Prepared by:					Date:				

B.21 Conventional Health and Safety

Purpose:

To indicate the accident severity rate, accident frequency and industrial safety accident rate at NPPs.

To monitor performance in the area of worker safety.

To compare Canadian NPP performance internationally.

Definition:

The accident severity rate is the total number of days lost for lost time injuries per 200,000 person hours worked at an NPP.

Accident frequency is the number of fatalities, lost-time injuries and medically treated injuries per 200,000 person hours worked at a NPP.

Industrial safety accident rate is a frequency rate based on the number of lost-time injuries for NPP personnel per 200,000 hours worked.

A lost-time injury is an injury or illness resulting in lost days beyond the date of injury as a direct result of an occupational injury or illness incident. A fatality is not considered a lost-time injury.

A medically treated injury (also referred to as “medical treatment”) is an injury or illness beyond a first aid injury, where there have been no lost days that are the direct result of an occupational injury or illness incident.

Lost days are the number of calendar days, recommended by a physician or other healthcare professional, that a worker is unable to work beyond the day of injury or illness. Lost time ends as of the date that the worker is deemed fit to work either full or restricted work, or up to a maximum of 180 calendar days for any individual case.

Exposure hours are the total number of hours of employment of all workers for each member utility for each reporting period. This includes regular hires, direct contractors / augmented / supplemented staff and contractors working through a separate company.

Restricted work is when a worker, due to a work-related injury or illness, is unable to perform their regular permanent job or is unable to work the normal time period of their pre-injury/illness work days.

Calculations:

$$\text{accident severity rate} = \frac{\# \text{ of lost days } \times 200,000 \text{ person hours}}{\# \text{ of exposure hours}}$$

$$\text{accident frequency} = \frac{(\# \text{ fatalities } + \# \text{ lost time injuries } + \# \text{ medically treated injuries}) \times 200,000 \text{ person hours}}{\# \text{ of exposure hours}}$$

$$\text{industrial safety accident rate} = \frac{\text{number of lost time injuries} \times 200,000 \text{ person hours}}{\text{\#of exposure hours}}$$

$$\text{recordable injury frequency rate} = \frac{(\text{\#fatalities} + \text{\#lost time injuries} + \text{\#medically treated injuries} + \text{\#restricted work injuries}) \times 200,000 \text{ pe}}{\text{\# exposure hours}}$$

Notes:

Injuries should only be counted once and counted as the most severe type based on the hierarchy that lost time injuries are more severe than medically treated injuries, which are more severe than restricted work injuries.

Licensees should report on data for all regular hires, direct contractors / augmented / supplemented staff and contractors working through a separate company.

The Canadian federal reporting requirement for severity includes shifts not worked. For example, suppose a person is hurt on the last regularly scheduled shift and then is away for two days that were regularly scheduled off. If the person would not have been able to work those two days, but was able to return to work on the first regularly scheduled day, those two days would be counted as lost days.

Recurrent injuries are attributed back to the originating accident. For example, if an injury from an accident that resulted in a lost-time injury occurred in 1994 and recurred in 1996 (with no new accident), the lost days would not appear in the 1996 totals. These days are attributed back to 1994.

Lost-time and medically treated injuries or illnesses are those that have been treated by a physician or other healthcare professional.

Permanent (partial) disability resulting from a disabling injury can be assigned equivalent lost days by the licensee. Appropriate information showing conversion data for each disabling injury must be submitted.

Whenever possible, the actual employee hours of exposure shall be taken from payroll or other records and shall include only actual straight time and actual overtime hours worked. Employee hours paid for but not worked (e.g., vacation, sickness, holidays, etc.) should not be included in the total hours worked. Estimated exposure hours should only be used when actual employee hours of exposure are not available. If estimating is required, it should be noted in the submission.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Conventional Health and Safety							
NPP:							
Year:							
Quarter:							
Worker category	Lost days	Number of fatalities	Number of lost-time injuries (LTIs)	Number of medically treated injuries	Number of injuries resulting in restricted work	Exposure hours (total number of hours worked at NPP)	Exposure hours Actual or Estimated
Employees							<input type="radio"/> Actual <input type="radio"/> Estimated
Direct contractors							<input type="radio"/> Actual <input type="radio"/> Estimated
Third-party contractors							<input type="radio"/> Actual <input type="radio"/> Estimated
Total							
Note: if information is unknown, indicate this in the table. For exposure hours, provide a conservative estimate if the actual number is unknown.							
Calculated accident severity rate				= _____			
Calculated accident frequency rate				= _____			
Calculated industrial safety accident rate				= _____			

Additional details as required:	
Prepared by:	Date:

B.22 Radiological Emergencies Performance Index

Purpose:

To provide a measurement of the performance of a nuclear power plant's emergency preparedness plan during radiological emergencies.

Definition:

The radiological emergencies performance (REP) index is the percentage of all the successful performance opportunities to the total number of performance opportunities identified during the quarter.

