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| ONR Guidance Document  Notification Guidance for Nuclear Security Incidents |



ONR Guidance Document

Notification Guidance for Nuclear Security Incidents

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Table 1: Revision commentary

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| Issue No. | Description of Update(s) |
| 1 | New document. |
| 1.1 | Minor editorial update, and clarification in Section 2.2, Minor Incidents |
| 1.2 | Minor editorial update, provision of information on SC18 |
| 1.3 | Review date extended to July 2024 |
| 1.4 | Review date extended to March 2027 |
| 1.5 | Minor amendments to referencing, and to consistency in terminology used across ONR’s suite of incidents guidance and processes. Detailed MRC references removed. |

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# Introduction

## Purpose

This document provides guidance for Civil Nuclear Security dutyholders to enable consistent and transparent reporting of incidents. It supports these dutyholders’ implementation of ONR’s incident notification process (ref. [1]) within their management systems or equivalent arrangements.

This guidance supports dutyholders’ compliance with The Nuclear Industries Security Regulations 2003 (NISR 2003) ref [2]. It presents ONR’s expectations for notifying an incident.

## Scope and Applicability

This guidance applies only to dutyholders for:

* Security of Nuclear Premises, as defined in Part 2 and Regulation 2(1) and 2(2) of NISR 2003.
* Security of Transport of Nuclear Material Transport and Approved Carriers as defined in Part 3 and Regulation 2 (1) of NISR 2003.
* Security of Sensitive Nuclear Information and persons responsible for managing sensitive nuclear information as defined in Part 4 and Regulation 22 (1) of NISR 2003.

ONR has implemented Nuclear Security incident categories that mirror the incidents defined in NISR 2003. The ONR incident categories that are within the scope of this guidance are all incidents with a Nuclear Security category, (beginning SC), as defined in ONR’s incident notification process (ref [1].)

## Roles and Responsibilities

NISR 2003 Regulation 10 requires:

“The responsible person in relation to each nuclear premises must report to the ONR any event or matter of a kind specified in paragraph (5) as soon as practicable and in any event within 24 hours of its becoming known to him.”

NISR 2003 Regulation 18 requires:

“An approved carrier must report to the ONR any event or matter of a kind specified in paragraph (5) as soon as practicable and in any event within 24 hours of its becoming known to him.”

NISR 2003 Regulation 22 requires the responsible person to:

“…report to the ONR any event or matter of a kind specified in paragraph (6) that relates to any sensitive nuclear information within his possession or control as soon as practicable and in any event within 24 hours of its becoming known to him, specifying the nature of the event or matter and, in the case of an event, the date and time it occurred and the apparent reason for it.”

Dutyholders are responsible for compliance with NISR 2003. Implementation of this guidance will support their compliance with these regulations.

ONR is responsible for giving guidance to dutyholders so they understand and can implement this guidance within their arrangements.

## Onward reporting of relevant information by ONR

Dutyholders should note that details of some incidents reported to ONR will be shared with the Department for Energy Security and Net Zero (DESNZ). Sharing is by virtue of agreed ministerial reporting arrangements between ONR and DESNZ. For further details, please refer to ONR’s website ([Notify ONR | Office for Nuclear Regulation](https://www.onr.org.uk/about-us/contact-us/notify-onr/)

## Definitions

Table 2: Table of Definitions

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| Term/Acronym | Description |
| Dutyholders | Any individual or corporate body that has a duty under the law and ONR is the enforcing authority for that duty. |
| FUR | Follow-up Report |
| IAEA | International Atomic Energy Agency |
| NISR 2003 | The Nuclear Industries Security Regulations 2003 |
| Notify or Notification | The formal communication that a dutyholder sends to ONR in accordance with this process. |
| SNI | Sensitive Nuclear Information, as defined in the NISR 2003: Classification Policy for the Civil Nuclear Industry (ref. [3]) |

# Guidance for Nuclear Security Dutyholders

## Implementing ONR’s Security Incident Categories

ONR intends this guidance to apply consistently to all Civil Nuclear Security dutyholders. The guidance uses general terminology that closely aligns to NISR 2003. This will allow dutyholders to use their existing NISR 2003 compliance arrangements to implement these incident notification expectations.

ONR’s notification criteria for Civil Nuclear Security incidents are defined in the notification process (ref. [1]) and NISR 2003.) The criteria are the primary definition of incidents. They are not technology or facility specific. The criteria are repeated in [Appendix A](#_Appendix_A_-) of this guidance, along with the related category and commentary to assist dutyholders. This commentary covers:

* Origin of the Category.
* Timeframe for reporting (see §‎2.2 below).
* Follow-up report (FUR) requirement.
* Discussion of the types of incidents that ONR intends the category to include.

