



Schweizerische Eidgenossenschaft
Confédération suisse
Confederazione Svizzera
Confederaziun svizra

Swiss Confederation

**Federal Department for the Environment, Transport,
Energy and Communications DETEC**

Implementation of the Obligations of the



Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

**Fourth National Report of Switzerland
in Accordance with Article 32 of the Convention**

October 2011



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Section A Introduction

Country and State

Switzerland is situated in central Europe and has a total surface area of 41'285 km² and a population of roughly 7.9 million (see Figure 1). Structurally, Switzerland has evolved as a federal State with 26 member states, known as cantons. Constitutionally delimited competencies and central tasks are given to the federal authorities. An important number of popular rights are guaranteed on a federal level. All other legislative power remains with the cantons, which have thus retained a high degree of autonomy. The municipalities also enjoy considerable rights of self-government.

The Federal Council, composed of seven ministers of equal rank, acts as federal government. The Swiss Parliament consists of two chambers. The National Council represents the population as a whole. Its 200 members are elected for a term of four years. The Council of States has 46 members which represent the Swiss cantons.

The voting population has the constitutional right to sanction changes to the Federal Constitution and has a right of referendum on the level of federal laws: Changes or a new article to the Federal Constitution can be requested by means of a popular initiative signed by at least 100'000 voters. All constitutional changes must be submitted to a popular vote (obligatory referendum). If a minimum of 50'000 voters challenge a proposal for a new federal law, the proposal is put to the vote (facultative referendum). The cantonal constitutions contain similar rules on popular initiatives and referendums as on the federal level.

Background of Nuclear Power in Switzerland

Historically, electricity generated in Switzerland came exclusively from hydropower without any recourse to fossil fuels, the latter not being available as a natural resource in the country. In the mid 1950's, an interest in the relatively new nuclear energy technology was manifested to cover an increasing electricity demand. In accordance with the general policy concerning the production of electricity, the promotion and use of nuclear energy was left to the initiative of the private sector. It was recognized, however, that the implementation of any nuclear programme and project requires a legislative frame to ensure safety and radiation protection, and that such a legislation should be established exclusively at the federal level. Therefore, a corresponding article was introduced into the Federal Constitution and approved by vote of the Swiss population in 1957. Based on this article, the Atomic Act was put into force in 1959.

The Atomic Act attributed to the Federal Council (federal government) the exclusive competence to grant licences for the construction of, operation of and modification to nuclear facilities. Licences were based on a detailed review and assessment of nuclear safety. The supervision of nuclear facilities implied the legal competence to take, at any time, appropriate measures to enforce compliance with the licensing conditions.

During the 1960's, several projects for nuclear power plants (NPP) in the municipalities of Beznau, Gösgen, Graben, Inwil, Kaiseraugst, Leibstadt, Mühleberg, Rütli and Verbois were initiated. Four of them reached the stage of realization, leading to the five currently operating

units, commissioned between 1969 and 1984. These five units contribute roughly 40% of the total national electricity production, the rest being essentially covered by hydro power complemented by a small amount from other energy sources.

Due to the increasing opposition to nuclear power during the 1970's, it has not been possible, however, to realize several other nuclear projects for which sites had already been approved. The situation culminated in 1990 in a double decision taken by the Swiss population:

- To accept the further operation of the existing NPPs;
- To impose a ten years stop (moratorium) on granting licences for new NPPs (as well as other nuclear facilities including reprocessing plants, with the exception of facilities for radioactive waste management).

In 2003 two public votes on the prolongation of the above moratorium and on the gradual phase-out of existing NPPs were held, respectively; both propositions were rejected by the Swiss population. Simultaneously, an entirely new Nuclear Energy Act, which provides the legal framework for further operation of the existing NPPs and for construction of new NPPs, was passed by the Parliament. The option of holding a public vote (facultative referendum) on the Nuclear Energy Act was not exercised. The Nuclear Energy Act came into force on 1 February 2005 and replaced the Atomic Act of 1959.

In February 2007 the Federal Council issued a new national energy strategy, including – besides the promotion of energy efficiency, renewable energy and international cooperation – the building of new large-scale power plants and NPPs in particular.

In May 2011 following the nuclear accident in Fukushima the Federal Council announced to abandon plans to build new nuclear reactors. The existing reactors would be allowed to continue operating, but would not be replaced at the end of their life span. The Federal Council assumes a life span of 50 years.

Nuclear Power Plants

There are today four different utilities producing electricity from nuclear energy in five units: Beznau I and II, Mühleberg, Gösgen and Leibstadt.

Switzerland is a small and densely populated country. The number of suitable sites for NPPs is therefore limited. Two sites are situated near the German border, at a distance of 0.5 km (Leibstadt) and of 5 km (Beznau). The two other sites are at a distance of about 20 km from the German and 40 km from the French border, respectively. The nuclear sites and facilities are shown in Figure 2.

In June 2008 a general licence application was submitted for a new NPP near the site of the Gösgen NPP. Two further applications for general licences were received in December 2008 in which the applicants plan to replace the existing second-generation NPPs of Beznau I and II and Mühleberg. The general licence is in its technical part mainly a site licence. The applications have been reviewed by the Swiss Federal Nuclear Safety Inspectorate ENSI taking into account national and international regulations as well as the state-of-the-art in nuclear technology and research. The results of the regulatory review are documented in the safety evaluations reports which were issued in September 2010 and state that all three sites are suitable to host a new NPP. Subsequently the Nuclear Safety Commission as second

opinion's body reviewed the Inspectorate's reports coming to essentially the same conclusion. According to the Nuclear Energy Act the formal licensing process continues with the review of the applications and safety evaluation reports by the cantons and other federal entities (e.g. Federal office for spatial planning). Eventually the applications and all the review reports are made publicly available for three months during which anybody can raise an objection. The Federal Council and Parliament have then to decide whether or not to grant the licences and this decision can be challenged in a facultative national referendum (see Section E.2.3). On March 14th 2011 following the nuclear accident in Fukushima the Federal Council has decided to suspend the licensing process for new NPPs. At the same time the Inspectorate was instructed to perform an analysis of the events in Fukushima in order to draw the appropriate lessons for the existing Swiss nuclear power plants. (see Section K).

Facilities for Nuclear Education, Research and Development

The major part of nuclear research in Switzerland is performed at the Paul Scherrer Institute (PSI). Work is carried out at PSI in the following areas in collaboration with other national and international research institutes and with industry: elementary particle physics, biological sciences (including radiation protection), solid state research and material science, nuclear energy research, non-nuclear energy research and environmental research related to the production of energy, medical research and medical treatment (oncology). These include research related to spent fuel and radioactive waste management.

PSI operates several nuclear facilities: the research reactor PROTEUS, a hot laboratory, and waste management facilities. The former research reactors DIORIT and SAPHIR are in the state of decommissioning. Two small research reactors ($P < 2 \text{ kW}_{\text{th}}$) exist at the University of Basel (Uni BS) and at the Swiss Federal Institute of Technology Lausanne (EPFL), which are used mainly for teaching purposes.

The former Lucens experimental NPP was decommissioned and dismantled after experiencing a loss of coolant accident in 1969. With the exception of a small nuclear waste storage area, this site was declassified and released for non-nuclear activities in March 1995. In 2003 the nuclear waste from this storage area was transported to the Central Storage Facility (ZZL). The site was completely released from nuclear legislation by the Federal Council in 2004.

In 1989 the Federal Council decided that the Department of Nuclear Physics at the University of Geneva had completed the decommissioning of the research reactor AGN-201-P and released the site from the former atomic legislation. The fuel elements were transferred to the Paul Scherrer Institute. No radioactive waste resulted from the dismantling of this installation.

Nuclear Waste

Each NPP has facilities for the conditioning and interim storage of radioactive waste resulting from its operation. At the Beznau NPP site, there is an additional facility for the dry storage of spent fuel elements and vitrified high level waste (ZWIBEZ) which became operational in 2008. At Gösgen NPP, a separate building for the wet storage of spent fuel elements has been commissioned in April 2008 (Nasslager).

PSI operates the National Collection Centre for all non-NPP radioactive waste, *i.e.*, waste coming from medicine, industry and research. It has facilities for the treatment and conditioning of this radioactive waste and operates the Federal Storage Facility (BZL).

In Würenlingen, the Central Storage Facility for radioactive waste (ZZL) has been constructed by the utility-owned company Zwiilag. In addition to storage capacity for spent fuel, vitrified high-level waste and other intermediate and low level radioactive waste, the facility includes facilities for the conditioning of specific waste streams and the incineration or melting of low level waste (plasma incinerator). The storage facility started active operation in June 2001. The conditioning facilities have been available for active operation since December 2003. Test campaigns of the plasma incinerator with active waste started in 2004. In September 2009 a permit for the permanent operation of the plasma incinerator has been granted by the Swiss Federal Nuclear Safety Inspectorate ENSI.

The application for the general licence for a repository for low and intermediate level waste at the Wellenberg site in the canton of Nidwalden was submitted in 1994. The cantonal legislation required a mining concession for the construction of such a repository. The granting of this mining concession was rejected by the citizens of the canton in 1995. A new application for a mining concession relating only to an exploratory drift was submitted in January 2001 and rejected once again at a cantonal referendum in September 2002. Subsequently, the NPP operators abandoned the Wellenberg project.

Concerning the disposal of high level and long-lived intermediate level waste, the work was concentrated on the demonstration of the feasibility of such a repository in Switzerland. The project "Gewähr" submitted by Nagra in 1985, which was a feasibility study based on a repository in the crystalline basement of Northern Switzerland, did not fully succeed in providing the required demonstration. The Federal Council then ordered that research should be continued and extended to sedimentary rocks. As a result of a broad selection process, Nagra chose the Opalinus clay formation in the north of the canton of Zurich for further geological investigations. The results of these investigations formed the basis of a feasibility demonstration, which was submitted for review to the federal authorities in December 2002. The technical review by the competent Swiss authorities was concluded in August 2005 followed by a broad public consultation. The Federal Council approved the feasibility demonstration in 2006.

A comprehensive site selection process for a repository for high level waste and one for low and intermediate level waste has been started under the guidance and supervision of the federal authorities, see Section B.2.

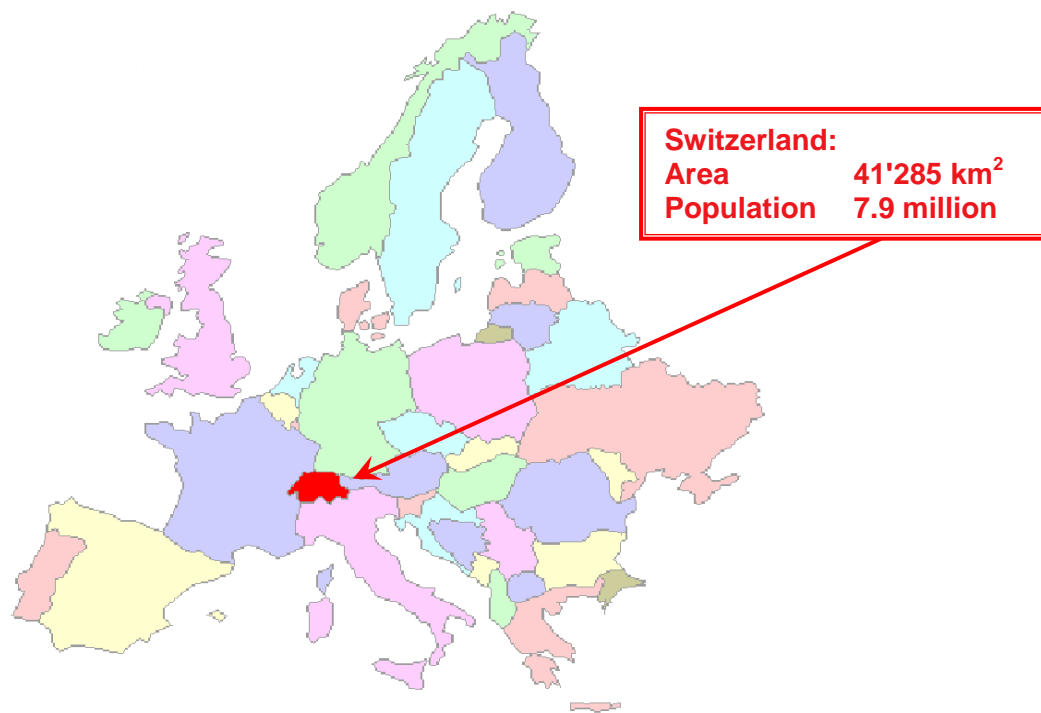


Figure 1: Location of Switzerland in Europe

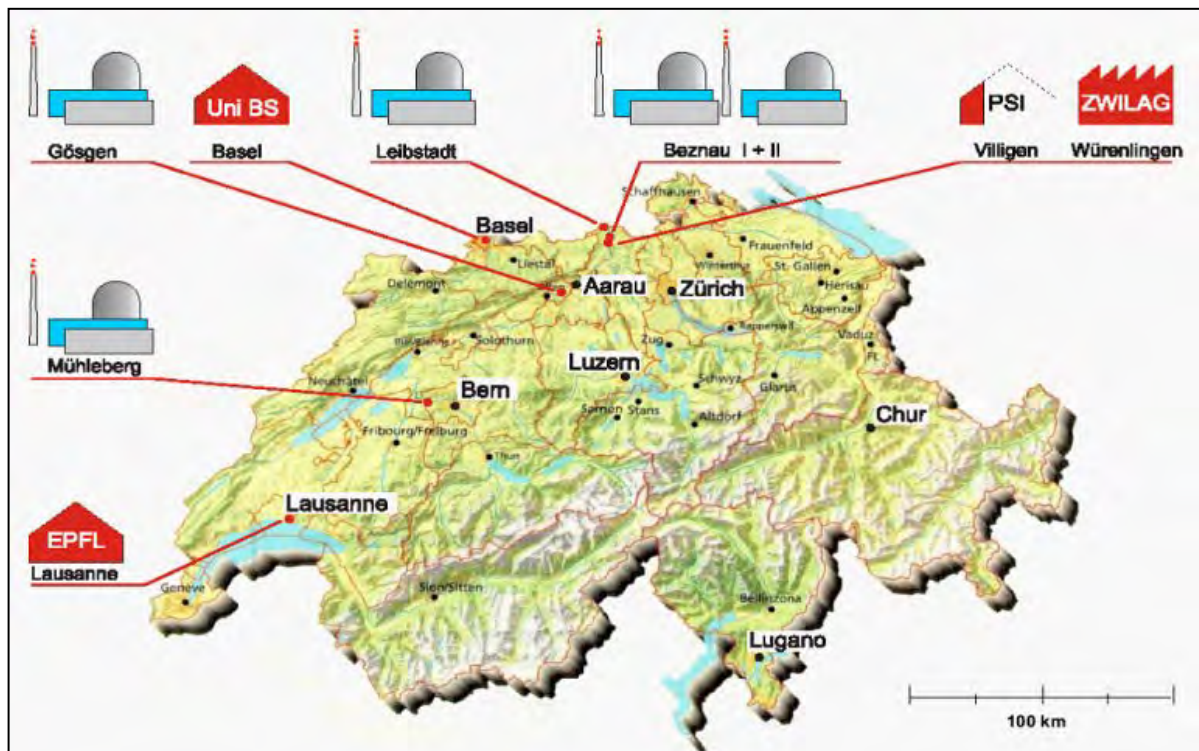


Figure 2: Nuclear sites and facilities in Switzerland

Section B Policies and Practices (Article 32 Paragraph 1)

In accordance with the provisions of Article 30, each Contracting Party shall submit a national report to each review meeting of Contracting Parties. This report shall address the measures taken to implement each of the obligations of the Convention. For each Contracting Party the report shall also address its:

- (i) spent fuel management policy;***
- (ii) spent fuel management practices;***
- (iii) radioactive waste management policy;***
- (iv) radioactive waste management practices;***
- (v) criteria used to define and categorize radioactive waste.***

The main sources of radioactive waste in Switzerland are the NPPs. The five reactors in operation give rise to the following waste streams:

- Waste from the reprocessing of spent fuel (vitrified high level waste and alpha-toxic waste) and eventually spent fuel if not reprocessed and if declared as waste.
- Waste from the operation of the NPPs (low and intermediate level waste, SMA).
- Waste from the later decommissioning of the NPPs (SMA).

