

# Document Preparation Profile (DPP)

## 1. IDENTIFICATION

<b>Document Category</b>	<b>GS-R-1 {Safety Requirement}</b>
<b>Working ID</b>	<b>XXX</b>
<b>Proposed Title:</b>	<b>Governmental and Regulatory Framework for Nuclear, Radiation, Radioactive Waste and Transport Safety</b>
<b>Proposed Action:</b>	<b>Revision of document</b>
<b>Published Title/Date</b>	<b>Legal and Governmental Infrastructure for Nuclear, Radiation, Radioactive Waste and Transport Safety</b>
<b>SS Committee(s):</b>	<b>NUSSC, RASSC, TRANSSC, WASSC</b>
<b>Technical Officer(s):</b>	<b>G. Caruso (NSNI) and K. Mrabit (NSRW)</b>

## 2. OBJECTIVE

To revise GS-R-1 in order to:

- ensure an integrated regulatory approach to nuclear, radiation, radioactive waste and transport safety that is applicable to all countries, including those that are embarking on nuclear power programmes and those with limited uses of ionizing radiation;
- harmonize GS-R-1 with the Fundamental Safety Principles (IAEA Safety Standard No. SF-1) and other IAEA Safety Standards;
- make it consistent with the relevant international conventions and codes of conduct;
- improve its internal consistency, based on the feedback from Member States and from the application of Agency Safety Services (IRRT, RaSSIA and IRRS);
- take into account the new aspects that have emerged or are in need of increased attention such as: regulatory independence, changes in the business environment, a management system providing increased regulatory effectiveness, communication and public information to improve transparency, involvement of concerned parties, and the global safety regime.

## 3. BACKGROUND

**GS-R-1** was first published in 2000, and it has proven to be useful as an international safety standard reference. Member States have used **GS-R-1** as a primary reference for establishment of their legal and regulatory framework or for improving the existing framework. **GS-R-1** has also been the key document used for planning and conducting Agency Safety Services, particularly the IAEA Regulatory Review Services in a systematic and consistent manner.

Over the past seven years, new emphasis has emerged in integration of the different regulatory areas, and it is now meaningful to have a single document that covers equally all areas. This is in line with the approach adopted in the unified Fundamental Safety Principles.

A significant number of IAEA Regulatory Review Missions have been carried out, and these have shown that in order to make **GS-R-1** an effective tool for peer review and self-assessment of the regulatory processes, there is a need to improve its clarity and internal consistency. The issues need to be presented in a more logical order, and any confusing repetition of the same issues with different wording must be avoided. A similar observation is valid concerning the use of **GS-R-1** for establishing new regulatory organizations or for improving existing regulatory processes.

Some of the issues included in the GS-R-1, such as emergency preparedness and the management system are now elaborated in more details in other requirements of the IAEA Safety Standards. Compatibility of the GS-R-1 with the newer Safety Standards as well as avoiding unnecessary duplication must be provided.

#### **4. INTERFACES**

The text of the following documents needs to be taken into account and checked for consistency during first drafting of GS-R-1:

##### Conventions

- The Convention on Early Notification of a Nuclear Accident – 1986
- The Convention on Assistance in the Case of Nuclear Accident or Radiological Emergency - 1987
- The Convention of Physical Protection of Nuclear Material – 1987, scope extended in 2005
- The Convention on Nuclear Safety – 1994
- The Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management – 2001

##### Safety Fundamentals

- Fundamentals Safety Principles (SF-1)

##### Codes of Conduct

- The Code of Conduct on the Safety and Security of Radioactive Sources – 2004
- The Code of Conduct on the Safety of Research Reactors – 2004

##### Safety Requirements and Guides

- International Basic Safety Standards for Protection against Ionizing Radiation and for the Safety of Radiation Sources (SS115)
- Preparedness and Response for a Nuclear or Radiological Emergency Safety Requirements (GS-R-2)
- Management Systems Requirements for Facilities and Activities (GS-R-3)
- All safety requirements of the series NS-R-xx, WS-R-xx, TS-R-xx
- Safety guides GS-G-1.1 to 1.5 and RS-G-1.9
- Guidance on the Import and Export of Radioactive Sources
- Handbook on Nuclear Law

#### **5. OVERVIEW**

The document will take the same approach as the Safety Fundamentals, focusing on what shall be done rather than how it should be done.