This guidance does not include illustrative examples to remain generic. Dutyholders may choose to include examples in their implementation arrangements that are relevant to their technologies and facilities.

## NISR 2003 Incident Notification

NISR 2003 requires dutyholders to **complete incident notifications as soon as practicable and in any event within 24 hours** of the dutyholder becoming aware of the incident. Dutyholders must ensure that they comply with this requirement.

Dutyholders should make their initial notification to the relevant ONR security inspector via telephone. If this is not possible then they should contact the ONR Civil Nuclear Security Duty Officer via the [Civil Nuclear Constabulary Control Room](https://www.onr.org.uk/notify-onr.htm).

Dutyholders should follow up this telephone notification by submitting required information as described in ONR’s incident notification process (ref [1].)

The dutyholder may choose to develop an appropriate process to manage the reporting of SC10i or SC10j minor incidents. If ONR has approved this process, and an appropriate Regulation 7(2) notification has been issued, then these incidents may not need to be reported. For additional information refer to the NISR 2003 Regulation 10 guidance in ONR’s NISR 2003 guidance for inspectors, ref [4], which contains the full details of these arrangements.

## Security Incident Significance Guidance

Guidance on the significance ratings that dutyholders need to attach to security incident notifications is provided in Table 3. These ratings are consistent with ref. [4]. Dutyholders should embed these ratings in their arrangements.

The Appendices in this document cover:

* [Appendix A - Nuclear Security Incident Categories](#_Appendix_A_-)
* [Appendix B – Media Interest Incident Category](#_Appendix_B_–)

# References

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| [1] | ONR, “ONR-OL-PROC-002 - Process for Notifying Incidents to ONR”. |
| [2] | H.M. Government, “The Nuclear Industries Security Regulations 2003 (NISR) (2003/403),” 2003. |
| [3] | ONR, “NISR 2003: Classification Policy for the Civil Nuclear Industry”. |
| [4] | ONR, “CNSS-SEC-GD-002 - Nuclear Industries Security Regulations 2003 – Guidance for Inspectors”. |

Table 3: Security Incident Significance

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

# Appendix A – Nuclear Security Incident Categories

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| SC10a  Any unauthorised incursion on to the premises or any attempted or suspected such incursion. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Regulation 10(5) of NISR 2003 |
| **Discussion:** |
| This category concerns any unauthorised attempted or suspected incursion onto nuclear premises, or onto areas of nuclear premises with additional access control arrangements. |

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| SC10b  Any incident occurring on the premises involving an explosive or incendiary device or suspected such device, or a firearm or replica firearm. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Regulation 10 (5) of NISR 2003. |
| **Discussion:** |
| Civil Nuclear Constabulary firearms are authorised on nuclear premises. This category concerns incidents involving both authorised firearms and unauthorised firearms, in addition to actual or suspected explosive or incendiary devices. |

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| SC10c  Any damage to any building or equipment on the premises which might affect the security of the premises, or any material or equipment mentioned in regulation 4 (2). |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at the discretion of ONR Inspector  **Origin of Category:** |
| Regulation 10 (5) of NISR 2003. |
| **Discussion:** |
| This category concerns incident reporting associated with any damage to buildings or equipment that might affect the security arrangements detailed in the approved security plan for a nuclear premise. This could include storm damage to fences for example or equipment malfunction such as camera or detection system failure. |

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| SC10d  Any malicious damage to any building or equipment on the premises, other than any trivial damage that does not affect the security of the premises or any material or equipment mentioned in regulation 4(2). |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Regulation 10 (5) of NISR 2003. |
| **Discussion:** |
| This category concerns any malicious damage to buildings or equipment that might affect the security arrangements detailed in the approved security plan for a nuclear premise. |

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| SC10e  Any theft or attempted theft, or any loss or suspected loss, or any unauthorised movement:  • of any nuclear material used or stored on the premises or in transit to or from them, or  • in the case of premises which are or form part of a nuclear site, of any other radioactive material used or stored on them. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Regulation 10(5) of NISR 2003. |
| **Discussion:** |
| This category concerns incident reporting associated with any nuclear material or other radioactive material that cannot be accounted for on a nuclear premise.  [Radiological Safety Category RS13 is also relevant for loss or theft of radioactive material in excess of specified values referenced in IRR17. Safeguards incident notification categories may also be relevant.] |