Further radioactive wastes arise from the use of radionuclides in medicine, industry and research, including the decommissioning of research facilities. These are almost exclusively SMA, but also some alpha-toxic waste is generated at the Paul Scherrer Institute. Switzerland has no uranium mines and no enrichment, fuel fabrication or reprocessing plants and thus no further sources of radioactive waste.

Two repositories are foreseen, one for low and intermediate level waste (SMA) and the other for high level waste (including spent fuel if not reprocessed and if declared as waste) and long-lived intermediate level waste. For the realization of the repositories, a site selection process has recently been started (see Section B.2).

B.1 Spent Fuel Management (Clauses i and ii)

In 2003 the parliament decided to introduce a 10-year moratorium on the export of spent fuel for reprocessing which started in July 2006. Before the start of the moratorium, the utilities were free to choose between reprocessing and direct disposal of the spent fuel. The Nuclear Energy Act states a series of conditions which must be fulfilled for an authorization of the export of spent fuel for reprocessing to be granted. The conditions include an agreement with the country of destination, the existence in that country of an adequate facility corresponding to the international standards and the fact that the country of destination has ratified the Convention on Nuclear Safety and the Joint Convention.

Since the start of the moratorium no spent fuel has been exported for reprocessing. During this period, spent fuel has to be managed as radioactive waste. However, this moratorium does not change the overall spent fuel management strategy. The fate of spent fuel currently stored is not fixed. Depending on the future evolution of the use of nuclear energy and on the political decision on the prolongation of the above moratorium, the owners of spent fuel may decide to reprocess it at a later date, or to dispose of it as waste. The return of waste from reprocessing to Switzerland is not affected by this moratorium.

The reprocessing took place abroad (France and UK). Plutonium and uranium gained from reprocessing is used for fuel fabrication and recycled in Swiss NPPs. The radioactive waste arising from reprocessing is returned to Switzerland (see Section B.2). The contracts between the Swiss NPP operators and the foreign reprocessing companies (AREVA NC in France and NDA in the UK) cover roughly 1'200 t of spent fuel. Before the start of the moratorium, about 1'139 t of spent fuel had been shipped from the Swiss NPPs to the reprocessing facilities in France and the UK. All Swiss fuel has already been reprocessed.

In Switzerland, five power reactors (3 PWR, 2 BWR) at four sites (Beznau, Mühleberg, Gösgen and Leibstadt) are in operation, totalling around 3'200 MWe. A total amount of about 4'200 t of spent fuel is expected, assuming 60 years operation of each NPP.



Figure 3: Central Storage Facility of radioactive waste (ZZL) in Würenlingen. The facility is operated by the utility-owned company Zwiilag (Photo: Zwiilag).

For the interim storage of spent fuel and of radioactive waste returned from reprocessing abroad, a dry storage building at Beznau NPP (ZWIBEZ) and a Central Storage Facility (ZZL) (see Figure 3) have been built. In addition a building for the wet storage of spent fuel at Gösgen NPP (Nasslager) has been commissioned recently.

The Central Storage Facility ZZL started storage operation in 2001. By the end of 2010, 25 transport and storage casks containing about 550 t of spent fuel elements from the NPPs had been shipped to and emplaced in ZZL. Also the transport and storage cask containing the spent fuel of the former research reactor DIORIT at PSI had been transferred to ZZL. This facility has a capacity of 200 transport and storage casks containing either spent fuel elements or vitrified high level waste from reprocessing.

B.2 Radioactive Waste Management (Clauses iii and iv)

According to the Nuclear Energy Act, the producers of radioactive waste are responsible for its safe management and disposal and have to bear the costs. The responsibility for conditioning and interim storage of radioactive waste from NPPs remains with the NPP operators. The Federal State has taken over the responsibility for the collection, conditioning, storage and disposal of radioactive waste generated by the use of radioisotopes in medicine, industry and research. The producers of this kind of radioactive waste are charged a fee for this service.

The nuclear energy legislation and the corresponding regulations require the raw waste to be minimized and conditioned as soon as possible. All radioactive waste is to undergo final disposal in repositories situated in suitable geological formations; surface and near-surface disposal is not allowed. The producers of radioactive waste, *i.e.*, the NPP operators and the Federal State (for the waste from medicine, industry and research) have formed the National Cooperative for the Disposal of Radioactive Waste (Nagra) which is responsible for the disposal of all kinds of radioactive waste. Nagra also has to assess and attest the suitability for disposal of each type of waste package to be produced. Each conditioning process needs an approval from the regulatory authority prior to its application.

Two geological repositories are foreseen, one for low and intermediate level waste and the other for high level waste (including spent fuel if not reprocessed) and long-lived intermediate level waste – with the option of the two repositories being located at the same site. According to the current timetable it is expected that the repository for low and intermediate level waste becomes operational approximately in 2030. Due to the necessary cooling time prior to disposal, a repository for high level waste is needed only several decades from now. This repository shall be operational in 2040. The nuclear energy legislation requires the demonstration of the feasibility in Switzerland of safe and permanent disposal of radioactive waste. This demonstration had been conducted many years ago (Project 'Gewähr' 1985) for low and intermediate level waste. For high level and long-lived intermediate level waste the feasibility study by Nagra (Project Opalinus Clay 2002) was approved by the Federal Council (federal government) in 2006. Disposal of waste in the framework of a bilateral or multilateral project is maintained as an option, but is not actively pursued.

Since no repositories are in operation yet, all radioactive waste is currently stored in interim storage facilities. Each NPP has, for its own operational waste, conditioning facilities and interim storage capacity. The radioactive waste from medicine, industry and research is conditioned and stored at the research centre PSI. The total volume of conditioned waste stored at the NPPs, at ZZL (without high-level waste) and at PSI amounted to 6304 m³ by the end of 2010.

Combustible low level waste was incinerated at a pilot plant at PSI until the end of 2002. This facility has been shut down and will undergo decommissioning and dismantling. A new facility for the incineration and melting of low level radioactive waste by means of a plasma incinerator has been built at the Central Storage Facility ZZL. Test campaigns with active waste started in 2004. In September 2009 a permit for the permanent operation of the plasma incinerator has been granted by the Swiss Federal Nuclear Safety Inspectorate ENSI. Meanwhile, two incineration campaigns of this facility are carried out annually, which corresponds to the planned mode of operation. In 2010, approximately 1'100 waste drums have been processed.

The radioactive waste returned from reprocessing abroad of Swiss spent fuel is stored at ZZL. By the end of 2010 about 50 % of vitrified high level waste (CSD-V) and about 30% of alpha-toxic waste with compacted structural elements (CSD-C) have been returned from France to Switzerland for interim storage at ZZL (see Figures 4 and 5). The operator of the reprocessing facility in the UK intends to retain low and intermediate level waste resulting from reprocessing of the Swiss nuclear fuel, and instead to ship out a radiologically equivalent amount of their own high level waste. The purpose of this substitution policy, which is intended to be environmentally neutral, is to facilitate and accelerate the return of reprocessing waste from spent fuel of foreign origin and to reduce the number of shipments required. The technical correctness of the equivalence principle and the environmental neutrality with respect to storage and disposal has been verified and confirmed by the Swiss Federal Nuclear Safety Inspectorate (ENSI). This substitution principle has been approved with regard to the legal aspects by the Swiss licensing authority (BFE) and signed by the Swiss nuclear utilities in 2007.



Figure 4 and 5: Transshipment of CSD-C canisters with compacted structural elements from a transport cask to a storage container at the Central Storage Facility (ZZL) in Würenlingen (Photos: Zwiilag).

Under the lead of the Federal Office of Energy, the Federal authorities established a concept for the site selection procedure, which was subject to broad public consultation in 2007 not only in Switzerland but in neighbouring countries as well. Following revision in the light of comments received, the Federal Council (federal government) approved the site selection concept in April 2008¹. This process is coordinated by the Swiss Federal Office of Energy and accords with current legislation on spatial planning. In accordance with the Nuclear Energy Act, the site selection process started in November 2008.

The conceptual part of the sectoral plan for deep geological repositories defines the goals of the federal government and the procedures and criteria to be applied in selecting sites for deep geological repositories for all categories of waste in Switzerland. The focus of the site selection process is on safety based criteria, with land use and socio-economic aspects playing a secondary role. The conceptual part of the plan also specifies a three-stage site selection process and regulates the collaboration between the federal government and the cantons and neighbouring countries, among the responsible federal offices and concerned organisations and persons under public and private law, in so far as they are entrusted with performing public tasks (see Figure 6). It also outlines how spatial planning activities are coordinated with one another and how development can be supported in siting regions that are influenced by the repository projects.

The site selection procedure is based on a staged approach: **Stage 1** deals with the identification of suitable geological siting areas for the siting of the high-level waste (HLW) repository and the low-level and intermediate-level waste (L/ILW) repository. This is based on safety criteria defined by the regulatory authority. In **Stage 2** potential repository sites within the planning perimeters around the proposed areas are identified, each of which is then compared on the basis of provisional safety assessments. Socio-economic factors are taken into account at this stage. A regional participation process will be carried out in this second stage of site selection process. The aim of the regional participation is to ensure that the interests, needs and values of the siting regions are duly taken into account. At least two potential sites for each type of repository must be proposed. In **Stage 3** detailed investigations of sites still under consideration will be carried out. This will include detailed safety analyses for the selected sites. Each stage comprises a broad public consultation process in both Switzerland and neighbouring countries and concludes with an approval by the Federal Council.

¹ The site selection concept is available in English, French, German and Italian through the web link http://www.bfe.admin.ch/radioaktiveabfaelle/01277/01306/index.html?lang=en&dossier_id=02151

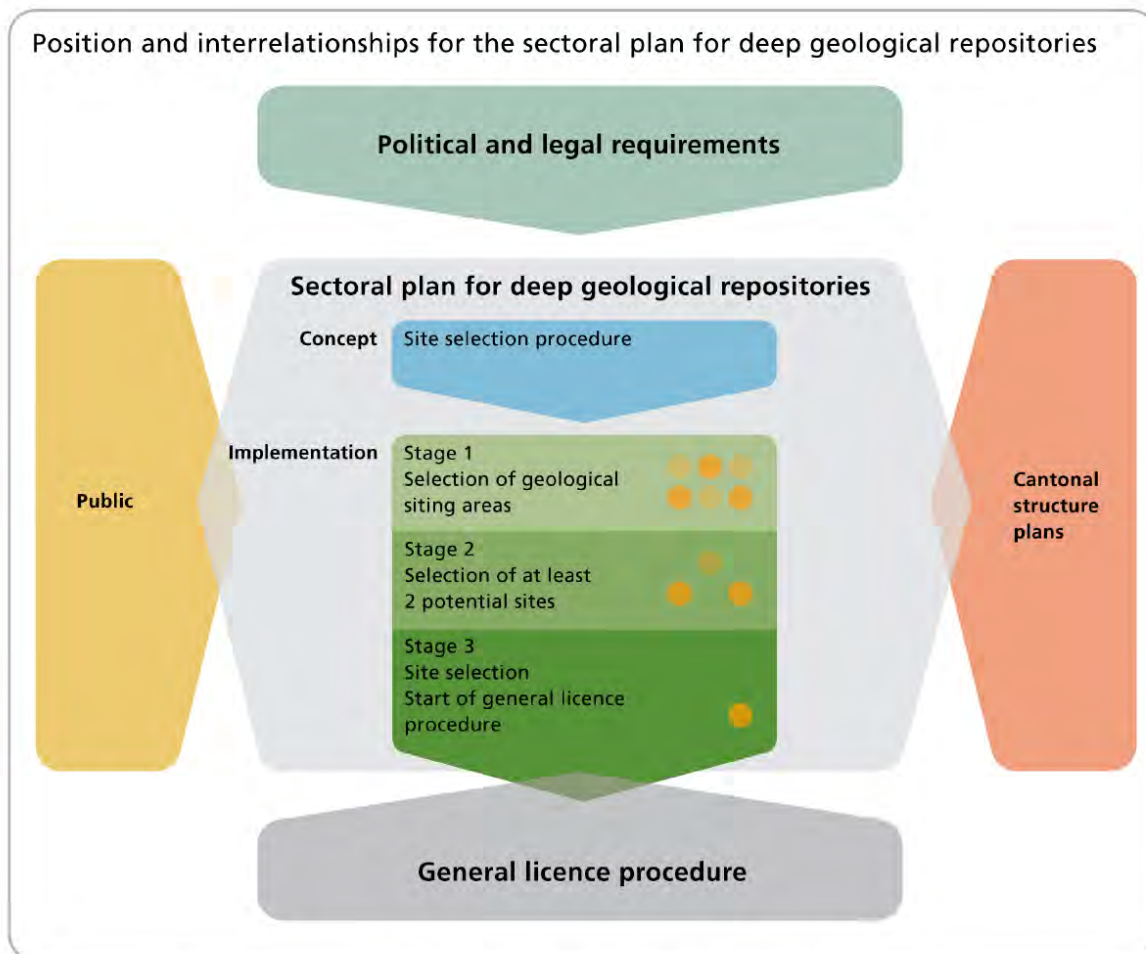


Figure 6: Position and interrelationships for the sectoral plan for deep geological repositories (Source: BFE)

Based on the results of the three-stage process, a repository site will be selected for each type of repository. This should take some ten years to complete. It will be followed by the general licensing procedure specified in the nuclear energy legislation. The Federal Council will grant the general licence, which will require the approval of Parliament. Approval is also subject to a facultative national referendum. According to the current timetable it is expected that the repository for L/ILW becomes operational approximately in 2030 and the repository for HLW in 2040.