Calculations:

$$\text{REP index} = \frac{(\text{number of successful performance opportunities during the quarter})}{(\text{total \# of performance opportunities during the quarter})} \times 100$$

Notes:

Performance opportunities are:

- categorizing a radiological emergency
- notifying offsite authorities
- providing decision making information to stakeholders (i.e., municipal, provincial and federal)
- developing protective action recommendations

A performance opportunity is successful when both the timeliness and the accuracy criteria are fulfilled. The timeliness criteria and the accuracy criteria are specified in the licensee's emergency preparedness plan. These performance criteria shall be included in the explanation of data section of the data sheet.

Details of any failed performance opportunity shall be included in the explanation of data section of the data sheet.

Emergencies, drills evaluated by the emergency response organization (ERO), exercises and other simulated emergencies that are assessed and that interact with one or more of the following facilities or functions shall be included in this indicator.

The ERO consists of, but not limited to, the following facilities and functions:

- administration facilities
- technical support centres
- control facilities
- off-site centres
- personnel and public assembly areas
- emergency operations coordination centre
- centre to integrate onsite activities with offsite programs
- first aid and/or medical facilities
- laboratory services (fixed or mobile)
- decontamination facility
- field monitoring teams
- damage control teams
- joint information or local media centre

- offsite governmental authorities

Training practices shall not be included in this indicator.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Radiological Emergencies Performance Index	
NPP: Year: Quarter:	
<p>Number of performance opportunities completed is the total number of emergencies and simulated emergencies, drills evaluated by the ERO and exercises, excluding training, during the quarter.</p> <p>Number of successful performance opportunities is the total number of opportunities in which the timeliness and accuracy criteria specified in the licensee’s emergency preparedness plan have been met.</p> <p>Number of performance opportunities scheduled = _____</p> <p>Number of successful performance opportunities completed = _____</p> <p>Number of performance opportunities completed = _____</p>	
Additional details as required:	
Prepared by:	Date:

B.23 Emergency Response organization (ERO) Drill Participation Index

Purpose:

To track the participation of emergency response organization (ERO) personnel in drills, exercises or events within a nuclear power plant.

Definition:

The percentage of the total available ERO personnel who have participated in proficiency-enhancing drills, exercises, practical evaluation opportunities or events during the quarter.

Calculations:

$$\text{ERO drill participation index} = \frac{A}{B} \times 100$$

where:

- A = number of ERO personnel fulfilling designated ERO positions that have participated in a qualifying drill, exercise, practical evaluation, or event during the quarter
- B = total number of ERO personnel fulfilling designated ERO positions during the quarter

Notes:

Designated ERO positions are those performing the following functions:

- categorization of event
- offsite notification
- plant operations
- corporate resources
- radiological monitoring
- dose projection

Changes in the number of designated ERO personnel shall be reflected in both the numerator and denominator of this index.

Multiple assignees to a given designated ERO position may each be counted for their individual participation in performing the designated ERO position at different times in the same proficiency-enhancing drill, exercise, practical evaluation opportunity or event during the quarter.

“Total available ERO personnel” and “Total number of qualified key ERO personnel” are equivalent.

ERT drills shall not be included in this calculation.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Emergency Response organization (ERO) Drill Participation Index	
NPP: Year: Quarter:	
Submit the total number of ERO personnel fulfilling designated ERO positions and the number that participated in qualifying drills, exercise, practical evaluation or events at the nuclear power plant during the quarter.	
ERO drill participation index	
Total number of designated ERO positions	= _____
Number of ERO personnel fulfilling designated ERO positions that are participating in qualifying drill, exercise, practical evaluation, or events (A)	= _____
Total number of qualified key ERO personnel fulfilling designated ERO position (B)	= _____
Percentage of participating qualified key ERO personnel (A/B)*100	= _____
Additional details as required:	
Prepared by:	Date:

B.24 Emergency Response Resources Completion Index

Purpose:

To indicate the level of verification of emergency response equipment and facilities dedicated to emergency preparedness at the NPPs.

Definition:

The percentage of preventive maintenance items, tests and checks completed for the emergency response equipment and facilities over the total number of preventive maintenance items, tests and inventory checks scheduled during the quarter.

Calculations:

$$\text{ER resources completion index} = \frac{A}{B} \times 100$$

where:

- A = the number of preventive maintenance items, tests and inventory checks completed during the quarter
- B = the number of preventive maintenance items, tests and inventory checks scheduled during the quarter

Notes:

Licensees shall provide the CNSC with a complete listing of preventive maintenance items, tests and inventory checks pertaining to dedicated equipment and facilities that are used for emergency preparedness, including:

- fixed systems
- portable instruments
- communications equipment
- other equipment identified in the licensee's emergency preparedness plan required to be in a state of readiness
- other dedicated emergency equipment and facilities identified in REGDOC-2.10.1, *Nuclear Emergency Preparedness and Response*, Version 2 [16]

The licensee shall provide an explanation of any preventive maintenance items, tests and inventory checks that were done in the quarter being reported that were deferred from the previous quarter.

Pre-determined dates for the preventive maintenance items, tests and inventory checks shall be used to measure schedule compliance. This index measures the number of preventive maintenance items, tests and inventory checks performed and compares them with the pre-determined fixed schedule. It is not concerned with whether a test has failed or if equipment was missing.