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| SC10f  Any theft or attempted theft, or any loss or unauthorised disclosure, of sensitive nuclear information kept on the premises, or any suspected such theft, loss or disclosure. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Regulation 10(5) of NISR 2003. |
| **Discussion:** |
| This category concerns the compromise of security of SNI on nuclear premises. |

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| SC10g  Any unauthorised access to any sensitive nuclear information kept on the premises, or any attempt to gain such access. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at discretion of ONR Inspector  **Origin of Category:** |
| Regulation 10(5) of NISR 2003. |
| **Discussion:** |
| This category concerns the compromise of security of SNI. |

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| SC10h  Any threat to do anything which would fall within any of the above criteria 10 a-g. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at discretion of ONR Inspector  **Origin of Category:** |
| Regulation 10(5) of NISR 2003 |
| **Discussion:** |
| This category concerns both direct and indirect threat to conduct any of the incidents described in categories SC10 a-g. |

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| SC10i  Any failure to comply with any of the standards, procedures and arrangements described in the approved security plan for the premises or in any approved temporary security plan to which for the time being they are subject. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at the discretion of ONR Inspector  **Origin of Category:** |
| Regulation 10(5) of NISR 2003. |
| **Discussion:** |
| The Regulations require that duty-holders must have an approved security plan and comply with the standards, procedures and arrangements within. This category concerns a contravention or deviation from any approved security plan for a nuclear premise.  See §2.2 above for guidance on notification of incidents under this category. |

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| SC10j  Any other event or matter which might affect the security of the premises, or the material, equipment or information mentioned in regulation 4(2). |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at the discretion of ONR Inspector  **Origin of Category:** |
| Regulation 10(5) of NISR 2003. |
| **Discussion:** |
| This category aims to cover all other incidents that are a not specifically covered in the other reporting categories but may affect security.  See §2.2 above for guidance on notification of incidents under this category. |

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| SC18  An approved carrier must report to the Secretary of State any event or matter of a kind specified in the NISR 2003. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at the discretion of ONR Inspector  **Origin of Category:** |
| Regulation 18(5) of NISR 2003. |
| **Discussion:** |
| This category concerns incidents or events related to Cat I-III nuclear material in transit or temporary storage, and the security of such material.  Safeguards and Transport incident notification categories may also be relevant depending on circumstances. |

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| SC22a  Any theft or attempted theft, or any loss or unauthorised disclosure, of sensitive nuclear information or any suspected such theft, loss or disclosure. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Regulation 22(10) of NISR 2003. |
| **Discussion:** |
| Regulation 22 (10) of NISR 2003 applies to dutyholder locations which hold SNI but are not a nuclear site or approved carrier. |

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| SC22b  Any unauthorised access to sensitive nuclear information or any attempt to gain such access. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at the discretion of ONR Inspector.  **Origin of Category:** |
| Regulation 22(10) of NISR 2003. |
| **Discussion:** |
| This category concerns reporting of incidents and matters defined within NISR 2003 to ONR by persons who have possession or control of SNI, or uranium enrichment software or equipment. |

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| SC22c  Any other event or matter which might affect the security of any sensitive nuclear information. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Optional, at the discretion of ONR Inspector  **Origin of Category:** |
| Regulation 22(10) of NISR 2003. |
| **Discussion:** |
| This category concerns reporting of incidents and matters defined within the Regulations to ONR by persons who have possession or control of SNI, or uranium enrichment software or equipment.  This relates to any incidents or matters not covered under SC22b and SC22c. |

# Appendix B – Media Interest Incident Category

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| AN01  Events likely to attract, or that have attracted, significant national media or public attention. |
| **Timeframe for reporting:** Immediate  **FUR Requirement:** Yes  **Origin of Category:** |
| Ministerial Reporting Criteria (MRC). For more information, refer to ONR’s website ([Notify ONR | Office for Nuclear Regulation](https://www.onr.org.uk/about-us/contact-us/notify-onr/) ) |
| **Discussion:** |
| This category is a “catch-all” aimed at incidents which have the potential to achieve a high public profile but do not appear to meet any of the immediate reporting categories. Often these incidents may have been reported in the media. As such it is useful for ONR to be notified of these incidents in anticipation of requests for comment by other interested parties.  This category may be used with or without any of the other notifications categories, to give immediate effect to a notification. The presence or absence of other categories will provide an initial indication to ONR of the extent of any follow-up required.  This category is not intended to cover all attendances at site by external response services for routine matters such as an ambulance transporting a worker to hospital for treatment of a minor injury or a precautionary check-up, however if emergency services attend with flashing blue lights and sirens, this may give rise to media attention and hence be reported under this incident notification category, AN01. |