In 2008, the National Co-operative for the Disposal of Radioactive Waste (Nagra) proposed three possible siting areas for a geological repository for HLW and six possible siting areas for a geological repository for L/ILW (see Figure 7). The Swiss Nuclear Safety Inspectorate (ENSI) has reviewed the documentation and has approved the proposed geological siting regions. The Federal Nuclear Safety Commission (KNS) has given its comments on the Inspectorate's review and it too has approved the proposed siting regions. A broad public consultation procedure was concluded at the end of 2010. The Federal Council is expected to make its decision on the potential siting regions in 2011, ending thus stage 1 of the site selection process.

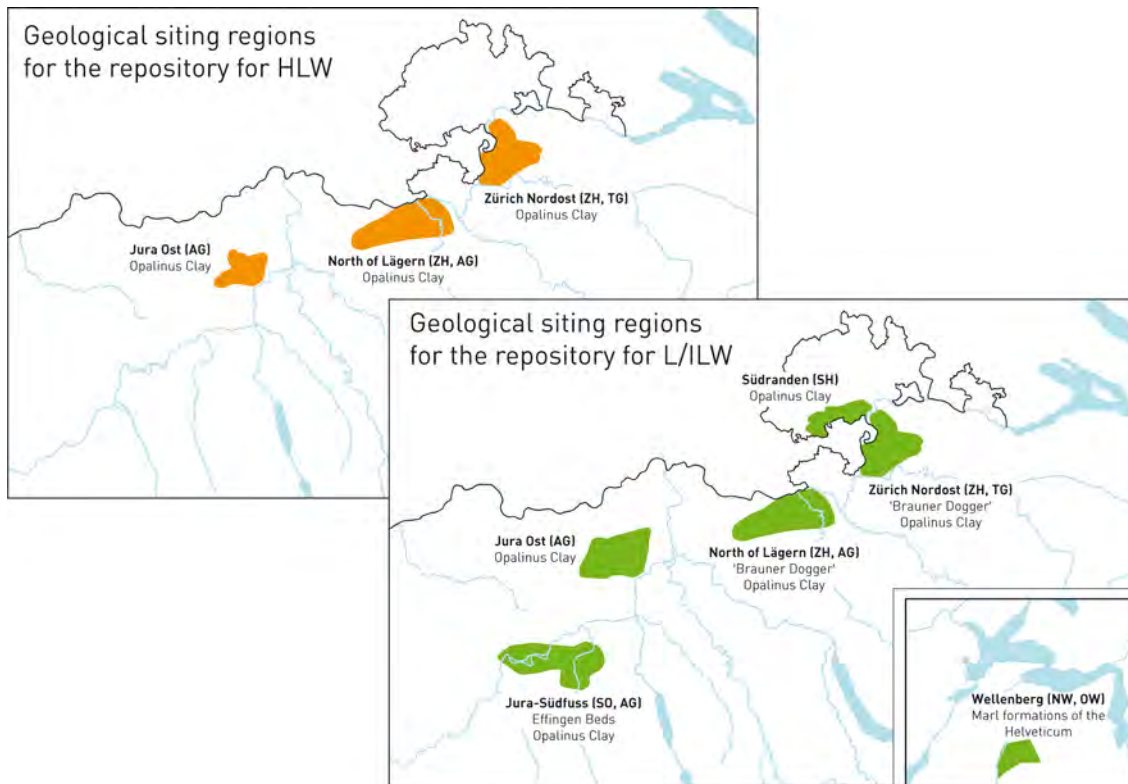


Figure 7: Geological siting regions proposed in Switzerland for a repository for high-level waste (orange) and low and intermediate-level waste (green). Five of the regions lie in the northern midlands and one in central Switzerland (Source: Nagra).

B.3 Categorization of Radioactive Waste (Clause v)

Material or waste is considered radioactive if it falls within the scope of application of the legislation on radiation protection as defined in the Radiological Protection Ordinance. A solid material is considered radioactive if at least one of the following criteria is fulfilled:

- The specific (Bq/kg) and absolute (Bq) activity of the material exceeds the nuclide specific clearance level specified in the Ordinance. For mixtures of nuclides, the various nuclides are weighted according to a summation rule.
- The surface contamination (Bq/cm²) of the material exceeds the nuclide specific value specified in the Ordinance. For mixtures of nuclides, the various nuclides are weighted according to a summation rule.
- The dose rate at a distance of 10 cm from the surface of the material exceeds 0.1 μ Sv per hour, after deduction of the background.

Similar criteria are defined for liquids and gases.

The clearance level for the activity is derived from the nuclide specific dose factors for ingestion; the intake by ingestion of an activity corresponding to the clearance level would lead to an effective dose of 10 μSv . The surface contamination has to be averaged on a surface of 100 cm^2 . The limiting value is derived from consideration of skin exposure and of intake by ingestion and inhalation. The applicable dose factors are tabulated in the Radiological Protection Ordinance and conform to those of the IAEA Standards (IAEA Safety Series No. 115).

Material or waste which is not radioactive according to the criteria described above is either recycled or treated as conventional waste and disposed of in accordance with its non-radioactive waste category.

In Switzerland, the main sources of radioactive waste are the NPPs. The operation of NPPs gives rise to operational waste and to waste from the reprocessing of the spent fuel. Large volumes of waste will eventually arise from the decommissioning and dismantling of the NPPs. Further radioactive waste arises from the use of radionuclides in medicine, industry and research, and from the decommissioning of nuclear research facilities. Switzerland has neither uranium mines nor facilities for enrichment, fuel fabrication or reprocessing.

The Nuclear Energy Ordinance defines the following classification of radioactive waste:

- High level waste (HAA): Vitrified fission product waste from the reprocessing of spent fuel, or spent fuel if declared as waste.
- Alpha-toxic waste (ATA): Waste with a concentration of alpha-emitters exceeding 20'000 Bq/g of conditioned waste.
- Low and intermediate level waste (SMA): All other radioactive waste.

Section C Scope of Application (Article 3)

C.1 Reprocessing (Paragraph 1)

This Convention shall apply to the safety of spent fuel management when the spent fuel results from the operation of civilian nuclear reactors. Spent fuel held at reprocessing facilities as part of a reprocessing activity is not covered in the scope of this Convention unless the Contracting Party declares reprocessing to be part of spent fuel management.

The Nuclear Energy Act states the conditions to be fulfilled for granting an export licence for spent fuel for the purpose of reprocessing (see Section B.1). Reprocessing is therefore considered as part of spent fuel management by Switzerland.

There are, however, no reprocessing facilities in Switzerland. Shipment of spent fuel for reprocessing abroad is not allowed for a period of 10 years which started in July 2006 (see Section B.1). Before the start of the moratorium, about 1'139 t of spent fuel had been shipped from the Swiss NPPs to the reprocessing facilities in France and the UK. All Swiss fuel has already been reprocessed.

Spent fuel from NPPs is held in on-site storage ponds for some years. It is then transferred into transport and storage casks for dry interim storage at the Central Storage Facility (ZZL) or at the Beznau NPP site, respectively. Since future reprocessing is still an option, no spent fuel has been declared as waste for direct disposal yet.

Radioactive waste arising from reprocessing of Swiss spent fuel is returned to Switzerland. The Convention applies to the management of radioactive waste from reprocessing returned to Switzerland.

C.2 Waste Containing only Naturally Occurring Radioactive Material (Paragraph 2)

This Convention shall also apply to the safety of radioactive waste management when the radioactive waste results from civilian applications. However, this Convention shall not apply to waste that contains only naturally occurring radioactive materials and that does not originate from the nuclear fuel cycle, unless it constitutes a disused sealed source or it is declared as radioactive waste for the purposes of this Convention by the Contracting Party.

The Radiological Protection Ordinance defines the conditions under which naturally occurring radioactive material falls under the provisions of the radiation protection legislation. If such material is radioactive waste (*i.e.*, if it is not further used), it is subject to the same requirements as other radioactive waste and is considered to be radioactive waste for the purposes of the Convention. The waste must be delivered to the National Collection Centre at PSI, where it is conditioned and stored for later disposal.

At present there is no such radioactive waste in storage at PSI and no such waste is expected to arise.

C.3 Radioactive Waste within the Defence Programme (Paragraph 3)

This Convention shall not apply to the safety of management of spent fuel or radioactive waste within military or defence programmes, unless declared as spent fuel or radioactive waste for the purposes of this Convention by the Contracting Party. However, this Convention shall apply to the safety of management of spent fuel and radioactive waste from military or defence programmes if and when such materials are transferred permanently to and managed within exclusively civilian programmes.

The Swiss legislation applicable to radioactive waste management contains no exceptions for waste material originating from military applications. Such radioactive waste must be delivered to the National Collection Centre at PSI.

Only a small amount of radioactive waste has come from military applications. It has been conditioned and stored at PSI together with similar material from other sources and is considered to be radioactive waste for the purposes of the Convention.

Section D Inventories and Lists (Article 32 Paragraph 2)

This report shall also include:

- (i) a list of the spent fuel management facilities subject to this Convention, their location, main purpose and essential features;***
- (ii) an inventory of spent fuel that is subject to this Convention and that is being held in storage and of that which has been disposed of. This inventory shall contain a description of the material and, if available, give information on its mass and its total activity;***
- (iii) a list of the radioactive waste management facilities subject to this Convention, their location, main purpose and essential features;***
- (iv) an inventory of radioactive waste that is subject to this Convention that:***
 - (a) is being held in storage at radioactive waste management and nuclear fuel cycle facilities;***
 - (b) has been disposed of; or***
 - (c) has resulted from past practices.***

This inventory shall contain a description of the material and other appropriate information available, such as volume or mass, activity and specific radionuclides;
- (v) a list of nuclear facilities in the process of being decommissioned and the status of decommissioning activities at those facilities.***

The first part of the present section gives an overview of the waste classes defined in Switzerland and gives their composition in relation to the IAEA definitions as outlined in the IAEA Safety Series No. 111-G-1.1. The second part gives the lists and inventories requested in Article 32 Paragraph 2.

D.1 Waste Register and Waste Classes

Swiss Waste Register (ISRAM)

The conditioning of radioactive waste (including spent fuel if declared as waste) requires an approval from the Swiss Federal Nuclear Safety Inspectorate ENSI. The requirements on the conditioning process, the waste package type and its documentation are defined broadly in the Nuclear Energy Ordinance and in detail in the Guideline ENSI-B05. The documentation includes a detailed description of the waste package type and its inventory. The Swiss NPPs, the waste management facilities and Nagra have agreed on a common electronic data base, ISRAM, where this information is kept. Further to the description of the waste package types produced after its implementation, the data base has also been expanded to take account of the corresponding data on the then pre-existing waste package types. It is also used by the NPPs to keep track of the raw waste in interim storage and by the NPPs and the Central Storage Facility ZZL to keep the data on the spent fuel in storage. Thus ISRAM provides the waste owners and Nagra with a complete and detailed account of the radioactive waste existing in Switzerland. ENSI is informed on the waste inventories in periodical reports which are prescribed and outlined in the legislation on nuclear energy.

Waste Classes

With the introduction of the new legislation on nuclear energy, the following classification of radioactive waste has been established:

- High level waste (HAA): Vitrified fission product waste from the reprocessing of spent fuel, or spent fuel if declared as waste.
- Alpha-toxic waste (ATA): Waste with a concentration of alpha-emitters exceeding 20'000 Bq/g of conditioned waste.
- Low and intermediate level waste (SMA): All other radioactive waste.

HAA corresponds to the IAEA class HLW. ATA and SMA roughly correspond to the IAEA classes LILW_LL and LILW_SL, respectively.

For information, and in order to present an overview of all radioactive waste now existing in Switzerland, the types and inventories of waste in storage at the NPPs are reported in Table D.2. All the waste currently in storage at the NPPs is classified as SMA. The radioactive waste originating from medicine, industry and research and stored at PSI is mainly classified SMA. Some SMA waste is also stored at ZZL.

D.2 Facilities and Inventories

D.2.1 Spent Fuel Management Facilities (Clause i)

Besides the spent fuel ponds in the five nuclear power reactor units at the four NPP sites, the following spent fuel management facilities exist in Switzerland:

- **ZZL:** A Central Storage Facility in Würenlingen, owned and operated by the Zwiilag company, itself a subsidiary of the NPP companies. Its storage hall for dry storage of spent fuel and vitrified high level waste can accommodate 200 transport and storage casks (see Figure 8). The storage facility started operation in 2001.
- **ZWIBEZ:** An interim storage facility at Beznau NPP. The storage hall for dry storage of spent fuel and vitrified high level waste can accommodate 48 transport and storage casks. The storage facility started operation in 2008.
- **Gösigen NPP wet storage facility (Nasslager):** An additional spent fuel pond on the Gösigen NPP site (see Figure 9). This storage facility has a capacity of 1'008 spent fuel elements from Gösigen NPP. It is intended for self-standing operation during several years after the future shutdown of Gösigen NPP. For the moment it is operated under the general operation regime of the NPP. The facility has started operation in April 2008 with the reception of the first 12 spent fuel elements.



Figure 8: Transport and storage casks in the hall for dry storage Central Storage Facility ZZL (Photo: Zwiilag)



Figure 9: Gösgen NPP wet storage facility (Nasslager) (Photo: KKG)



Figure 10: Spent fuel pond from the Mühleberg NPP (Photo: KKM)

D.2.2 Inventory of Spent Fuel in Storage (Clause ii)

As of the end of 2010, the inventories of spent fuel in the storage ponds of the NPPs were as follows (number of spent fuel elements):

- Beznau NPP: 595 (plus 18 fuel rods);
- Gösgen NPP: 311 (plus 13 fuel rods);
- Leibstadt NPP: 1'583 (plus 76 fuel rods);
- Mühleberg NPP: 306 (plus 2 fuel rods).

In addition ZWIBEZ, the dry interim storage facility at Beznau NPP, contained 3 transport and storage casks with a total of 111 spent fuel elements.

As of the end of 2010, ZZL contained 21 transport and storage casks with a total of 1'684 spent fuel elements of the BWR type and four transport and storage casks with a total of 148 spent fuel elements of the PWR type. An additional transport and storage cask contains 349 fuel elements from the DIORIT research reactor, which previously had been stored in that same cask on the site of PSI.

Further data (masses, activities) concerning spent fuel in storage is given in Table D.1.

