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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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| 1.1 | Minor editorial update, and clarification in Section 2.2, Minor Incidents |
| 1.2 | Minor editorial update, provision of information on SC18 |
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Contents

[1. Introduction 4](#_Toc119319461)

[1.1. Purpose 4](#_Toc119319462)

[1.2. Scope and Applicability 4](#_Toc119319463)

[1.3. Roles and Responsibilities 4](#_Toc119319464)

[1.4. Definitions 5](#_Toc119319465)

[2. Guidance for Nuclear Security Dutyholders 6](#_Toc119319466)

[2.1. Implementing ONR’s Security Incident Categories 6](#_Toc119319467)

[2.2. NISR 2003 Incident Notification 6](#_Toc119319468)

[2.3. Security Incident Significance Guidance 7](#_Toc119319469)

[References 7](#_Toc119319470)

[Appendix A - Nuclear Security Incident Categories 10](#_Toc119319471)

[Appendix B – Media Interest Incident Category 17](#_Toc119319472)

# Introduction

## Purpose

This document gives Civil Nuclear Security dutyholders guidance to promote consistent and transparent incidents notification. This will allow these dutyholders to implement ONR’s incident notification process (ref. [1]) within their management systems or equivalent arrangements.

This guidance supports dutyholders’ compliance with Nuclear Industries Security Regulations (NISR) 2003 [2]. It provides greater depth of ONR’s expectations of the threshold and criteria 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 (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, as defined in ONR’s incident notification process [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. Compliance with this guidance will support their compliance with these regulations.

ONR is responsible for giving guidance to dutyholders on understanding and implementing this guidance within their arrangements.

## Definitions

Table : Table of Definitions

|  |  |
| --- | --- |
| Term/Acronym | Description |
| NISR | Nuclear Industries Security Regulations 2003 |
| FUR | Follow-up Report |
| SNI | Sensitive Nuclear Information |
| IAEA | International Atomic Energy Agency |
| LC | Licence Conditions |

# 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 criteria are not technology or facility specific. The guidance uses general terminology that is closely aligned to NISR 2003. This will allow dutyholders to use their existing NISR 2003 compliance arrangements to implement these incident notification categories.

ONR’s notification criteria for Civil Nuclear Security incidents are defined in the notification process document and NISR 2003. These criteria are the primary definition of incidents. They are repeated in the [Appendix A](#_Appendix_A_-) of this guidance, along with commentary to assist the dutyholders. This commentary covers:

* Origin of the Category
* Discussion of the types of incidents that ONR intends this category to include.
* Interpretation of terminology in the categories and guidance for dutyholders to implement the categories within their arrangements

To avoid being technology or facility specific, this guidance does not include illustrative examples. 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 with an INF1 using ONR’s incident management process.

Dutyholders should ensure that they use the appropriate notification route for security incident defined in ONR’s incident management process.

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, please refer to the NISR 2003 Regulation 10 guidance in ONR’s NISR 2003 guidance for inspectors [3], which contains the full details of these arrangements.

## Security Incident Significance Guidance

The dutyholder guidance on the significance ratings to attach to INF1 Part A notifications is provided in Table 3. Dutyholder should imbed 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-RIO-PROC-002 - Process for Notifying Incidents to ONR”. |
| [2] | H.M. Government, “The Nuclear Industries Security Regulations 2003 (NISR) (2003/403),” 2003. |
| [3] | ONR, “CNSS-SEC-GD-002 - Nuclear Industries Security Regulations 2003 – Guidance for Inspectors”. |

Table : Security Incident Significance

| Significance | Description |
| --- | --- |
| 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 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

## SC10a

**Description:**

Any unauthorised incursion on to the premises or any attempted or suspected such incursion.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns any unauthorised attempted or suspected incursion onto nuclear premises, or onto areas of nuclear premises with additional access control arrangements.

## SC10b

**Description:**

Any incident occurring on the premises involving an explosive or incendiary device or suspected such device, or a firearm or replica firearm.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

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.

## SC10c

**Description:**

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).

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns any damage to buildings or equipment that might affect the security arrangements detailed in the approved security plan for a nuclear premise.

## SC10d

**Description:**

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).

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns any malicious damage to buildings or equipment that might affect the security arrangements detailed in the approved security plan for a nuclear premise.

## SC10e

**Description:**

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.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns any nuclear material or other radioactive material that cannot be accounted for on a nuclear premise.

## SC10f

**Description:**

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.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns the compromise of security of Sensitive Nuclear Information on nuclear premises. Sensitive Nuclear Information is defined in the Regulations and in the Classification Policy for the Nuclear Industry.

## SC10g

**Description:**

Any unauthorised access to any sensitive nuclear information kept on the premises, or any attempt to gain such access.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns the compromise of security of Sensitive Nuclear Information, as defined in the Regulations and in the Classification Policy for the Nuclear Industry.

## SC10h

**Description:**

Any threat to do anything which would fall within any of the above criteria 10 a-g.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

It concerns both direct and indirect threat to conduct any of the incidents described in categories SC10 a-g.

## SC10i

**Description:**

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.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

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.

## SC10j

**Description:**

Any other event or matter which might affect the security of the premises, or the material, equipment or information mentioned in regulation 4(2).

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 10 (5).

**Discussion:**

This category is required under Regulation 10 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made by the responsible person to ONR (CNS).

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.

## SC18

**Description:**

An approved carrier must report to the Secretary of State any event or matter of a kind specified in the NISR 2003.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 18 (5).

**Discussion:**

This criterion is required under Regulation 18 (5) of the Nuclear Industries Security Regulations 2003. It ensures that reports of events and matters defined within the Regulations are made by approved carriers to ONR (CNS).

It concerns incidents or events related to Cat I-III nuclear material in transit or temporary storage, and the security of such material.

## SC22a

**Description:**

Any theft or attempted theft, or any loss or unauthorised disclosure, of sensitive nuclear information or any suspected such theft, loss or disclosure.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 22 (10).

**Discussion**:

Regulation 22 (10) of the Nuclear Industries Security Regulations 2003 applies to dutyholder locations which hold sensitive nuclear information but are not a nuclear site or approved carrier. Sensitive nuclear information is defined within the Regulations and the classification policy, which needs to be protected in the interests of national security.

## SC22b

**Description:**

Any unauthorised access to sensitive nuclear information or any attempt to gain such access.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 22 (10).

**Discussion**:

This category is required under Regulation 22 (10) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made to ONR (CNS) by persons who have possession or control of Sensitive Nuclear Information, or uranium enrichment software or equipment.

## SC22c

**Description:**

Any other event or matter which might affect the security of any sensitive nuclear information.

**Origin of Category:**

Nuclear Industries Security Regulations 2003, Regulation 22 (10).

**Discussion**:

This category is required under Regulation 22 (10) of the Nuclear Industries Security Regulations 2003. It ensures that reports of incidents and matters defined within the Regulations are made to ONR (CNS) by persons who have possession or control of Sensitive Nuclear Information, 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

## AN01

**Description:**

Events likely to attract, or that have attracted, significant national media or public attention. (Immediate).

**Origin of Category:**

Ministerial Reporting Criteria (MRC), sub-category (f): “Events likely to attract, or that have attracted, significant national media or public attention”.

**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 be reported under AN01.