The document will establish the main responsibilities for governments and the main requirements to be taken into account in regulatory frameworks. Governments will be expected to take these requirements into account in establishing national legislation and regulations. Regulatory bodies will be expected to take into account these requirements in discharging their responsibilities.

The content of the document will be divided into Introduction and four main Chapters. Each chapter will provide a number of condensed requirements, supported by explanation and clarification.

The wording will be consistent with the Safety Fundamentals and the text of International Safety Conventions and other international instruments. Specific terms will comply with the IAEA's Safety Glossary.

## CONTENT

### 1. INTRODUCTION

- Background
- Global Safety Regime
- Objective
- Scope
- Structure

### 2. GOVERNMENTAL RESPONSIBILITIES FOR SAFETY

- Overview
- 2.1 National Policy and Strategy
- 2.2 Establishment of a National Framework
- 2.3 Establishment of an Independent Regulatory Body
- 2.4 Responsibility for Safety
- 2.5 Emergency Preparedness and Response
- 2.6 Intervention
- 2.7 Physical Protection and Security
- 2.8 Commitment to Radioactive Waste and Spent Fuel Management
- 2.9 Financial Liability
- 2.10 Competence in Nuclear and Radiation Safety

### 3. ENGAGEMENT IN THE GLOBAL SAFETY REGIME

- Overview
- 3.1 Legally Binding International Instruments - Conventions
- 3.2 Non-Binding International Instruments – Codes of Conduct
- 3.3 International Safety Standards
- 3.4 Exchange of Operating and Regulatory Experience
- 3.5 Multinational and Bilateral Arrangements for Co-operation
- 3.6 International Peer Reviews
- 3.7 Direct Access of Regulatory Bodies to International Contacts

### 4. ORGANIZATION AND INTERFACES OF THE REGULATORY BODY

- Overview
- 4.1 Organizational Structure and Allocation of Resources
- 4.2 Effective Independence
- 4.3 Shared Regulatory Responsibilities
- 4.4 Management System
- 4.5 Staffing and Competence of the Regulatory Body
- 4.6 Advisory Bodies and Support Organizations
- 4.7 Relations between the Regulatory Body and the Licensees
- 4.8 Relations between the Regulatory Body and Interested Parties
- 4.9 International Cooperation
- 4.10 Regulatory Stability

### 5. ACTIVITIES OF THE REGULATORY BODY

- Overview
- 5.1 Authorization
- 5.2 National Registers and Inventories
- 5.3 Review and Assessment

- 5.4 Inspection
- 5.5 Enforcement
- 5.6 Regulations and Guides
- 5.7 Information and Public Communication

## 6. PRODUCTION

6.1 Provisional schedule for preparation of the document, outlining expected dates for:

Approval of DPP by the Steering Committee:	07/2007
Approval of DPP by the Safety Standards Committees:	10/2007
Endorsement of DPP by the CSS:	11/2007
Development of the draft Safety Requirements	
First draft to be reviewed by the Steering Committee:	02/2008
Approval by the Safety Standards Committees for submission to Member States for comments:	04/2008
Receipt of comments from Member States:	08/2008
Revision of draft taking into account the Comments by the MS :	12/2008
Submission to the Committees	02/2009
Approval by the Safety Standards Committees for submission to the CSS:	04/2009
Endorsement by the CSS	06/2009
Submission to Publications Committee for approval:	06/2009
Approval by the Board of Governors:	09/2009
Target publication date:	12/2009

### 6.2 Estimated resources

Estimated staff resources required: 52 staff weeks

Estimated Member States resources required: 10 Member States weeks

Estimated consultant resources required: 10 consultants weeks