Table D.1: Inventories of spent fuel in storage as of 31 December 2010

Facility	Number of spent fuel elements stored	Total mass (t HM ²)	Total activity (Bq)
Beznau NPP (incl. ZWIBEZ)	706	229.4	6.1·10 ¹⁸
Gösgen NPP (incl. Nasslager)	311	125.4	7.1·10 ¹⁸
Leibstadt NPP	1'583	280.0	9.7·10 ¹⁸
Mühleberg NPP	306	54.3	3.6·10 ¹⁸
ZZL	2'181	552.2	4.2·10 ¹⁸

D.2.3 Radioactive Waste Management Facilities (Clause iii)

At present, the following radioactive waste management facilities exist in Switzerland:

- **Nuclear Power Plants:** All four Swiss nuclear power plants have on-site waste treatment and conditioning facilities as well as on-site stores for low and intermediate level operational waste. The principal conditioning technique used is cementation, but the spent ion exchange resins from the operation of the PWRs are also either embedded in polystyrene (Beznau NPP) or bituminized (Gösgen NPP).

² Tonnes of Heavy Metal

- **ZZL:** A Central Storage Facility in Würenlingen, owned and operated by the Zwiilag company. Beside a storage hall for dry storage of spent fuel and vitrified high level waste that can accommodate 200 transport and storage casks (see Section D.2.1), it features a storage building for intermediate level waste with a capacity of 4'000 m³ of waste, and a storage hall for low and intermediate level waste with a capacity of 16'500 m³ of waste. There are auxiliary facilities for the sorting and decontamination of materials and for the conditioning of waste. The most important conditioning facility is the plasma furnace for melting and incineration of low level radioactive waste. The storage facility started active operation in June 2001. The sorting, decontamination and conditioning facilities have been available for active operation since December 2003. Test campaigns of the plasma incinerator with active waste started in 2004. In September 2009 a permit for the permanent operation of the plasma incinerator has been granted by the Swiss Federal Nuclear Safety Inspectorate ENSI.
- **ZWIBEZ:** An interim storage facility at Beznau NPP. Beside the hall for dry storage of spent fuel and vitrified high level waste (see Section D.2.1), it consists of a storage hall for the storage of low level operational waste from Beznau NPP with a capacity of 6'000 m³ of waste (see Figure 11). The storage hall for low level waste was licensed in 1990 and started operation in 1994.



Figure 11: Storage hall for the storage of low level operational waste ZWIBEZ (Photo: ENSI)

- **PSI:** The Paul Scherrer Institute (PSI) operates the National Collection Centre for all non-nuclear radioactive waste (e.g., from medicine, industry and research), where the waste is sorted and conditioned. In this connection, PSI also operates the Federal Storage Facility (BZL) for this waste, with a capacity of 2'100 m³ of waste (see Figure 12).



Figure 12: Storage hall for the storage of low level waste in the Federal Storage Facility (BZL) (Photo: PSI)

D.2.4 Inventory of Radioactive Waste in Storage (Clause iv-a)

The inventories of the waste management facilities listed in Section D.2.3 are reported in Table D.2. This gives a comprehensive overview of the radioactive waste stored in Switzerland.

D.2.5 Disposal of Radioactive Waste (Clause iv-b)

There are no radioactive waste disposal facilities in Switzerland. Preparations are under way, however, to identify suitable sites for geologic repositories for the Swiss radioactive waste (see Section B.2).

From 1969 to 1982, 5341 tons (approximately 2'300 m³) of low and intermediate level waste was dumped in the North Atlantic within the framework of campaigns organized by the OECD Nuclear Energy Agency. The radioactivity of material dumped amounted to 4'420 TBq. 60% of the waste came from medicine, industry and research and 40% from the nuclear industry.

D.2.6 Radioactive Waste from Past Practices (Clause iv-c)

Radioactive waste from industrial facilities (primarily watch industry) that have been closed down in recent years have been transferred to the National Collection Centre at PSI and are dealt with in the same manner as all the other radioactive wastes from medicine, industry and research that are collected by the Centre.

D.2.7 Nuclear Facilities Being Decommissioned (Clause v)

Two Swiss research reactors are in an advanced state of decommissioning:

- For the DIORIT reactor at PSI the decommissioning started in 1994 and is in its final phase. Approximately 80% of the biological shield of the reactor was dismantled by the end of 2010.
- For the SAPHIR reactor at PSI the decommissioning started in 2002 and is in its final phase. The reactor pool and the biological shield have been completely dismantled and conditioned. The facility continues to be operated because it also contains a small storage facility for nuclear research materials.

These facilities are considered as radioactive waste management facilities for the purpose of the Convention. The decommissioning waste is conditioned and temporarily stored on site, pending transfer to the Federal Storage Facility (BZL).

Table D.2: Waste inventories stored at the radioactive waste management facilities as of December 2010. HAA = high level waste; ATA = alpha-toxic waste; SMA = low and intermediate level waste; cond. = conditioned waste; uncond. = unconditioned and partly conditioned waste.

Site name	Waste class	Waste volume (m ³)	Total activity (Bq)
Beznau NPP (incl. ZWIBEZ)	SMA, cond.	1'138	$5.9 \cdot 10^{14}$
	SMA, uncond.	109	$4.0 \cdot 10^{12}$
Gösgen NPP	SMA, cond.	219	$6.5 \cdot 10^{13}$
	SMA, uncond.	45	$1.3 \cdot 10^{12}$
Leibstadt NPP	SMA, cond.	1'230	$2.6 \cdot 10^{14}$
	SMA, uncond.	13	$2.8 \cdot 10^{10}$
Mühleberg NPP	SMA, cond.	852	$2.8 \cdot 10^{14}$
	SMA, uncond.	77	$1.0 \cdot 10^{12}$
ZZL	HAA, cond.	40	$2.9 \cdot 10^{18}$
	ATA, cond.	32	$1.3 \cdot 10^{16}$
	SMA, cond.	1'342	$1.6 \cdot 10^{15}$
	SMA, uncond.	406	$1.3 \cdot 10^{12}$
PSI	ATA, cond.	61	$1.1 \cdot 10^{15}$
	ATA, uncond.	21	$1.8 \cdot 10^{14}$
	SMA, cond.	1'430	$5.5 \cdot 10^{15}$
	SMA, uncond.	408	$6.4 \cdot 10^{15}$

Section E Legislative and Regulatory System

E.1 Implementing Measures (Article 18)

Each Contracting Party shall take, within the framework of its national law, the legislative, regulatory and administrative measures and other steps necessary for implementing its obligations under this Convention.

As described in Sections E.2 and E.3 below, Switzerland has taken the legislative, regulatory and administrative measures and other steps necessary for implementing its obligations under the Convention.

E.2 Legislative and Regulatory Framework (Article 19)

E.2.1 Overview (Paragraph 1)

Each Contracting Party shall establish and maintain a legislative and regulatory framework to govern the safety of spent fuel and radioactive waste management.

The safety of spent fuel and radioactive waste management is governed by the federal legislation on nuclear energy and on radiation protection. This legislation consists mainly of the following laws and ordinances:

- Nuclear Energy Act of 21 March 2003 (Commencement date: 1 February 2005)
- Radiological Protection Act of 22 March 1991 (Commencement date: 1 October 1994)
- Swiss Federal Nuclear Safety Inspectorate Act of 22 June 2007 (Commencement date: 1 January 2008)
- Nuclear Energy Ordinance of 10 December 2004 (Commencement date: 1 February 2005)
- Radiological Protection Ordinance of 22 June 1994 (Commencement date: 1 October 1994)
- Ordinance on the Decommissioning and Waste Management Funds for Nuclear Installations of 7 December 2007 (Commencement date: 1 February 2008)
- Ordinance on the Collection of Radioactive Waste of 3 September 2002 (Commencement Date: 1 January 2003)
- Ordinance on the Swiss Federal Nuclear Safety Inspectorate ENSI of 12 November 2008 (Commencement date: 1 January 2009)

The requirements of the legislation are detailed in regulatory guidelines issued by the Swiss Federal Nuclear Safety Inspectorate (ENSI). A complete list of the regulatory guidelines is given in Annex L.2.2.

As demonstrated below, this legislation covers the requirements set forth in Paragraph 2. Thus the obligation under Paragraph 1 of Article 19 of the Convention is met.

E.2.2 Radiation Safety (Paragraph 2 Clause i)

This legislative and regulatory framework shall provide for the establishment of applicable national safety requirements and regulations for radiation safety.

National requirements for radiation safety are established in the legislation on radiological protection (Radiological Protection Act and Radiological Protection Ordinance). This legislation aims at protecting human health and the environment against ionising radiation. It implements the internationally agreed principles of justification of a practice, optimization of radiation exposure and dose limitation. Important requirements regarding spent fuel and radioactive waste management are as follows:

- The generation of radioactive waste must be minimized.
- Radioactive waste generated in Switzerland must in principle be disposed of domestically.
- Import of radioactive waste for disposal in Switzerland is allowed only under an international agreement.
- Material or waste is considered to be radioactive if at least one of the following criteria is fulfilled:
 - the activity exceeds the nuclide specific clearance level set in the Ordinance,
 - the surface contamination exceeds the nuclide specific value set in the Ordinance,
 - the dose rate at a distance of 10 cm from the surface exceeds 0.1 μSv per hour, after deduction of the background.
- The dose limit for occupational exposure is 20 mSv per year, after deduction of the background.
- The dose limit for individuals of the population is 1 mSv per year, after deduction of the background.
- A dose constraint lower than the above limit for individuals of the population must be set for each facility.
- The limits for immissions of radioactivity in the environment include
 - nuclide specific airborne concentrations,
 - nuclide specific concentrations in accessible waters,
 - a maximal dose of 1 mSv per year from direct exposure in working and living places.
- The discharges from facilities must be limited so that the immission limits and the dose constraint are met.
- Radioactive waste arising from medical, industrial and research facilities must be delivered to the National Collection Centre at the research centre PSI, which is a nuclear facility governed by the nuclear energy legislation.

These requirements are in line with the internationally agreed standards on radiation protection. More detailed criteria concerning radiation protection are set in regulatory guidelines of ENSI.

E.2.3 Licensing System (Paragraph 2 Clause ii)

This legislative and regulatory framework shall provide for a system of licensing of spent fuel and radioactive waste management activities.

The Nuclear Energy Act establishes the need for a series of licences regarding nuclear materials, radioactive waste and nuclear facilities. According to the Nuclear Energy Act, a nuclear facility is any facility intended for the use of nuclear energy, the extraction, production, utilization, processing or storage of nuclear materials, and the management of radioactive waste. Nuclear materials are substances that can be used for obtaining energy via nuclear fission processes. Spent fuel is clearly a nuclear material, as long as it has not been declared as radioactive waste by its owner.

Spent fuel and radioactive waste management activities are generally carried out in nuclear facilities. Radioactive waste management includes conditioning, interim storage and final disposal. The Nuclear Energy Act requires the following licences for nuclear facilities:

- General licence: This is mainly a political decision prior to the realization of a nuclear facility. The main prerequisites for granting a general licence are
 - protection of human health and the environment,
 - no conflict with preservation of natural and cultural heritage and land use planning,
 - no conflict with international agreements and national security,
 - a conceptual plan for the decommissioning or closure of the facility,
 - evidence of the management of radioactive waste arising from the facility.

The general licence defines the site, the purpose and the essential features of the planned facility, and the maximum permissible radiation dose to the public from the facility. For storage and disposal facilities, the main features include the nature of fuel or waste to be stored or disposed, the capacity and the approximate layout of the surface and underground constructions.

The general licence is granted by the Federal Council (federal government) and must be approved by Parliament. The approval is subject to a facultative referendum (see Section A).

- Construction licence: The main prerequisites are again protection of human health and the environment and compliance with the obligations stated in the general licence. The construction licence defines the capacity of the storage or disposal facility, the main elements of the technical implementation and the basic requirements regarding emergency preparedness. The licensing authority is the Federal Department of Environment, Transport, Energy and Communication (UVEK).
- Operation licence: The main prerequisites for an operation licence are
 - compliance with the obligations of the general and construction licence,
 - protection of human health and the environment,
 - compliance with the nuclear safety and security requirements,
 - fulfilment of the requirements regarding staff, organisation, quality assurance and emergency preparedness.

The operation licence defines in particular the limits for the discharge of radioactive substances into the environment and the radiological monitoring of the surroundings. It is granted by UVEK. The operation licence and the construction licence can be granted simultaneously if a final judgment of the safe operation is possible at this time. The Nuclear Energy Act states that the validity of an operation licence for a nuclear facility may be limited. Current operation licences for the Swiss nuclear facilities are not limited in time. The limitation of the operation licence of the Mühleberg NPP has been revoked at the end of December 2009 by UVEK. This decision is presently under appeal.

- Decommissioning order: This applies to all nuclear facilities. The order is based on the decommissioning project which has to be submitted by the owner of the facility upon termination of operation. It defines in particular the timetable and the steps of decontamination, dismantling and demolition, and the management of the arising radioactive waste. The authority giving the order is UVEK. After successful and complete decommissioning, UVEK declares that the former nuclear facility is no longer subject to the legislation on nuclear energy.
- Closure order: This applies only to deep geological repositories. The order is based on the project for closure which has to be submitted by the owner of the repository. It is given by the Federal Council upon expiry of the monitoring period after termination of emplacement of waste packages. After closure the Federal Council may order further surface monitoring for a limited period of time, after which it will declare that the disposal facility is no longer subject to the nuclear energy legislation.

For a change of purpose of a nuclear facility or for a comprehensive upgrading of a NPP, an amendment to the general licence is required. For significant deviations from a construction or operation licence and decommissioning or closure order, an amendment to the licence or order is needed.

The licensing process is conducted by BFE and consists in general of the following main steps:

1. Submission of the application with a description of the project and a safety analysis report;
2. Review of the safety aspects of the project by the Swiss Federal Nuclear Safety Inspectorate (ENSI). This review is commented on by the Swiss Federal Nuclear Safety Commission (KNS) and possibly by other organisations or experts;
3. Consultation of federal offices and cantonal governments;
4. Deposition of the licence application documentation for public consultation; individuals, communities and organisations can raise objections against the project;
5. Compilation by BFE of all the comments collected, and proposal to UVEK for a decision;
6. Decision by UVEK, generally along with a list of licence obligations. Appeals against this decision may be filed with a board of appeals.

Handling of nuclear materials and radioactive waste outside nuclear facilities also requires a licence. The obligation for a licence applies especially to the domestic transport, the import, export and transit of spent fuel and radioactive waste (nonexhaustive enumeration). The licensing authority for such licences is the Federal Office of Energy (BFE). Specific prerequisites must be met for the granting of a licence for the export of spent fuel for reprocessing purposes. They include in particular an international agreement with the country of destination, the existence in that country of an adequate facility corresponding to the international standards, and the fact that the country of destination has ratified the Joint Convention. Similar prerequisites are fixed for licences to import or export radioactive waste for management purposes (conditioning, storage or disposal).