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Emergency Response Resources Completion Index									
NPP:									
Year:									
Quarter:									
<p>Submit a table identifying the number of preventive maintenance items completed and the number of preventive maintenance items scheduled during the quarter.</p> <table style="width: 100%; border: none;"> <tr> <td style="padding: 5px;">Outstanding preventive maintenance items, tests and checks completed during this quarter</td> <td style="padding: 5px; text-align: right;">= _____</td> </tr> <tr> <td style="padding: 5px;">Number of preventive maintenance items, tests and checks completed</td> <td style="padding: 5px; text-align: right;">= _____</td> </tr> <tr> <td style="padding: 5px;">Number of items scheduled</td> <td style="padding: 5px; text-align: right;">= _____</td> </tr> <tr> <td style="padding: 5px;">Emergency response resources completion index (%)</td> <td style="padding: 5px; text-align: right;">= _____</td> </tr> </table>		Outstanding preventive maintenance items, tests and checks completed during this quarter	= _____	Number of preventive maintenance items, tests and checks completed	= _____	Number of items scheduled	= _____	Emergency response resources completion index (%)	= _____
Outstanding preventive maintenance items, tests and checks completed during this quarter	= _____								
Number of preventive maintenance items, tests and checks completed	= _____								
Number of items scheduled	= _____								
Emergency response resources completion index (%)	= _____								
Additional details as required:									
Prepared by:	Date:								

B.25 Low- and Intermediate-Level Radioactive Solid Waste Generated

Purpose:

To indicate the amount of low- and intermediate-level radioactive solid waste generated.

Definitions:

Low-level radioactive solid waste contains material with radionuclide content above established clearance levels and exemption quantities, but generally has limited amounts of long-lived activity. The volume of waste generated is reported in m³ for the quarter.

Intermediate-level radioactive solid waste typically exhibits levels of penetrating radiation sufficient to require shielding during handling and interim storage. The volume of waste generated is reported in m³ for the quarter.

Calculations:

Data only.

Notes:

Detailed definitions for waste classifications are as per licensee procedures.

For further information on low- and intermediate-level radioactive waste, refer to CSA N292.3, *Management of low- and intermediate-level radioactive waste* [14].

Performance Indicator Data Sheet

Revision Date: yyyy-mm-dd

Title: Low- and Intermediate-Level Radioactive Solid Waste Generated	
NPP:	
Year:	
Quarter:	
Low-level radioactive solid waste generated (m ³) = _____	
Intermediate-level radioactive solid waste generated (m ³) = _____	
Additional details as required:	
Prepared by:	Date:

Appendix C: Content Requirements for the Annual Risk and Reliability Report

This appendix provides the requirements for the content of the annual risk and reliability report.

C.1 Summary

Provide a summary of major findings or major changes during the calendar year including:

1. changes in the list of systems important to safety (SIS) or their reliability targets
2. overall performance of SIS, including statistical summary of performance
3. changes having major impact on reliability models
4. major update of reliability or unavailability models for SIS
5. generic discussion on completion of required surveillance activities, including tests, predefines and operator routines
6. the number of initiating events
7. major changes in failure modes and/or failure rates

C.2 Lists of systems important to safety

Provide a list of all identified SIS and include the assigned reliability target of each system. Discuss and explain changes from previous years in the list of SIS or in the assigned reliability targets.

Guidance

This section may list structures and components important to safety and their reliability targets (if these structures and components have been identified).

Table C.1: List of systems important to safety and reliability targets

System important to safety	Reliability target

C.3 System performance

Include a section for each SIS, according to the format below.

C.3.1 Systems important to safety

Include a comparative assessment of the reliability and reliability target for each SIS of the NPP. Provide reliability information on relevant components important for mission reliability, including:

1. the predicted reliability of the system, where the predicted reliability is calculated using an up-to-date model and recent data
2. the observed reliability of the system during the previous year
3. a comparison between the predicted reliability, observed reliability and reliability target of the system
4. an explanation of changes in the predicted reliability, observed reliability and reliability target of the system
5. an explanation of changes in the predicted reliability of the system from the predicted reliability reported in previous years
6. specific reliability indices for major components such as class III power systems, and emergency or qualified power systems that include the failures to start (in failures per demand) and failures to run (in failures per hour) for each generator.

C.3.1.1 Predicted reliability

In this section, the licensee reports the future reliability predicted using current data and compares it to the value obtained for the present and previous years, as well as to the target (see table B.2). The reliability assessment must be re-evaluated annually using the latest relevant failure data.

Guidance

This section should include information regarding the assessment such as computer code, model freeze date, cut-off value, electronic file name, revision information and the report number, where available. If this information is presented in the appendices, this section may refer to it. If the reliability assessment uses supporting data different from the data presented in this section, the rationale should be described in this section.

Table C.2: Predicted reliability

Failure criteria	Predicted reliability			Target
	Previous years		Present year	
	Year X-2	Year X-1	Current (Year X)	

Failure criteria	Predicted reliability			Target
	Previous years		Present year	
	Year X-2	Year X-1	Current (Year X)	

C.3.1.2 Observed reliability

This section is intended to capture the trends in the reliability of SIS.

