



## COMPLIANCE CODE FOR CLASS U6 PERMITS

Compliance Code history	Version	Date of Effect	Description
	1	17/03/2016	Compliance Code First Issue
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	3		
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### Purpose

The purpose of this *Compliance Code* is to establish a standard set of requirements for the systems of Nuclear Material Accounting and Control and Nuclear Security for all Class U6 Permits to Possess Nuclear Material issued under section 13 of *the Act*. It also sets out forms for the submission of applications, notifications and reports.

### Scope

This *Compliance Code* applies to Permits to Possess Nuclear Material issued under section 13 of *the Act* identified under paragraph 3 of the Permit as a Class U6 permit. The requirements of the Code apply to all *nuclear material* in the possession of the Permit Holder except *nuclear material* which is declared under section 11 of *the Act* as exempt from the application of Part II of *the Act*.

### 1. Nuclear Material Accounting and Control (NMAC) System

1.1. The Permit Holder shall:

1.1.1. keep an inventory listing of *nuclear material* up-to-date;

1.1.2. label all physical batches and containers of *nuclear material* on the permit holder's *inventory*, with unique identification markings in a way that enables timely matching with batch numbers assigned by ASNO;

1.1.3. maintain organisational arrangements enabling the Permit Holder to determine the precise location of any material on the Permit Holder's *inventory* in less than 2 hours;

1.1.4. keep records of transfers of *nuclear material*;

1.1.5. provide inventory balance reports every six months of the *inventory* as of 30 June and 31 December respectively, and submit these report under form ASO310 and ASO311;



- 1.1.6. detect any *loss of control* of *nuclear material* listed on the *inventory* within seven days; and
- 1.1.7. retain records of holdings and transfers of *nuclear material* for a period of 5 years.
- 1.2. Given the low safeguards significance of material covered by Class U6 Permits, the Permit Holder is not required to develop formal written NMAC procedures.

## 2. Reports, Notifications and Requests for Approvals

- 2.1. The Permit Holder or *Designated Individual* shall report to, notify or apply to the *Director General* as appropriate for each activity or item listed in section 3.
- 2.2. Each such report, notification or application shall be made by completing the specified forms listed in paragraph 3 or using other formats as approved by *ASNO*.
- 2.3. The reports, notifications or applications shall be delivered to the *Director General* in accordance with the reporting requirements specified on the respective form.
- 2.4. Reporting of domestic and international transfers:  
The Permit Holder shall:
  - 2.4.1. conduct a Physical Inventory Taking (stocktake) not more than thirty (30) days prior to and no later than 30 June and 31 December each year (or other dates as may be designated by *ASNO* in advance), of any *nuclear material* on the *inventory*, including:
    - a) Physical Inventory Taking as described in paragraph 1.1.5;
    - b) all inventory changes that occurred during the reporting period; and
  - 2.4.2. notify *ASNO* of all international transfers (exports of *nuclear material* under this permit or imports of *nuclear material* to this permit) in accordance with the reporting timeframes and forms.



### 3. ASNO Forms

Forms are reviewed or amended from time to time. Current forms can be downloaded from the ASNO website at: [www.dfat.gov.au/asno](http://www.dfat.gov.au/asno).

#### 3.1. Approval forms

APPLICATION FORMS TO CONDUCT CERTAIN ACTIONS: <sup>1</sup>	TIMEFRAME LIMITS FOR APPLICATIONS, NOTICE OR REPORTING: <sup>2</sup>	FORM TO USE:
Application to Transfer Material (Import, Export or Domestic Transfer)	- 7 day notice	ASO106
Application to Consume, Dilute or Dispose of Nuclear Material or Associated Item <sup>3</sup>	- 7 day notice	ASO108
Application to Create a New Approved Location	- 7 day notice	ASO112
Application to Vary Disposition of Material Such That it will Become Unavailable for Verification	- 14 day notice	ASO128

#### 3.2. Notification forms

NOTIFICATION IS REQUIRED FOR: <sup>1</sup>	TIMEFRAME LIMITS FOR APPLICATIONS, NOTICE OR REPORTING: <sup>2</sup>	FORM TO USE:
Notification of an Incident	- Report <i>incidents</i> by phone within 2 hrs. of detection - submit form within 4 hrs.	ASO201
Notification of Designation of an Individual		ASO214
Notification of Change to Permit Holder's Particulars	- Within 10 days of effect of change	ASO231

#### 3.3. Report Forms

REQUIRED REPORTS: <sup>1</sup>	TIMEFRAME LIMITS FOR APPLICATIONS, NOTICE OR REPORTING: <sup>2</sup>	FORM TO USE:
Report on Incident Investigation	- Within 10 days of initial report	ASO303
Inventory Listing (Nuclear Materials and Associated Materials)	- 5 days after the physical inventory taking date set in 1.1.5	ASO310
Ledger Page	- Report monthly transactions or - 5 days after the physical inventory taking date set in 1.1.5	ASO311
Description of each building at an approved Location	- 15 <sup>th</sup> March	ASO316
Initial inventory listing		ASO323

<sup>1</sup> Each report, notification or application should be made by the *Permit Holder's Representative* or by a *Designated Individual* as notified under ASO214, responsible for compliance with that application requirement.

<sup>2</sup> Refer to related form for detailed timeframe requirements. All days refer to consecutive business days.

<sup>3</sup> *Nuclear material* may only be disposed of in such a way that the *nuclear material* will become practically irrecoverable.



#### 4. Security Measures

The Permit Holder shall maintain security measures for preventing the theft, loss or unauthorised handling of *nuclear material* including:

- 4.1. restricting access to *nuclear material* to persons who need to access such material;
- 4.2. securing the *inventory* in a lockable room or container, or otherwise made inaccessible through its incorporation into equipment; and
- 4.3. maintaining documentary records associated with the Permit conditions (defined access list, log in/out sheet).

REFERENCE ONLY