Handling of radioactive material not subject to the Nuclear Energy Act requires a licence according to the radiation protection legislation. For activities in nuclear facilities, use of radioactive tracers for geological investigations in view of disposal, import, export and domestic transport of radioactive material from and to nuclear facilities, ENSI is the licensing authority. In all other cases, the Federal Office of Public Health (BAG) is the licensing authority.

A speciality of the Swiss legislation on nuclear energy is that geological field investigations in view of the disposal of radioactive waste need a licence. The licence is granted by UVEK. The prerequisites for granting this licence include the aptitude for investigations to provide the necessary basis for subsequent safety assessments of the envisaged repository without affecting the suitability of the site. The licence defines in particular the main aspects of the investigations, including the approximate location and extent of drillings and underground structures.

E.2.4 Prohibition of Operation without a Licence (Paragraph 2 Clause iii)

This legislative and regulatory framework shall provide for a system of prohibition of the operation of a spent fuel or radioactive waste management facility without a licence.

According to the Nuclear Energy Act, a spent fuel or radioactive waste management facility is a nuclear facility. The Nuclear Energy Act requires a licence for the operation of such a facility. There are no exceptions to this requirement. Violations will be prosecuted and punished with prison or with a fine.

E.2.5 Institutional Control, Regulatory Inspection, Documentation and Reporting (Paragraph 2 Clause iv)

This legislative and regulatory framework shall provide for a system of appropriate institutional control, regulatory inspection and documentation and reporting.

Spent fuel and radioactive waste management may only take place in nuclear facilities. The Federal Council has appointed ENSI as supervisory authority for nuclear safety, physical protection and radiation protection in the nuclear facilities, and BFE as the supervisory authority for safeguards. As the main part of the regulatory body, ENSI coordinates these supervisory activities. ENSI also supervises the preparations for the disposal of radioactive

waste and the transport of radioactive material from and to nuclear facilities. In addition to ENSI, the Swiss Federal Nuclear Safety Commission (KNS) advises the Federal Council and UVEK on nuclear safety and radiation protection matters.

In its function as a supervisor of the nuclear facilities, ENSI has established a comprehensive inspection system (see Section E.3).

The nuclear energy legislation requires comprehensive documentation on the construction, modification and operation of nuclear facilities. Detailed specifications on documentation and reporting are set forth in regulatory guidelines.

The NPP operators periodically report to the relevant supervisory authorities about the condition and operation of the facility, and notify to them without delay any incidents that may have occurred. The authorities regularly inform the general public on the condition of the nuclear facilities and on any matters pertaining to nuclear material and radioactive waste.

E.2.6 Enforcement (Paragraph 2 Clause v)

This legislative and regulatory framework shall provide for the enforcement of applicable regulations and of the terms of the licences.

ENSI is in charge of enforcing the legislation and the regulations applicable to nuclear facilities. It is empowered to take the necessary enforcement measures (see Section E.3 below). Different steps of construction and operation of nuclear facilities require permits of ENSI.

E.2.7 Allocation of Responsibilities (Paragraph 2 Clause vi)

This legislative and regulatory framework shall provide for a clear allocation of responsibilities of the bodies involved in the different steps of spent fuel and of radioactive waste management.

According to the Nuclear Energy Act the producers of spent fuel and radioactive waste are responsible for its management including disposal. They have to bring the radioactive waste into a form suitable for transport, storage and disposal (conditioning), to store it pending disposal, and eventually to dispose it in a geological repository at their own cost. They also have to manage spent fuel.

On account of the 10-year moratorium on the export of spent fuel for the purpose of reprocessing introduced by the present legislation (see Section B.1), the spent fuel management can be done either by storage pending direct disposal or by reprocessing with subsequent storage and disposal of the radioactive waste arising from reprocessing.

The Federal State assumes responsibility for the collection, conditioning, storage and disposal of radioactive waste generated by the use of radioisotopes in medicine, industry and research. The Federal State has the right to take over the management of radioactive waste from NPPs in case the operators do not meet their duties; this would be at the expense of the concerned NPP operators.

As described under Section E.2.3, the authorities empowered to grant the different licences needed for spent fuel and radioactive waste management are clearly defined in the Nuclear Energy Act.

The Swiss Federal Nuclear Safety Inspectorate (ENSI) has the responsibility to supervise the nuclear facilities and to enforce the applicable legislation and regulations.

E.2.8 Regulating Radioactive Materials as Radioactive Waste (Paragraph 3)

When considering whether to regulate radioactive materials as radioactive waste, Contracting Parties shall take due account of the objectives of this Convention.

The Radiological Protection Act and the Nuclear Energy Act give the following definition of radioactive waste: "Radioactive waste is radioactive material or radioactively contaminated material that is not further used." This is consistent with the internationally agreed definition. Spent fuel is not considered as waste but rather as recyclable material that is exploited by reprocessing, unless it is declared by its owner to be radioactive waste that has to be disposed of. This policy takes due account of the objectives of the Convention.

E.3 Regulatory Body (Article 20)

E.3.1 Establishment and Designation (Paragraph 1)

Each Contracting Party shall establish or designate a regulatory body entrusted with the implementation of the legislative and regulatory framework referred to in Article 19, and provided with adequate authority, competence and financial and human resources to fulfil its assigned responsibilities.

The regulatory body entrusted with the implementation of the legislative and regulatory framework referred to in Article 19 is divided between several organisations:

- The **Federal Council** grants the general licence, which has to be approved by the Parliament and is subject to facultative referendum. The Federal Council also issues the closure order for disposal facilities.
- The **Federal Department of the Environment, Transport, Energy and Communications** (UVEK) is the licensing authority for the construction and operation licences for nuclear facilities and for geological investigations in view of disposal. UVEK also issues the decommissioning order.
- The **Federal Office of Energy** (BFE) is the licensing authority for other licences according to the Nuclear Energy Act (e.g., transport, trade, import and export of nuclear fuel and radioactive waste). BFE also conducts the licensing process for nuclear facilities. It is the competent authority for supervision of nuclear facilities with regard to safeguards.
- The **Swiss Federal Nuclear Safety Inspectorate** (ENSI) is the competent authority for supervising nuclear facilities with respect to radiation protection and nuclear safety at all stages of the life cycle. Since 2008 ENSI is also the competent authority with regard to physical protection. ENSI has three main functions: ENSI (a) specifies the

detailed safety requirements in regulatory guidelines, (b) reviews licence applications, and (c) supervises the nuclear facilities, the preparations for the disposal of radioactive waste, and the transport of radioactive material from and to nuclear facilities. ENSI has also certain licensing competences according to the radiation protection legislation (see Section E.2.3).

- The **Federal Office of Public Health (BAG)** is the main licensing authority for the handling of radioactive material which does not fall under the Nuclear Energy Act (see Section E.2.3). BAG also supervises the handling of radioactive material in medical and research institutions and in situations where the protection of the general public is the primary concern.
- The **Swiss Accident Insurance Institute (Suva)** supervises industrial practices and situations where the protection of workers is the primary concern.
- The **National Emergency Operations Centre (NAZ)** - part of the Federal Office of Civil Protection in the Federal Department of Defence, Civil Protection and Sport – is in charge of all emergency situations, including those arising from events at NPPs and relating to the protection of the public and the environment.

In addition to these organisations within the federal administration, the following advisory bodies on spent fuel and radioactive waste management have been established:

- The **Swiss Federal Nuclear Safety Commission (KNS)** advises the Federal Council, UVEK and ENSI on fundamental safety questions and takes part in legislation work in the area of nuclear safety. KNS can also comment on reviews carried out by ENSI. KNS has replaced the former KSA (the English terms are identical) by 2008. The number of commission members was reduced from 13 to 7.
- The **Interdepartmental Working Group on Radioactive Waste Management (AGNEB)** prepares technical and political documents for governmental decisions on radioactive waste management.
- The **Commission for Nuclear Waste Disposal (KNE)** advises BFE and ENSI on geological aspects of radioactive waste disposal.

ENSI is the Swiss regulatory authority in the narrow sense, *i.e.*, the principal supervisory authority. ENSI conducts its review of licence applications solely on the basis of nuclear safety criteria. On 1 January 2009, the ENSI became formally independent of the Swiss Federal Office of Energy. It is now a stand-alone organisation controlled by its own management board (ENSI board) and has its own budget (see Section E.3.2).

ENSI's primary task is to supervise and assess the nuclear safety and radiation protection of the nuclear facilities, including spent fuel and radioactive waste management. ENSI performs its supervisory functions by inspections, setting requirements, issuing enforcement orders, and granting execution permits within the terms of issued licences.

ENSI uses a process oriented management system which was certified according to ISO 9001 standard in December 2001 and to ISO 14001 standard (environmental management) in November 2007. Certification according to OHSAS 18001 (safety and health management) is planned for 2012. The management system is applied to all relevant

activities and is subject to continuous improvement based on management reviews, evaluation of performance indicators and routine checks by the certification agency.

ENSI currently employs about 140 persons and is divided into six divisions (see Figure 13).

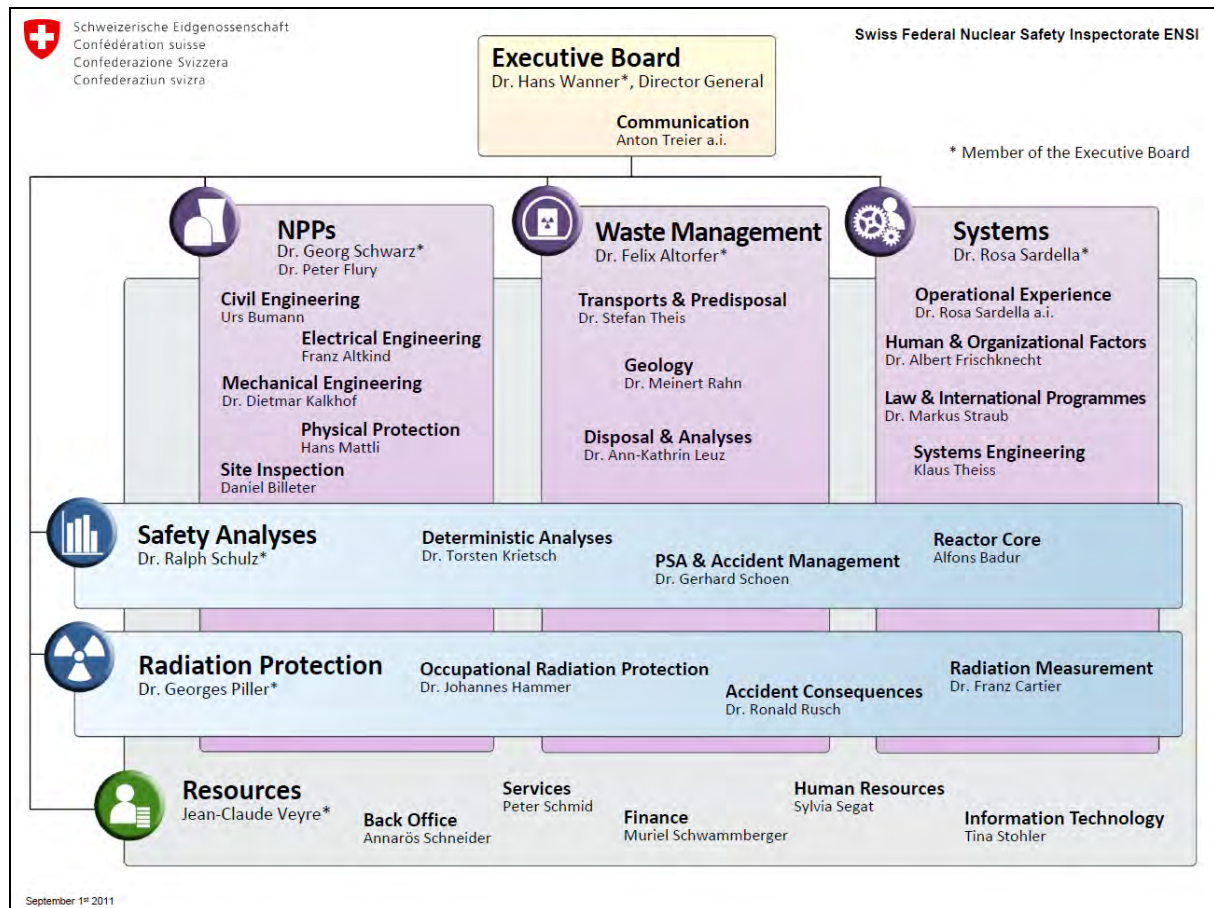


Figure 13: ENSI Organisation as of September 2011 (Source: ENSI)

ENSI's annual budget is in the order of 55 million CHF, *i.e.*, about 43 million EUR. All expenses of the safety authorities (with the exception of the legal and regulatory framework) are covered by fees from licence holders and Nagra.

Nuclear safety and radiation protection research, as far as promoted and endorsed by the regulatory body, is endowed with a budget of 2.1 million CHF and is covered by public funds. Additional 3.7 million CHF are financed by the operators of the NPPs.

For specific tasks, ENSI contracts independent experts. For example, the surveillance of manufacturing, repair, replacement, modification and in-service inspections has been fully outsourced to the Swiss Association for Technical Inspections (SVTI). Further support in various areas is provided by the Paul Scherrer Institute (PSI, a research institute of the Swiss Federal Institute of Technology, ETH).

The implementation of the legislative and regulatory framework concerning spent fuel and radioactive waste management lies mostly with the Waste Management Division. They deal

with matters concerning the transport of radioactive material, the conditioning, storage and disposal of spent fuel and radioactive waste, as well as the decommissioning of nuclear facilities. They evaluate the proposed methods for conditioning radioactive waste, issue the necessary approvals and execution permits and supervise the operation of the corresponding facilities. They have a leading role in ENSI's review on the safety of facilities for storage and disposal of spent fuel and radioactive waste. They supervise the construction and operation of such facilities. They follow and appraise the geological investigations in preparation of spent fuel and radioactive waste disposal. In their role as the Swiss competent authority, they also issue the package and shipment approval certificates for the transport of radioactive material in Switzerland and supervise such transports to and from nuclear facilities.

In summary, Switzerland has established a regulatory organisation entrusted with the implementation of the legislative and regulatory framework related to spent fuel and radioactive waste management. This regulatory organisation is provided with the necessary authority, competence and financial and human resources to fulfil its assigned responsibilities.

E.3.2 Independence (Paragraph 2)

Each Contracting Party, in accordance with its legislative and regulatory framework, shall take the appropriate steps to ensure the effective independence of the regulatory functions from other functions where organisations are involved in both spent fuel or radioactive waste management and in their regulation.