Table C.3: Observed reliability of system

Failure criteria	Unit no. ____	Unit no. ____	Unit no. ____	Unit no. ____	Previous year predicted reliability	Target

Table C.4: Standby generator (SG) reliability indices

A. Test results (should provide the indices for both current year and previous year)

SG#	Start		Running	
	Attempts	Failures	Hours	Failures
1				
2				
3				
4				
Total:				

This data is included to provide plant specific reliability indices for major components of class III power systems, and emergency or qualified power systems, as per REGDOC-3.1.1 Section C.3.1.5.

B. Outage statistics

SG#	Maintenance		Forced	
	Occurrences	Hours	Occurrences	Hours
1				
2				
3				
4				
Total:				

Table C.5: Emergency power generator (EPG) reliability indices

A. Test results

EPG#	Start		Running	
	Attempts	Failures	Hours	Failures
1				
2				
Total:				

B. Outage statistics

EPG#	Maintenance		Forced	
	Occurrences	Hours	Occurrences	Hours
1				
2				
Total:				

C.3.1.3 Incidents

For each SIS, identify and briefly describe occurrences during the calendar year where the system was unavailable to perform its function, and the dispositions of these incidents. If the occurrence was reported under an event report, then provide the event report number and a statement of the nature of the impairment.

This information is requested because the type of impairment may not correspond to the incident title.

This section describes incidents (also known as major impairments) of the systems and the effect on the system reliability. In relation to SIS, “incident” refers to any system fault reducing the effectiveness of the system such that it would fail to perform its safety function, even if the system would still operate.

Table C.6: Reliability of systems important to safety

Licensee event number	System affected	Component(s) affected	Level of impairment	Length of time system unavailable

This data is included to provide plant specific reliability indices for major components of class III power systems, and emergency or qualified power systems, as per REGDOC-3.1.1 Section C.3.1.5.

C.3.1.4 Minor impairments

For each SIS, identify and briefly describe occurrences, during the calendar year, of minor impairments of the system. Describe the nature and duration of the impairment. A “minor impairment” is defined as a fault which reduces the redundancy of a SIS, which is equivalent to Impairment Level 3. In other words, it is a fault that causes degradation of a system but in which the system would still have met its design and performance specifications.

This section describes any minor impairment of the SIS and the assessment of the impairment on system reliability.

Guidance

Level 3 impairment, as defined by some licensees, includes Type 3 or Type C faults.

Assessment of the impact of “minor impairments” on the SIS reliability may include:

- minor impairments experienced should be used to determine predicted reliability of the SIS
- a review and identification of concurrent or overlapping minor impairments will result in a Type 1 or Type 2 fault; a Type 1 or Type 2 fault discovered as a result of an overlapping minor impairment

should be reported as described in C.3.1.3. Fault information for the nature of the impairment should be reported under section 4 of this annual risk and reliability report.

Scheduled removal of service of equipment that is reflected in the reliability model does not need to be described.

If the event also causes impairments of other SIS, these should be described in this section as a shared dependent event.

Table C.7: Minor impairment and effect on system reliability

Fault	Component / primary event	Failure mode	Failure duration

C.3.1.5 Changes

Describe changes for each SIS, identified as part of REGDOC-2.6.1 [13] or RD/GD-98, *Reliability Requirements for Nuclear Power Plants* [15] that occurred during the calendar year that affected reliability due to: (i) design, (ii) operating or maintenance practice and (iii) models used to assess reliability.

Report changes to design or operating and maintenance practice affecting the reliability of the systems; e.g., the duty cycle of equipment may affect the test frequency of the equipment.

Discuss changes to the model and the effect on the system’s reliability.

C.3.1.6 Performance of surveillance activities

Provide the following information for systems important to safety:

1. a list of scheduled activities to inspect, monitor, test or verify the reliability of a system important to safety of the NPP, which were not completed on schedule during the calendar year
2. indication of the specific and cumulative impact on system reliability of the probabilistic safety assessment (PSA)-credited scheduled activities not being completed on schedule.

Report any missed and postponed scheduled activities credited in reliability assessment. The reasons for missing or postponing the scheduled activities and the impact on the system reliability should be discussed. These activities include required tests, predefines (call-ups) and operator routines.

Additional information on the essential elements of a reliability program, including reliability assessment, modelling, evaluation and monitoring can be found in RD/GD-98, *Reliability Programs for Nuclear Power Plants* [15] or REGDOC-2.6.1, *Reliability Programs for Nuclear Power Plants* [13].

Guidance

For systems important to safety, the licensee may choose to use bounding evaluations for specific impact calculations. The cumulative impact of test deferrals needs to account for all test deferrals for the system over the year.

C.3.1.7 Correction of previous reports

Describe any corrections in previous reports. The correction may be a mistake or new findings over the reporting calendar year. The reason for the correction should be clearly provided.

Guidance

For example, when a design defect of a component is found over the calendar year and it has been dormant since the installation or modification of the component, the previous reliability indices should be modified. If a test reveals an impairment and the test period is long enough to affect the previous reliability indices, the previous reliability indices should also be reported.

C.4 Initiating events

Describe initiating events that occurred during the calendar year at the NPP, and provide the current frequency assigned to each initiating event. If the occurrence was reported under an event report, provide the event number.

Guidance

The frequency of the initiating event should be reassessed, and a comparison with the initiating event frequency used in the risk analysis should be provided if a plant PSA model is available. The description of the event should indicate if it affected the plant mitigating system's capability.