The owners of spent fuel and radioactive waste in Switzerland are primarily the NPP operators. The Federal State has taken over the responsibility for the collection, conditioning, storage and disposal of radioactive waste from medicine, industry and research. In order to meet their responsibility regarding the disposal of spent fuel and radioactive waste, the NPP operators and the Federal State have established the National Cooperative for the Disposal of Radioactive Waste (Nagra). Nagra is responsible for the disposal of all kinds of radioactive waste, including spent fuel if declared as waste. The responsibility for conditioning, transportation and interim storage of NPP waste remains with the NPP operators.

Both the responsibility for the management of radioactive waste from medicine, industry and research, and the regulatory task reside within the federal government. These two functions, however, belong to different departments (ministries), and the regulatory authorities are granted complete independence in their judgements.

The Nuclear Energy Act clarifies and expands the position, duties and responsibilities of the Inspectorate (ENSI) as the supervisory authority for nuclear safety and radiation protection in the field of nuclear energy.

The Nuclear Energy Act states that the supervisory authorities are independent of technical directives and requests formal independence of the licensing authorities. Until the end of 2008, the Swiss Federal Nuclear Safety Inspectorate (formerly HSK) was part of the Swiss

Federal Office of Energy (BFE) but acted, on the technical level, independently from BFE and from UVEK. The fact that HSK reported directly to BFE contravened the independence stipulated in both the Swiss Nuclear Energy Act and the Convention on Nuclear Safety. As a result, the Federal Act on the Swiss Federal Nuclear Safety Inspectorate ENSI – approved in 2007 – created a statutory framework for making ENSI independent of BFE. On 1 January 2009 ENSI became an organisation constituted under public law. ENSI itself is supervised by an independent body, the ENSI board. The Board is elected by the Federal Council to whom it reports directly. By this date, the Swiss Federal Nuclear Safety Inspectorate has changed its German name from HSK to ENSI (see Section L.1).

Section F Other General Safety Provisions

F.1 Responsibility of the Licence Holder (Article 21)

F.1.1 Licence Holder (Paragraph 1)

Each Contracting Party shall ensure that prime responsibility for the safety of spent fuel or radioactive waste management rests with the holder of the relevant licence and shall take the appropriate steps to ensure that each such licence holder meets its responsibility.

On account of the 10-year moratorium on the export of spent fuel for the purpose of reprocessing (see Section B.1), spent fuel is managed either by reprocessing or by storage with a view to later reprocessing or direct disposal. Radioactive waste management includes conditioning, storage and disposal in a deep geological repository. All these activities are or will be carried out in nuclear facilities. The Nuclear Energy Act explicitly states in Article 22 that the licence holder is responsible for the safety of the facility and its operation. The specific obligations of the licence holder resulting from this fundamental responsibility are listed in the mentioned article of the Nuclear Energy Act and elaborated in more detail in the Nuclear Energy Ordinance.

As described in Section E.2.7, the responsibility for the safe and permanent management of spent fuel and radioactive waste lies with the producers. The producers of spent fuel and radioactive waste are primarily the NPP operators. Reprocessing of spent fuel is carried out abroad (in France and the UK). Spent fuel is stored at the NPPs and at the Central Storage Facility. Conditioning and interim storage of operational waste is carried out at the NPPs and at the Central Storage Facility. All these facilities are nuclear facilities which are operated according to the corresponding licences and supervised by ENSI, the Swiss nuclear regulatory authority.

In order to ensure that the licence holders meet their responsibility, Switzerland has established a regulatory body entrusted with the implementation of the legislative and regulatory framework (see Section E.3). ENSI forms the main part of this regulatory body and has been given the necessary authority and competence to fulfil its enforcement functions. The supervision of the nuclear facilities carried out by ENSI makes sure that the licence holders fully meet their responsibility and obligations.

The Federal State takes over the responsibility for the collection, conditioning, storage and disposal of radioactive waste generated in medicine, industry and research. According to the Radiological Protection Ordinance, the research centre PSI is the National Collection Centre and is in charge of conditioning and storage of this kind of waste. The National Collection Centre is a nuclear facility subject to the Nuclear Energy Act. PSI holds the licences to operate the nuclear facilities necessary for these activities. The supervision exercised by ENSI ensures that PSI meets its responsibility regarding the safety of its radioactive waste management facilities.

All radioactive waste, including spent fuel if not reprocessed and declared as waste, is to undergo final disposal in geological repositories. No such repository is yet in operation. An eventual repository will be a nuclear facility subject to the Nuclear Energy Act.

The licence holder will be responsible for the safety and operation of such a repository. With its supervision, ENSI will ensure that this licence holder also will fully meet its responsibility and obligations.

F.1.2 Unlicensed Facilities, Activities and Materials (Paragraph 2)

If there is no such licence holder or other responsible party, the responsibility rests with the Contracting Party which has jurisdiction over the spent fuel or over the radioactive waste.

In the Nuclear Energy Act, the Federal State has reserved the right to take over the management of radioactive waste from NPPs in case the operators do not meet their duties. This would be at the expense of the concerned NPP operators, and the Federal State would establish a dedicated organisation independent of the licensing and supervisory authorities.

The Radiological Protection Ordinance defines the different kinds of non-nuclear radioactive waste that must be delivered to the National Collection Centre at PSI. The Federal Office of Public Health (BAG) regulates the details concerning the treatment and collection of non-nuclear radioactive waste (see also Ordinance on the Collection of Radioactive Waste). This includes cases where no licence holder or other responsible party exist.

F.2 Human and Financial Resources (Article 22)

F.2.1 Qualified Staff (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that qualified staff are available as needed for safety-related activities during the operating lifetime of a spent fuel and a radioactive waste management facility.

The Nuclear Energy Act requires qualified senior staff to manage and operate any nuclear facility and to fulfil all legal, regulatory and licence requirements. The Ordinance on the Requirements for the Personnel of Nuclear Installations specifies the necessary qualification and training of the staff of any nuclear installation. This is a prerequisite for granting an operation licence for nuclear facilities, including spent fuel and radioactive waste management facilities. The operation licence of the nuclear facility can be withdrawn in case these conditions are not or no longer met. Precise requirements on the organisation and operating staff of a nuclear facility are set out in the operation licence and in the technical specifications. Regulatory guidelines define specific regulatory requirements on the organisation (ENSI-G07), the operating staff (ENSI-B10), and on the radiation protection staff (ENSI-B13) of nuclear installations including spent fuel and radioactive waste management facilities.

The implementation of these legal requirements is ensured in practice a) by review of the projects submitted to licence and by b) supervision of the operation of the nuclear facility.

F.2.2 Adequate Financial Resources (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that adequate financial resources are available to support the safety of facilities for spent fuel and radioactive waste management during their operating lifetime and for decommissioning.

Two funds have been established by law in order to ensure the availability of sufficient financial resources for the decommissioning of nuclear facilities and the final management of spent fuel and radioactive waste. The Ordinance on the Decommissioning and Waste Management Funds for Nuclear Facilities defines (1) the allocation of financial resources for the decommissioning and for the disposal of decommissioning waste, and (2) the allocation of financial resources to cover the costs for the final management of spent fuel and radioactive waste from NPP operation. The Waste Management Fund was established to cover the management costs arising after shutdown of the NPPs. Current expenditures related to spent fuel reprocessing and storage of spent fuel and radioactive waste, as well as to research and development, planning, geological investigations and, eventually, construction and operation of disposal facilities, are continuously paid for by the NPP operators.

The two funds are independent legal entities administered by a Management Commission appointed by UVEK. The annual contributions to be paid to the funds by the NPP operators are based on cost estimates, derived from specific decommissioning and disposal projects submitted by the operators and reviewed by the nuclear safety authorities. The projects, cost estimates and annual contributions are updated periodically. By the end of 2010, the balance of the Decommissioning Fund was 1'331 Mio. CHF, that of the Waste Management Fund was 2'821 Mio. CHF.

F.2.3 Financial Provision for Institutional Controls (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that financial provision is made which will enable the appropriate institutional controls and monitoring arrangements to be continued for the period deemed necessary following the closure of a disposal facility.

Regarding the closure of a disposal facility, the Nuclear Energy Act defines the following steps. Upon expiry of the period of underground monitoring following the emplacement of the waste packages, the Federal Council shall order the closure of the repository according to the corresponding project submitted by the owner of the repository. The closure of the repository will only be ordered if the permanent protection of human health and the environment is ensured. After the repository has been closed in accordance with the applicable regulations, the Federal Council may order further surface monitoring of the environment of the disposal facility for a limited period of time. Upon expiry of this additional monitoring period, the Federal Council will declare that the disposal facility is no longer subject to the nuclear energy legislation. At that time the responsibility for the disposal facility will pass over to the Federal State. The Federal State may decide to continue monitoring of the site; this would be carried out within the framework of the general radiological surveillance of the environment.

The Waste Management Fund mentioned in Section F.2.2 covers the disposal costs up to and including the final closure of the repository and such monitoring after closure as may be ordered by the Federal Council. The continued monitoring, after the disposal facility has been cleared from nuclear regulatory control, will be carried out at the expense of the Federal State.

The legislation on radiological protection puts the Federal Office of Public Health (BAG) in charge of monitoring the radioactivity in the environment. This duty includes the monitoring of the environment of past nuclear facilities cleared from regulatory control after decommissioning, and eventually will also include closed disposal facilities. As an example, the former experimental NPP at Lucens, which has been decommissioned and cleared from nuclear regulatory control, is subject to the environmental radiation monitoring programme of BAG.

F.3 Quality Assurance (Article 23)

Each Contracting Party shall take the necessary steps to ensure that appropriate quality assurance programmes concerning the safety of spent fuel and radioactive waste management are established and implemented.

The Nuclear Energy Act together with the Nuclear Energy Ordinance require the implementation of appropriate quality management (QM) systems for the construction and operation of nuclear facilities, including storage and disposal facilities for spent fuel and radioactive waste. The QM systems must be developed according to an internationally agreed standard (e.g., ISO 9001) and be reviewed periodically by an independent body. The Regulatory Guideline ENSI-G07 "Organisation of Nuclear Installations" specifies the requirements to the organisation and the procedures according to the IAEA Safety Requirements GS-R-3 "Management Systems for Facilities and Activities" and the corresponding guides. All Swiss nuclear facilities involved in spent fuel and radioactive waste management, including Nagra, have established and implemented certified QM systems based on the international industrial standard ISO 9001. Significant changes in the QM systems of the responsible organisation must be reported to ENSI.

ENSI reviews and checks the completeness and the proper function of the QM systems of spent fuel and radioactive waste management facilities according to an international nuclear standard (e.g., IAEA Safety Standard GS-R-3, GS-G-3.1 and GS-G-3.3). By means of inspections and audits ENSI ensures that the QM systems are effectively implemented.

F.4 Operational Radiation Protection (Article 24)

The Radiological Protection Act and the Radiological Protection Ordinance form the legal basis for the operational radiation protection in Switzerland. This legislation aims at protecting human health and the environment against ionising radiation and is based on the recommendations of the International Commission on Radiological Protection (ICRP). It implements the internationally agreed principles of justification of a practice, optimization of radiation exposure and dose limitation. More detailed requirements are defined in further Ordinances and in ENSI guidelines, and specific conditions and obligations are contained in the operation licences granted to each nuclear facility operator.

F.4.1 Radiation Exposure (Paragraph 1 Clause i)

Each Contracting Party shall take the appropriate steps to ensure that during the operating lifetime of a spent fuel or radioactive waste management facility the radiation exposure of the workers and the public caused by the facility shall be kept as low as reasonably achievable, economic and social factors being taken into account.

The Swiss radiation protection legislation requires optimization as a fundamental principle for limiting the radiation exposure of the personnel and the public. In order to satisfy this rule Guideline ENSI-G15 requires that every licence holder of a nuclear facility (including storage and disposal facilities) has to establish a QM system for operational radiation protection. The QM system must include the optimization process as an integrated part of the radiation protection planning.

It is the responsibility of the operator to define optimization as part of the QM system for operational radiation protection. Most of the facilities have a system to control and implement optimization. Depending on the level of estimated collective dose, a dose relevant job has to be controlled by a radiation protection officer or by an ALARA team consisting of engineers and radiation protection personnel. Every project leading to an estimated collective dose above 50 man-mSv has to be declared to ENSI in advance. ENSI evaluates the report, discusses critical aspects in the planning of work with the operator, and inspects the implementation of optimization measures in the nuclear facility.

F.4.2 Radiation Doses (Paragraph 1 Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that during the operating lifetime of a spent fuel or radioactive waste management facility no individual shall be exposed, in normal situations, to radiation doses which exceed national prescriptions for dose limitation which have due regard to internationally endorsed standards on radiation protection.

The Radiological Protection Ordinance sets the dose limit for individuals of the population to 1 mSv per year and that for occupational exposure to 20 mSv per year (see Section E.2.2). This is in accordance with international standards. In order to ensure that these dose limits are not exceeded, reference values, limits and constraints for dose and activity have been defined in the Radiological Protection Ordinance, in the Regulatory Guidelines HSK-R-07, ENSI-G15, as well as in the licence conditions. Article 36 of the Radiological Protection Ordinance states the dose limits and working conditions for teenagers between 16 and 18 years and for pregnant and nursing women.

Models on atmospheric dispersion and exposure paths (as outlined in ENSI-G14 based on IAEA Safety Series No. 50-SG-S3), including transfer factors and dose conversion factors, are used to obtain the effective dose as a function of the discharge. The discharge limits are set by ENSI based on such calculations. The Regulatory Guideline ENSI-B02 requires that the activity discharged to the environment be reported by each nuclear facility in periodical reports.

The measuring instruments used in the facilities have to be calibrated periodically (ENSI-G13). ENSI takes various samples and carries out independent measurements in each nuclear facility for independent analyses several times a year.

To ensure the compliance with occupational dose limits, a system of dose budget and investigation levels is used. One set of dose budgets, so called *temporary dose contingents*, are defined in order to split the maximum permitted individual dose among different nuclear facilities where the person will work during the year. Employers must have a licence to send persons occupationally exposed to radiation to various facilities. It is the duty of the employer to inform the operators of the facilities about the dose budgets of his employees; the dose budget is the maximum dose an employee may accumulate during the period he works in the facility. Some facilities use additional daily or job specific dose constraints as investigation levels. In these cases electronic personal dosimeters are used to monitor the actual dose.

F.4.3 Preventive Measures Taken (Paragraph 1 Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that during the operating lifetime of a spent fuel or radioactive waste management facility measures are taken to prevent unplanned and uncontrolled releases of radioactive materials into the environment.

The Radiological Protection Ordinance requires the licence holder to take appropriate measures to prevent unplanned and uncontrolled releases of radioactive materials into the environment. The corresponding technical and administrative requirements to be considered during planning, construction, operation and decommissioning are outlined in the Ordinance on the Use of Unsealed Radiation Sources and in the Regulatory Guidelines HSK-R-07 and ENSI-B05. All other facility specific details are laid down in the licences and permits.

The Radiological Protection Ordinance requires the declaration of rooms, buildings or areas as controlled zones if either one of the following: dose rate / surface contamination level / air contamination level, may exceed certain limits listed in the Ordinance.

An area has to be marked as zone 0 if the external exposure of an individual may exceed 1 mSv per year but contamination can be excluded in normal operation. One example is the storage hall for transport and storage casks at the Central Storage Facility.

A building or room has to be declared as radiation protection zone I or II or even higher if a contamination cannot be excluded under normal operation, e.g. when handling open radioactive sources. In these buildings or rooms the air pressure must be lower than outdoors and in vicinal areas in which a lower level of potential contamination is expected under normal operation. Therefore in nuclear facilities a pressure gradient has to be maintained from high level (lower pressure) to low level (higher pressure) of contamination, using a series of air locks. Such radiation protection zones exist in all spent fuel and radioactive waste management facilities.

F.4.4 Radiation Exposure Due to Discharges (Paragraph 2 Clause i)

Each Contracting Party shall take appropriate steps to ensure that discharges shall be limited to keep exposure to radiation as low as reasonably achievable, economic and social factors being taken into account.

In the licence application for the construction and operation of a nuclear facility (including storage and disposal facilities), the technical measures have to comply with the ALARA principle. For examples suitable barriers and air filters can be applied to reduce exposure to radiation caused by radioactive discharges. These measures are explicitly stated as conditions when granting the licence. Each nuclear facility has to report periodically the discharged radioactivity to ENSI.

F.4.5 Radiation Doses Due to Discharges (Paragraph 2 Clause ii)

Each Contracting Party shall take appropriate steps to ensure that discharges shall be limited so that no individual shall be exposed, in normal situations, to radiation doses which exceed national prescriptions for dose limitation which have due regard to internationally endorsed standards on radiation protection.

The annual dose limit for the public is ensured via a partition into source related dose constraints of 0.3 mSv per year for each nuclear site (ENSI-G15). The dose from direct exposure must not exceed 0.1 mSv per year. Based on these dose constraints, maximum values for the total activities and activity concentrations discharged into the environment are derived from models for dispersion and transfer (ENSI-G14). Depending on whether the discharge occurs in a short period (shorter than a week) or continuously, it has to comply with the short or long term discharge limits. These limits are verified by ENSI in the periodic safety review of the nuclear facility (HSK-R-48).

Material can be declared as non-radioactive if it is out of the scope of the Radiological Protection Ordinance. The clearance levels are explained in Section B.3 of this report. These criteria are derived from the *de minimis* value of 0.01 mSv per person and year.

F.4.6 Corrective Measures (Paragraph 3)

Each Contracting Party shall take appropriate steps to ensure that during the operating lifetime of a regulated nuclear facility, in the event that an unplanned or uncontrolled release of radioactive materials into the environment occurs, appropriate corrective measures are implemented to control the release and mitigate its effects.

According to the Radiological Protection Ordinance, the licence holder is obliged to make the necessary operational preparations in order to be able to cope with failures. This includes regular training of the employees, instructions regarding the immediate measures to be taken in an emergency, and provision of sufficient technical assistance and well-trained personnel for dealing with failures at any time. This implies employing and training of skilled personnel in the field of radiation protection. The dose limit for outside emergency personnel involved in rescuing human lives and protecting the population is 250 mSv during the first year after an event. The dose limit for personnel involved in aftermath work is 50 mSv during the first year following the event.

In addition, the Radiological Protection Ordinance requires that the licence holder carries the responsibility for all risks. This means that in case of an unplanned or uncontrolled release of radioactive material into the environment every possible effort has to be taken to mitigate its effects. This includes appropriate protective measures for the personnel, installation of failure safe locks as well as activity and dose monitoring inside the facility, on the premises and in the vicinity of the facility. The monitoring results are continuously updated on the ENSI website (<http://www.ensi.ch/en/emergency-protection/dose-rates>).

In case of a radiological incident within a nuclear facility or during transport, the licence holder has to notify ENSI and the National Emergency Operations Centre (NAZ) immediately (see Section F.5).

ENSI approves the training courses and the qualification of the radiation protection personnel. The nuclear facilities have to summarise the participation of their personnel in appropriate training courses in periodical reports.

F.5 Emergency Preparedness (Article 25)

F.5.1 Facility Emergency Plans (Paragraph 1)

Each Contracting Party shall ensure that before and during operation of a spent fuel or radioactive waste management facility there are appropriate on-site and, if necessary, off-site emergency plans. Such emergency plans should be tested at an appropriate frequency.

The Federal Headquarters of Response in case of Nuclear, Biological, Chemical, and Natural events (BST ABCN) is in charge of emergency planning and preparedness in Switzerland. The Concept on Emergency Planning and Preparedness in the Vicinity of Nuclear Power Plants (2006) defines the requirements for emergency preparedness and is based on the following acts, ordinances, and regulatory guidelines:

- Nuclear Energy Act
- Nuclear Energy Ordinance
- Radiation Protection Act
- Radiation Protection Ordinance
- Ordinance on Emergency Preparedness in the Vicinity of Nuclear Facilities
- Ordinance on the National Emergency Operations Centre
- Ordinance on the Organisation of Operations in Connection with ABC and Natural Events (ABCN Operations Ordinance)
- Ordinance on the Supply of the Population with Iodine Tablets
- Guideline ENSI-B12: Emergency preparedness in nuclear installations
- Guideline ENSI-B11: Emergency exercises
- Ordinance on Alerting and Alarming

These requirements refer to NPPs and are used for other nuclear facilities by analogy. Prior to the operation permit for a new spent fuel or radioactive waste management facility, on-site emergency plans are required that must be approved by ENSI.

To prepare emergency measures for spent fuel and radioactive waste management facilities, specific scenarios are evaluated that form the basis for the emergency planning in the environment of such facilities. The emergency scenarios at such facilities include fires, life-threatening injuries to persons, excessive radiation to personnel, substantial release of radioactivity to the environment, spillage of oil and chemicals, fuel handling accidents in hot cells, accidents during transport of waste and spent fuel, severe earthquakes, airplane crash, and malevolent actions by third parties.

Off-site emergency plans are required if possible accidents can cause off-site doses above 1 mSv (ABCN Operations Ordinance). Accidents at spent fuel and radioactive waste management facilities located at NPPs (e.g. ZWIBEZ, Nasslager Gösigen) are covered by the emergency organisation of the corresponding NPP. At PSI and ZZL only an airplane crash could lead to doses exceeding 1 mSv. For this scenario the alerting and countermeasures are implemented for the population of the neighbouring communities.

On-Site Emergency Organisation

Each new spent fuel or radioactive waste management facility is in possession of facility-specific emergency preparedness documentation which includes the following information:

- Operating procedures for abnormal situations
- Emergency procedures
- Reporting procedure to ENSI, and in case of radiological events also to the National Emergency Operations Centre (NAZ)
- Reporting procedure to the police in case of rapidly evolving accidents (e.g. airplane crash)

The emergency organisation of the facility is inspected by ENSI during emergency exercises every year.

Off-Site Emergency Organisation and Protective Measures

The off-site emergency organisation is based on the resources within the Swiss civil defence concept. These resources consist of a well-developed shelter infrastructure (Switzerland has sheltering capabilities for at least 95% of its population) and well-trained troops for fire and disaster mitigation. In the case of a radiological emergency the Federal Headquarters of Response in case of Nuclear, Biological, Chemical, and Natural events (BST ABCN) coordinates the use of civil and military resources as well as order siren signals for general alert and issue warnings and instructions over the radio. NAZ, as a part of BST ABCN, is responsible for the transmission of warnings and alerting orders to the cantonal authorities and additionally for initial countermeasures required for the protection of the public.

The protective measures to be implemented for the population are based on the concept of emergency reference levels of dose as quoted in the Ordinance on the Organisation of Operations in Connection with ABC and Natural events. The concept describes which protective measures are to be adopted if an expected radiation dose is above a certain level.

Emergency Exercises

ENSI issues the operation permit only if the on-site emergency organisation is operational and has been successfully tested by an emergency exercise. Furthermore, on-site emergency preparedness exercises are performed every year in accordance with the specifications in the Guideline ENSI-B11. In addition, each one of the different emergency teams, e.g. fire brigade, has to carry out its own specific exercises. Neighbouring countries are invited on a regular basis to take part in full-scale emergency exercises carried out in nuclear facilities located in the vicinity of the border.

F.5.2 Territory Emergency Plans (Paragraph 2)

Each Contracting Party shall take the appropriate steps for the preparation and testing of emergency plans for its territory insofar as it is likely to be affected in the event of a radiological emergency at a spent fuel or radioactive waste management facility in the vicinity of its territory.

The Federal Headquarters of Response in case of Nuclear, Biological, Chemical, and Natural events (BST ABCN) takes over in case of a radiological emergency coming from abroad. Automatic dose-rate monitoring systems have been installed in Switzerland. These systems continuously monitor the dose rate at a large number of locations.

F.6 Decommissioning (Article 26)

Each Contracting Party shall take the appropriate steps to ensure the safety of decommissioning of a nuclear facility.

The Nuclear Energy Act requires the operator of a nuclear facility to apply for a general licence as a first step. Applications for construction and operation licences can only be made once the general licence has been issued. The licensee must state the basic commitments with respect to decommissioning in the application documents for the general licence and present a decommissioning plan with the application documents for the construction licence. He has to regularly update the decommissioning plan during the operation period. At the end of the operational lifetime of the facility, he must submit a decommissioning project. After this project has been reviewed and approved by the authorities, a decommissioning order is issued by the licensing authority (UVEK). The legislation thus addresses all aspects of decommissioning at the appropriate stage of facility development.

No general licence or decommissioning order has been issued yet on the basis of the new legislation. In July 2011 PSI has submitted to the BFE the project for the decommissioning of his pilot incinerator plant which ceased operations at the end of 2002.

Earlier legislation required a decommissioning licence. Such licences were issued for the prototype reactor at Lucens, the research reactor AGN-201-P at the University of Geneva, and the research reactors DIORIT and SAPHIR at PSI. They retain their validity under the new legislation. The experience made so far demonstrates the sound basis already given by the earlier legislation.

All NPPs are or have been subject to upgrading, backfitting and licence extension, hence there are no new significant decommissioning projects expected for the next 10 years.

F.6.1 Staff and Financial Resources (Clause i)

Such steps shall ensure that qualified staff and adequate financial resources are available.

With respect to the financial aspects of decommissioning, the legislation (Nuclear Energy Act, Nuclear Energy Ordinance and Ordinance on the Decommissioning and Waste Management Funds for Nuclear Facilities) provides for a fund (Decommissioning Fund). The fund covers the costs arising from decommissioning, including dismantling and management of the resulting waste. Contributions are paid annually by the owners of the four NPPs and the Central Storage Facility (ZZL). The contributions are based on the estimated costs of decommissioning of each facility and determined by the Management Commission of the fund. They are reviewed and updated every five years by the Management Commission to ensure that sufficient funds will be available at the time of decommissioning. The cost estimates refer to specific decommissioning studies presented by the NPP owners and reviewed by ENSI. If during decommissioning such financial provisions prove insufficient, the owner of the facility concerned has to pay the difference within three years. In the case that the means of the fund are not sufficient to cover the costs of decommissioning of a NPP, the owners of the other NPPs are also liable for the amount in debt.

The costs of decommissioning and the costs of waste management are determined on basis of the waste management programme (see section H.1.3), the current technical and scientific requirements and on the prices applicable when the calculation is being made. These costs have to be updated every five years based on information from the owner of each nuclear installation. When a nuclear installation begins operations, the initial costs are estimated. They are re-calculated when a nuclear installation is shut down or when a substantial change in costs is expected due to unforeseen circumstances.

With adequate financial resources the recruitment of qualified staff can be ensured. Guideline ENSI-G07 specifies requirements that apply also to decommissioning. The decommissioning order can lay down specific obligations in this respect. The Nuclear Energy Act requires the operator to submit a detailed decommissioning project plan. This project must address all aspects, including staff, organisation and quality management.

F.6.2 Radiation Protection (Clause ii)

Such steps shall ensure that the provisions of Article 24 with respect to operational radiation protection, discharges and unplanned and uncontrolled releases are applied.

The Radiological Protection Act and the Radiological Protection Ordinance apply to the decommissioning of nuclear facilities as well. This legislation covers all aspects of Article 26 Clause (ii) (see Section F.4). The decommissioning order lays down complementary obligations as appropriate.

F.6.3 Emergency Preparedness (Clause iii)

Such steps shall ensure that the provisions of Article 25 with respect to emergency preparedness are applied.

The legal requirements concerning emergency preparedness apply independently of whether a facility is in operation or is being decommissioned. These requirements cover all aspects of Article 26 Clause (iii) (see Section F.5). The decommissioning project must cover design accident evaluation and emergency preparedness planning for all stages of decommissioning.

F.6.4 Record Keeping (Clause iv)

Such steps shall ensure that records of information important to decommissioning are kept.

The Nuclear Energy Act requires the facility operators to keep and to update all technical records until decommissioning is completed. After completion of decommissioning, the operator has to hand over the documentation to the regulatory authorities.

Section G Safety of Spent Fuel Management

G.1 General Safety Requirements (Article 4)

Each Contracting Party shall take the appropriate steps to ensure that at all stages of spent fuel management, individuals, society and the environment are adequately protected against radiological hazards.

The protection of individuals, society and the environment against radiological hazards related to spent fuel management is subject to the Swiss legislation on radiation protection and on nuclear energy, as detailed in Section E.2. Compliance with the legal requirements regarding nuclear safety and radiation protection is verified and enforced by the Swiss Federal Nuclear Safety Inspectorate (ENSI) for nuclear facilities. This is done by reviewing safety analysis reports during the licensing steps, by supervising construction and operation particularly by inspections, and by periodic safety reviews of the NPPs.

G.1.1 Criticality and Removal of Heat (Clause i)

In so doing, each Contracting Party shall take the appropriate steps to ensure that criticality and removal of residual heat generated during spent fuel management are adequately addressed.

Criticality and heat removal are attended to during the licensing process of a spent fuel management facility, during operation if changes in the operational procedures are planned, and in the periodic safety reviews of each NPP every 10 years. For storage facilities a systematic safety assessment report is requested with a frequency of 10 years (see Section G.5.2). These points are analysed in the safety analysis report submitted with the licence application and reviewed by the regulatory body. Safety relevant changes to a spent fuel management facility, including equipment and procedures, require a licence from UVEK or a permit from ENSI. All Swiss spent fuel management facilities are in compliance with the requirements of Clause (i).