The analysis should include any equipment malfunction that occurred during the response to the initiating event. Any of these mitigating system failures should be clearly identified.

C.5 Supporting data

Provide data that supports the licensee's assessments during the calendar year of the reliability of the systems important to the safety of the NPP. Relevant data includes:

1. rates of failure of system components
2. significant trends in component failure rate data
3. input data regarding human error probabilities
4. changes to the list of PSA-credited scheduled activities to inspect, monitor, test or verify the system's reliability
5. data regarding the impairment (failure, incipient failure or degraded ability) of one or more system components as a direct result of a shared or common cause

Guidance

Data can be provided electronically.

C.5.1 Component failure data

Include a section for each component failure, according to the format below.

C.5.1.1 Failure rates

This section describes major updates of the component failure rate data and the specific changes in failure rates from the failure rate database experienced over the calendar year.

Guidance

The failure database used for reliability model should be presented in the report appendices. This section should describe any significant failure rate change or significant trend. The definition of significant failure rate change or significant trend should be clearly described.

C.5.1.2 Failure modes

This section describes any failure mode that occurred during the calendar year and that is not modeled in the system fault trees, as well as its effect on system reliability.

C.5.2 Human error probability data

This section describes human actions that could affect the reliability of SIS.

Guidance

Some human actions that directly affect the reliability of the SIS may be included in other sections, but a comparison to the human errors considered in the reliability model should be performed.

C.5.3 Dependent failures

Include a section for each dependent failure, according to the format below.

C.5.3.1 Shared cause

This section describes events that result in inter-system shared dependent impairments, which cause multiple components that belong to different systems to be unavailable and that can be explicitly included in the reliability models.

Guidance

For example, a failure of an instrument air manifold that supplies air to multiple components in more than one independent system would result in an inter-system shared-cause dependent failure and should be reported in this section.

Intra-system dependent impairments that affect one system only are described in the section of an individual system. For example, if the manifold supplies air to multiple components, but in only one

system, the failure would be identified as an intra-system shared-cause dependent failure and might be described in the section of the individual system.

C.5.3.2 Common cause

This section describes events that may result in inter/intra-system dependent failure or degradation, but for which the reliability model cannot explicitly include the cause of failure.

Guidance

Even though the report contains human-induced common-cause failures, this section should identify these events as common-cause failures.

C.5.4 List of scheduled maintenance and surveillance activities

Guidance

The changes to the list of PSA-credited scheduled activities to inspect, monitor, test or verify the system's reliability should be included here or in an appendix. Changes should be reported in a manner that can be related to a list of activities that can be referenced.

C.5.5 Other plant-specific data

Guidance

This section includes other plant-specific data important to the reliability program not included above. The reliability statistics of special equipment should be included here.

C.6 Report appendices

Include an appendix for each reference section, according to the format below.

C.6.1 Appendix A – List of acronyms and abbreviations

In this appendix, provide acronyms and abbreviations used in the report.

C.6.2 Appendix B – Definitions

In this appendix, provide definitions for technical or licensee terms used in this report.

C.6.3 Appendix C – Component failure data

See section C.5.1 for details regarding the information to be placed in this appendix. Component failure data can be provided electronically.

C.6.4 Appendix D – Fault records

Provide details regarding fault records.

C.6.5 Appendix E – Test program summary

This appendix lists the scheduled activities included in the reliability models and describes the changes that are not included in the individual system sections, including routine tests, predefines (scheduled plant activities), operator routines and main control room panel checks.

C.6.6 Appendix F – Models of the systems important to safety

The information presented in this appendix may vary according to the reliability program being implemented by individual NPPs (e.g., one plant may apply a single cut-off to all systems, while another plant may apply different cut-off values to the systems). The following example therefore defines content, not format.

Table C.8: Reliability model information

System	Reliability model				Report	
	File name	Cut-off	Revision	Date	Report #	Date
Computer code*	CAFTA Version XX (month year)			CAFTA Cutset Generator Version YY (month year)		

* Common to all system models

Appendix D: Format for the Annual Report on Fuel Monitoring and Inspection

NOTE: The Format for the Annual Report on Fuel Monitoring and Inspection has been added to the consultation copy for ease of review. In the final published REGDOC, this appendix will be removed and the format will be published separately on the CNSC’s website.

Table D.1. Summary

Station:	Reporting Year:
Section 1. Summary	State the overall conclusions from the annual evaluation of fuel performance
1.1 Summary of compliance program	Briefly describe the programmatic activities in place to verify the fuel performance
1.2 Summary of surveillance results	Briefly summarize any events of note related to fuel performance. Discuss any changes in fuel performance compared to previous years (20xx-20xx)
1.3 Summary of description of surveillance capabilities	Briefly describe the status of expertise and tools required to monitor and evaluate fuel performance, including any changes in inspection practices

<p>1.4 Summary of description of fuel defect locating and removal capabilities</p>	<p>Briefly describe the status of expertise and tools in place to detect, locate and remove suspected fuel defects from the reactors; note the systems in use, their availability throughout the year, as well as the success rate in locating defective fuel bundles</p>
<p> </p>	

Table D.2. Fuel Operating Conditions

<p>Section 2. Fuel operating conditions</p>	<p>State the conclusions regarding conformance of fuel performance to applicable limits</p>		
<p> </p>			
<p>2.1 Power and burnup envelope</p>	<p>Characterize compliance with power and burnup limits and the power-burnup overpower envelope. For any cases of non-compliance provide the following details:</p>		
<p> </p>			
<p>Date of non-compliance</p>	<p>Unit Channel, Bundle(s)</p>	<p>Cause</p>	<p>Results of in-bay inspections and PIE (if available)</p>
<p> </p>	<p> </p>	<p> </p>	<p> </p>
<p>Bundle Power (kW)</p>	<p> </p>	<p>Burnup (MWh/kgU)</p>	<p> </p>
<p> </p>			
<p>2.2 Coolant flows</p>	<p>Characterize compliance with flow limits (including cross-flow). For any cases of non-compliance provide the following details:</p>		
<p> </p>			

Date of non-compliance	Unit Channel, Bundle(s)	Cause	Results of in-bay inspections and PIE (if applicable)
Duration (h)		Flow rate (kg/s)	
2.3 Mechanical loads	Characterize compliance to mechanical load limits (including impacts and loads during fuelling operations). For any cases of non-compliance, provide the following details:		
Date of non-compliance	Unit Channel, Bundle(s)	Cause	Results of in-bay inspections and PIE (if available)
Maximum load (kN)			
2.4 Degraded cooling conditions	Characterize compliance with limits ensuring adequate fuel cooling (including during fuelling operations). For any cases of non-compliance provide the following details:		
Date of non-compliance	Unit Channel, Bundle(s)	Cause	Results of in-bay inspections and PIE (if available)
Duration (s)			
2.5 Coolant chemistry	Characterize compliance with coolant chemistry limits. For any cases of non-compliance provide the following details:		

Date of non-compliance	Cause	Assessment of impact on fuel
2.6 Operational events	Describe any events that may have imposed conditions affecting safe fuel performance.	
Date of event	Event characterization	Assessment of impact on fuel

Table D.3. Design and Manufacturing

Station:		Reporting Year:
Design and Manufacturing	Describe any changes in fuel design, manufacturing processes, and manufacturing requirements	
3.1 Design Changes	Describe design modifications or concession applications and impact on fuel performance	
Date		
3.2 Manufacturing Changes	Describe changes in manufacturing process or QA requirements and impact on fuel performance	
Date		

Station:		Reporting Year:
3.3 Manufacturing Occurrences	Describe any unintended deviations in manufacturing process that may have an impact on fuel performance	
Date		

Table D.4. Inspection Results

Total planned for inspection	Total inspected during reporting year	Discharged and inspected during reporting year (20XX)		Number of bundles discharged and inspected during 4 preceding years (20XX – 20XX)	
		Number	Percentage	Number	Percentage
4.1.1 Broken assembly welds		Number	Percentage	Number	Percentage
4.1.2 Endplate cracks		Number	Percentage	Number	Percentage
4.1.3 a) Bundles with significant endplate damage or deformation		Number	Percentage	Number	Percentage
4.1.3 b) Bundles with increased endplate wear ¹		Number	Percentage	Number	Percentage
4.1.4 Trapped debris or debris fretting marks					
4.1.4 a) All observations		Number	Percentage	Number	Percentage
4.1.4 b) Significant observations ²		Number	Percentage	Number	Percentage
4.1.5 Observable element bow		Number	Percentage	Number	Percentage

¹ This category includes observations of Type 4 or greater wear, where Type 4 is defined as “medium impression wear”; being shallow but with discernible depth, where some part of the wear pattern shows depth (usually in the form of a step).

² Observations of debris and/or fretting judged to have the potential to cause fuel defects.

4.1.6 Observable sheath strain ³	Number	Percentage	Number	Percentage
4.1.7 Significant or abnormal bearing pad wear				
4.1.7 a) Full surface wear	Number	Percentage	Number	Percentage
4.1.7 b) Near full surface wear	Number	Percentage	Number	Percentage
4.1.7 c) Abnormal wear	Number	Percentage	Number	Percentage
4.1.7 d) Sculpted wear	Number	Percentage	Number	Percentage
4.1.7 e) Burnish mark interactions	Number	Percentage	Number	Percentage
4.1.7 f) Spacer sleeve interactions	Number	Percentage	Number	Percentage
4.1.8 Bundles with bearing pad crevice corrosion	Number	Percentage	Number	Percentage
4.1.9 Bundles with oxide, stain or crud indications				
4.1.9 a) Bundles with observable sheath oxide	Number	Percentage	Number	Percentage
4.1.9 b) Bundles with observable deposits, stains or crud indications	Number	Percentage	Number	Percentage
	Number	Percentage	Number	Percentage

³ Observations of visible swelling or strain of the sheath. Note that white or black circumferential oxide band at pallet interface locations, historically included in this category are now included in category 4.1.9 a).

4.1.9 c) Bundles with significant deposits, stains or crud indications ⁴				
4.1.10 Other Miscellaneous Observations				
4.1.10 a) Sheath scrapes	Number	Percentage	Number	Percentage
4.1.10 b) Significant sheath scrapes ⁵	Number	Percentage	Number	Percentage
4.1.10 c) Bearing pad mechanical damage	Number	Percentage	Number	Percentage
4.1.10 d) Significant bearing pad mechanical damage ⁶	Number	Percentage	Number	Percentage
4.1.10 e) Endcap mechanical damage	Number	Percentage	Number	Percentage
4.1.10 f) Significant endcap mechanical damage ⁷	Number	Percentage	Number	Percentage
4.1.10 g) Endcap latch marks	Number	Percentage	Number	Percentage
4.1.10 h) Weld flash	Number	Percentage	Number	Percentage
4.1.10 i) Sheath depressions	Number	Percentage	Number	Percentage
4.1.10 j) Interlocked spacer pads	Number	Percentage	Number	Percentage
	Number	Percentage	Number	Percentage

⁴ Deposits, stains or crud indications on the sheath judged to have the potential to cause a local thermal impact greater than that of a bearing pad, or which could potentially pose a risk to sheath integrity, or have significant neutronic impact.

⁵ Scrapes resulting in the galling of sheath material

⁶ Damage resulting in the galling of bearing pad material

⁷ Damage resulting in the galling of endcap material

4.1.11 Bundles with rarely observed or unique unusual indications⁸					
Date of discharge			Unit, Bundle serial #		
Description					
4.1.12 Summarize results of fuel in-bay inspections, noting emerging trends and possible fuel performance implications					
4.2.1 Irradiated fuel post-irradiation examination					
The following elements were shipped for post-irradiation examinations in MMM YYYY. Results will be reported upon completion of the PIE work and documentation					
Serial - Element		Objectives of post-irradiation examination			
4.2.2 Irradiated fuel post-irradiation examination					
The following elements were shipped for post-irradiation examinations in MMM YYYY. The condition of each element has been assessed for compliance to the fuel bundle design basis limits for wear and deformation.					
Serial - Element	Discharge Data	Objectives of post-irradiation examination and significant results (e.g., visual inspection results, destructive examination conclusions, defect root cause, etc.)			

⁸ This category identifies unusual fuel indications with an impact on fuel performance that are significant or not fully characterized, and would not otherwise be sufficiently covered in other fuel performance categories of Section 4.1

4.2.3 Irradiated fuel post-irradiation examination									
Shipment date: MMM-YYYY									
Serial-Element	Discharge Unit-Channel	Discharge Date	Inspection Date	Sheath Strain (%) Limit: 0.5%	Element Bow (mm) Limit: 0.47 mm	Endplate Deformation (mm) Limit: 0.5 mm	Fission Gas Release (mL) Limit: 40 mL	Oxide Layer Thickness (µm) Limit: 10 µm	Other observations (as required)

Table D.5. Fuel Defects

Station:		Reporting Year:	
5.1 Fuel defects	Summarize trends in occurrence of fuel defects		
Number of defects (20XX)		# in previous 4 years (20XX- 20 XX)	

The table below is repeated for each defect.

Unit-Bundle-Element	Date detected	Date discharged	Date inspected
Channel		Bundle positions in channel	
Range of bundle when defective in-core (i.e., burn-up range from detection to discharge) ⁹		Range of bundle power when defective in-core (i.e., power range from detection to discharge) ⁹	
Time from detection discharge ⁹	Days	Full Power Days (FPD)	
Method of detection			
Characterize extent of sheath damage			
Characterize cause of defect			
	Summarize trends in occurrence of suspected fuel defects		

⁹ The time of the initial detection is a best estimate, based on available data. The uncertainty in this timing is dependent on a number of factors specific to each individual case (e.g. bundle power and burnup when defected, background radionuclide levels, presence of other defects, and sampling rate).

5.2 Suspected fuel defects			
Number of suspected defects (20XX)		# in previous 4 years (20XX – 20XX)	
Unit-Channel (Repeat remaining rows in table as necessary)	Dates of observation		
Method of detection			
Actions to identify defect location			

Table D.6. Additional information relevant to fuel performance

Station:		Reporting Year:
6.1 Special Irradiations	Describe any irradiation of fuel of design other than used for routine fuelling	
Unit	Date	
Description		
6.2 Plant Transients	Describe any plant transient that may affect fuel performance	
Unit	Date	
Description		
6.3 OPEX	Describe experiences from other stations that may be relevant to fuel performance	
Station	Date	
Description		

Glossary

For definitions of terms used in this document, see [REGDOC-3.6, *Glossary of CNSC Terminology*](#), which includes terms and definitions used in the [Nuclear Safety and Control Act](#) and the regulations made under it, and in CNSC regulatory documents and other publications. REGDOC-3.6 is provided for reference and information.

The following terms are either new terms being defined, or include revisions to the current definition for that term. Following public consultation, the final terms and definitions will be submitted for inclusion in the next version of REGDOC-3.6, *Glossary of CNSC Terminology*.

Exposure hours (CHANGE)

The total number of hours of employment for all workers for each member utility for each reporting period. This number includes regular hires, direct contractors / augmented / supplemental staff and contractors working through a separate company.

Restricted work (NEW)

An employee is deemed to be working in a restricted capacity due to a work-related injury or illness resulting in the employee being unable to perform their regular permanent job (i.e. is accommodated in another role), or is unable to work the normal time period of their pre-injury or illness work days (i.e. reduced hours of work).

Serious process failure (CHANGE)

A failure that leads or that could lead, in the absence of action by any special safety system, to significant fuel damage or a significant release from the NPP.

Significant fuel damage (NEW)

An event or situation that brought the fuel (>1%) outside of its fitness for service limits.

Special security equipment (NEW)

Includes prohibited and restricted firearms, items and devices that a licensee can only acquire under the authority of the CNSC acting as a public service agency under the *Public Agents Firearms Regulations* made under the *Firearms Act*.

Structures, systems and components (SSCs) important to safety (REPLACES SAFETY RELATED SYSTEMS)

Systems of a reactor facility that are associated with the initiation, prevention, detection or mitigation of any failure sequence and that have an impact on reducing the possibility of damage to fuel, associated release of radionuclides or both.

References

The CNSC may include references to information on best practices and standards such as those published by CSA Group. With permission of the publisher, CSA Group, all nuclear-related CSA standards may be viewed at no cost through the CNSC Web page “[How to gain free access to all nuclear-related CSA standards](#)”.

1. Canadian Nuclear Safety Commission (CNSC), [REGDOC-3.1.2, Reporting Requirements: Non-Power Reactor Class I Facilities and Uranium Mines and Mills](#), Ottawa, Canada, 2018.
2. CNSC, [REGDOC-3.1.3, Reporting Requirements for Waste Nuclear Substance Licensees, Class II Nuclear Facilities and Users of Prescribed Equipment, Nuclear Substances and Radiation Devices](#), Ottawa, Canada, 2020.
3. CSA Group, [CSA N290.7, Cyber security for nuclear power plants and small reactor facilities](#), 2014.
4. CNSC, [REGDOC-3.2.1, Public Information and Disclosure](#), Ottawa, Canada, 2018.
5. CSA Group, [CSA N285.0-17, General requirements for pressure-retaining systems and components in CANDU nuclear power plants/Material Standards for reactor components for CANDU nuclear power plants](#), 2017.
6. CNSC, [REGDOC-2.2.4, Fitness for Duty: Managing Worker Fatigue](#), Ottawa, Canada, 2017.
7. CNSC, [REGDOC-2.9.1, Environmental Principles, Assessments and Protection Measures](#), Ottawa, Canada, 2020.
8. CSA Group, [CSA N293-12, Fire Protection for Nuclear Power Plants](#), 2012.
9. CSA Group, [CSA N289.5, Seismic instrumentation requirements for nuclear power plants and nuclear facilities](#), 2012.
10. CNSC, [REGDOC-2.2.3, Personnel Certification, Volume III : Certification of Persons Working at Nuclear Power Plants](#), Ottawa, Canada, 2019.
11. American Society of Mechanical Engineers (ASME), Boiler & Pressure Vessel Code.
12. CNSC, [REGDOC-3.6, Glossary of CNSC Terminology](#), Ottawa, Canada, 2021.
13. CNSC, [REGDOC-2.6.1, Reliability Programs for Nuclear Power Plants](#), Ottawa, Canada, 2017.
14. CSA Group, [CSA N292.3, Management of low- and intermediate-level radioactive waste](#), Ottawa, Canada, 2008.
15. CNSC, [RD/GD-98, Reliability Programs for Nuclear Power Plants](#), Ottawa, Canada, 2012.
16. CNSC, [REGDOC-2.10.1, Nuclear Emergency Preparedness and Response, Version 2](#), Ottawa, Canada, 2016.

17. Institute of Nuclear Power Operations, INPO AP-913, *Equipment Reliability Process Description*.

CNSC Regulatory Document Series

Facilities and activities within the nuclear sector in Canada are regulated by the CNSC. In addition to the *Nuclear Safety and Control Act* and associated regulations, these facilities and activities may also be required to comply with other regulatory instruments such as regulatory documents or standards.

CNSC regulatory documents are classified under the following categories and series:

1.0 Regulated facilities and activities

- Series
- 1.1 Reactor facilities
 - 1.2 Class IB facilities
 - 1.3 Uranium mines and mills
 - 1.4 Class II facilities
 - 1.5 Certification of prescribed equipment
 - 1.6 Nuclear substances and radiation devices

2.0 Safety and control areas

- Series
- 2.1 Management system
 - 2.2 Human performance management
 - 2.3 Operating performance
 - 2.4 Safety analysis
 - 2.5 Physical design
 - 2.6 Fitness for service
 - 2.7 Radiation protection
 - 2.8 Conventional health and safety
 - 2.9 Environmental protection
 - 2.10 Emergency management and fire protection
 - 2.11 Waste management
 - 2.12 Security
 - 2.13 Safeguards and non-proliferation
 - 2.14 Packaging and transport

3.0 Other regulatory areas

- Series
- 3.1 Reporting requirements
 - 3.2 Public and Indigenous engagement
 - 3.3 Financial guarantees
 - 3.4 Commission proceedings
 - 3.5 CNSC processes and practices
 - 3.6 Glossary of CNSC terminology

Note: The regulatory document series may be adjusted periodically by the CNSC. Each regulatory document series listed above may contain multiple regulatory documents. Visit the CNSC's website for the latest [list of regulatory documents](#).