G.1.2 Generation of Radioactive Waste (Clause ii)

In so doing, each Contracting Party shall take the appropriate steps to ensure that the generation of radioactive waste associated with spent fuel management is kept to the minimum practicable, consistent with the type of fuel cycle policy adopted.

Both the Nuclear Energy Act and the Radiological Protection Act require that any handling and management of radioactive materials must take place in such a way that the generation of radioactive waste is kept to the minimum practicable. The spent fuel management facilities mentioned under Section D.2.1 have been built and are operated according to this principle. This will also be the case for future facilities. The amounts of radioactive waste from reprocessing of Swiss spent fuel in France and in the UK has decreased significantly compared to the original planning. Swiss utilities have taken additional steps to further reduce these amounts, including investments into new conditioning techniques.

The Swiss licensing authority (BFE) has approved a modified waste specification for returning compacted residues from France which will result in a significant reduction of the waste volumes to be returned.

G.1.3 Interdependencies (Clause iii)

In so doing, each Contracting Party shall take the appropriate steps to take into account interdependencies among the different steps in spent fuel management.

Spent fuel management is subject to the requirement of optimization formulated in Article 6 of the Radiological Protection Ordinance, thus interdependencies among the different steps must be and in practice are taken into account.

G.1.4 Protection of Individuals, Society and the Environment (Clause iv)

In so doing, each Contracting Party shall take the appropriate steps to provide for effective protection of individuals, society and the environment, by applying at the national level suitable protective methods as approved by the regulatory body, in the framework of its national legislation which has due regard to internationally endorsed criteria and standards.

Protection of individuals, society and the environment from the effects of ionizing radiation is a subject of the radiation protection legislation (see Section E.2.2), in which the ICRP system of radiation protection, consisting of justification, optimization and dose limitation, is implemented. The applicable dose limits are compatible with the International Basic Safety Standards (IAEA Safety Series No. 115). In particular, a dose limit for members of the public of 1 mSv effective dose per year and a dose limit for workers of 20 mSv per year are implemented.

Compliance of spent fuel management facilities with the legislation is ensured during the licensing and operational phases. At each licensing step a safety analysis report demonstrating compliance has to be submitted and is reviewed by the regulatory body. During the operational phase, compliance is verified and enforced by regulatory supervision, mainly by inspections. The regulatory supervision includes monitoring of the radioactivity in the environment of the facility. Compliance with the environmental protection legislation is verified by the responsible authorities according to the environmental radiation monitoring program of the Federal Office of Public Health (BAG).

G.1.5 Biological, Chemical and other Hazards (Clause v)

In so doing, each Contracting Party shall take the appropriate steps to take into account the biological, chemical and other hazards that may be associated with spent fuel management.

Biological, chemical and other hazards are subject to the environmental protection legislation, which also aims at human health protection, especially with requirements concerning air and water quality. An environmental impact assessment is required for the general licence and for the construction licence.

This assessment is reviewed by the competent authorities before the licence is issued. Hazards other than radiation encountered by workers during handling of spent fuel are covered by general legislation on safety in working places, enforced by supervision by the Swiss Accident Insurance Institute (Suva).

G.1.6 Impacts on Future Generations (Clause vi)

In so doing, each Contracting Party shall take the appropriate steps to strive to avoid actions that impose reasonably predictable impacts on future generations greater than those permitted for the current generation.

Several legal requirements aim at avoiding impacts on future generations. The Nuclear Energy Act requires that all radioactivity hazards be removed from a nuclear facility upon termination of operation. Details are given in Section F.6. The same Act also requires safe and permanent management and disposal of all radioactive waste (including spent fuel if declared as waste). The specific design principles for deep geological repositories and the requirements for the safety case are detailed in the Regulatory Guideline ENSI-G03. Here, the principle is formulated that the risks to humans and the environment arising in the future from geological disposal of radioactive waste may not be greater than those permissible in Switzerland today (see Section H.1.6).

There are currently no disposal facilities for spent fuel in operation or under construction in Switzerland. However, the requirements on the long-term safety have been observed in the design and planning of disposal facilities, and compliance with them has been verified in the regulatory review of such projects.

G.1.7 Burdens on Future Generations (Clause vii)

In so doing, each Contracting Party shall take the appropriate steps to aim to avoid imposing undue burdens on future generations.

As explained in Section G.1.6 above, the legal requirements prevent imposing undue burdens on future generations. Regarding disposal, the Regulatory Guideline ENSI-G03 explicitly formulates, as one of the overall objectives of disposal, that the responsibility for geological disposal lies with the generation enjoying the benefits of the energy produced, and no undue burdens may be placed on future generations (see Section H.1.7).

A geological repository has to be designed in such a way that, after closure, no further measures are required to ensure long-term safety.

According to the Nuclear Energy Act, anyone who operates or decommissions a nuclear installation is obliged to safely manage all radioactive waste arising from that installation at their own cost. Two funds have been established by law in order to ensure the availability of sufficient financial resources for the decommissioning of nuclear facilities and the final management of spent fuel and radioactive waste.

G.2 Existing Facilities (Article 5)

Each Contracting Party shall take the appropriate steps to review the safety of any spent fuel management facility existing at the time the Convention enters into force for that Contracting Party and to ensure that, if necessary, all reasonably practicable improvements are made to upgrade the safety of such a facility.

Besides the spent fuel ponds in the NPPs, the only spent fuel management facilities which exist in Switzerland are the Central Storage Facility (ZZL) in Würenlingen, the interim storage facility (ZWIBEZ) at Beznau NPP and the wet storage facility (Nasslager) at Gösgen NPP, as described in Section D.2.1.

These facilities (including the fuel ponds at the NPPs) have been licensed as required by law. The Nuclear Energy Act and the Nuclear Energy Ordinance require the owners of all nuclear facilities to systematically and regularly assess the safety of these facilities under the supervision of ENSI.

No other spent fuel management facilities exist in Switzerland.



Figure 14: Reception of a transport cask with radioactive waste from reprocessing in ZZL (Photo: Zwiilag)

G.3 Siting of Proposed Facilities (Article 6)

G.3.1 Safety Impact Information (Paragraph 1)

Each Contracting Party shall take the appropriate steps to ensure that procedures are established and implemented for a proposed spent fuel management facility:

- (i) to evaluate all relevant site-related factors likely to affect the safety of such a facility during its operating lifetime;***
- (ii) to evaluate the likely safety impact of such a facility on individuals, society and the environment;***
- (iii) to make information on the safety of such a facility available to members of the public;***
- (iv) to consult Contracting Parties in the vicinity of such a facility, insofar as they are likely to be affected by that facility, and provide them, upon their request, with general data relating to the facility to enable them to evaluate the likely safety impact of the facility upon their territory.***

A spent fuel management facility is a nuclear facility according to the Swiss nuclear energy legislation. The site of a nuclear facility is fixed by the general licence which is a prerequisite for further licences and has to be approved by Parliament (see Section E.2.3). The safety analysis report to be submitted with the general licence application has to include an evaluation of the site-related factors likely to affect the safety of the facility, as well as the likely safety impacts of the facility on individuals, society and the environment. Clauses (i) and (ii) are thus addressed.

The licensing procedure includes a public consultation. The documentation on the project, including the safety analysis report, the regulatory review report and the views and opinions of the cantons, is made available, and any person (also from foreign countries) can give input or raise objections. This fulfils the requirement of Clause (iii).

The Nuclear Energy Act specifically requires that the siting canton as well as neighbouring cantons and countries shall be involved in the decision making regarding the general licence. Furthermore, bilateral agreements have been established with the neighbouring countries (France, Germany, Austria and Italy) with the aim of exchanging information on planned or operating nuclear facilities that are situated close to the common national borders. This fulfils the requirements of Clauses (iv).

The site selection process leading to the application for a general licence is not explicitly defined in the legislation. According to Article 5 of the Nuclear Energy Ordinance, however, the federal authorities have developed a procedure for the siting of disposal facilities, which has been approved by the federal government in 2008, see Section B.2. The stepwise procedure focuses mainly on safety related criteria, but socio-economical aspects are also taken into account. Cantons and neighbouring countries are involved in the site selection process as important stakeholders.

G.3.2 Effects on other Contracting Parties (Paragraph 2)

In so doing, each Contracting Party shall take the appropriate steps to ensure that such facilities shall not have unacceptable effects on other Contracting Parties by being sited in accordance with the general safety requirements of Article 4.

For nuclear facilities in general, adequate protection beyond the national borders is effected in practice by the fact that the evaluation of impact is carried out irrespective of national borders. Some nuclear facilities in Switzerland are located close to the German border. In the frame of a bilateral agreement with Germany, German regulatory authorities review licence applications for such nuclear facilities and assess the potential radiological effects according to the German regulations. Results are discussed by the German-Swiss Commission for the Safety of Nuclear Installations (DSK).

G.4 Design and Construction of Facilities (Article 7)

G.4.1 Limitation of Radiological Impacts (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that the design and construction of a spent fuel management facility provide for suitable measures to limit possible radiological impacts on individuals, society and the environment, including those from discharges or uncontrolled releases.

The procedure for the construction licence for a nuclear facility, including spent fuel management facilities, requires the submission of a safety analysis report with the licence application. This safety analysis report, which is reviewed by the nuclear safety authorities, has to contain the necessary information to verify that the possible radiological impacts on individuals, society and the environment are within the limits given in the regulation. The evaluation of the radiological impacts must encompass normal operation as well as possible accidental situations.

G.4.2 Decommissioning (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that at the design stage, conceptual plans and, as necessary, technical provisions for the decommissioning of a spent fuel management facility are taken into account.

The Nuclear Energy Act requires, for any nuclear facility, a decommissioning concept at the general licence stage and a more detailed decommissioning plan at the construction licence stage. Under the previous legislation, a similar requirement was applied when granting the general licence to Zwiilag for the Central Storage Facility (ZZL). Further details are given in Section F.6.

G.4.3 Technologies (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that the technologies incorporated in the design and construction of a spent fuel management facility are supported by experience, testing or analysis.

The Nuclear Energy Ordinance requires for any nuclear facility that during design, construction and operation, technologies, materials and organisational structures are employed that are supported by experience and proven to be of high quality. This requirement is therefore also considered in the regulatory review of licence applications and in the regulatory supervision during the construction phase. During planning, construction and operation, ENSI bases its assessments of nuclear facilities, including spent fuel management projects, on evaluations taking into account the recent developments in science and technology.

G.5 Assessment of Safety of Facilities (Article 8)

G.5.1 Safety Assessment (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that before construction of a spent fuel management facility, a systematic safety assessment and an environmental assessment appropriate to the hazard presented by the facility and covering its operating lifetime shall be carried out.

A safety assessment report is part of the documentation required by the Swiss nuclear energy legislation for each licensing step of a nuclear facility, including spent fuel management facilities. An environmental impact assessment is required at the general licence and construction licence stages based on the Environmental Protection Act. ENSI carries out comprehensive reviews of the safety assessments, and the Federal Office for the Environment (BAFU) reviews the environmental impact assessment.

G.5.2 Update of Safety Assessment (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that before the operation of a spent fuel management facility, updated and detailed versions of the safety assessment and of the environmental assessment shall be prepared when deemed necessary to complement the assessments referred to in clause (i).

The safety assessment has to be updated by the applicant and reviewed by ENSI at each step of the licensing procedure (general licence, construction licence and operation licence). Furthermore, the Nuclear Energy Act (Article 22.e) requires periodic safety reviews during the lifetime of the NPPs, including their spent fuel management facilities. A frequency of ten years is set for these reviews by the Nuclear Energy Ordinance. The procedure and the requirements of the periodic safety reviews are outlined in the Regulatory Guideline HSK-R-48. The periodic safety reviews are examined by ENSI. In addition, operators of any nuclear facility in Switzerland (not only NPPs) have to perform systematic safety assessments.

The conditions and requirements for such assessments in storage facilities have been laid down in the new Guideline ENSI-G04 (the former HSK-R-29) defining the requirements for the storage of radioactive waste and spent fuel. For storage facilities a systematic safety assessments report is requested with a frequency of 10 years.

G.6 Operation of Facilities (Article 9)

G.6.1 Operation Licence (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that the licence to operate a spent fuel management facility is based upon appropriate assessments as specified in Article 8 and is conditional on the completion of a commissioning programme demonstrating that the facility, as constructed, is consistent with design and safety requirements.

The operation licence for a nuclear facility, including spent fuel management facilities, is granted based, among other things, on a safety analysis report. ENSI supervises the construction of the facility and makes sure that the facility is built in accordance with the construction licence. The operation licence includes the obligation that active operation of the facility requires a corresponding permit from ENSI. This permit is issued after the commissioning programme has demonstrated that the facility fulfils all safety and other requirements. The regulatory process for the commissioning of nuclear facilities is specified in the Guideline HSK-R-30.

G.6.2 Defining and Revising Operational Limits and Conditions (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that operational limits and conditions derived from tests, operational experience and the assessments, as specified in Article 8, are defined and revised as necessary.

ENSI supervises and inspects the commissioning and operation of each nuclear facility including spent fuel management facilities. This includes the review and approval of operational conditions for the particular nuclear facility. According to the Nuclear Energy Ordinance any changes to operational limits and conditions require a permit by ENSI that has the competence to revise operational limits and conditions as necessary for reasons of safety.

G.6.3 Accordance with Established Procedures (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that operation, maintenance, monitoring, inspection and testing of a spent fuel management facility are conducted in accordance with established procedures.

Operation, maintenance and monitoring of nuclear facilities, including spent fuel management facilities, are specified in the operation licence. The corresponding procedures as described in the facility operation documents are reviewed by ENSI. Their adequacy is a condition for issuing the permit to start operation. ENSI is entrusted with the supervision of nuclear facilities and carries out inspections according to an annual inspection plan. ENSI is empowered to enforce compliance with all requirements.

G.6.4 Engineering and Technical Support (Clause iv)

Each Contracting Party shall take the appropriate steps to ensure that engineering and technical support in all safety-related fields are available throughout the operating lifetime of a spent fuel management facility.

According to the Nuclear Energy Act, the fulfillment of requirements regarding the staff and the organisation is a prerequisite for the granting of the operation licence for a nuclear facility. The requirements concerning staff and organisation are outlined in the Nuclear Energy Ordinance (Article 30) and more specifically elaborated in the Guidelines ENSI-G07, ENSI-B10 and ENSI-B13. They include the availability of engineering and technical support. ENSI inspects and supervises the qualification of the personnel of nuclear facilities including spent fuel management facilities. ENSI has the competence to intervene if it determines that a lack of technical or engineering support impacts on the safety of the facility.

G.6.5 Reporting of Incidents (Clause v)

Each Contracting Party shall take the appropriate steps to ensure that incidents significant to safety are reported in a timely manner by the holder of the licence to the regulatory body.

The requirements regarding the regular reporting (monthly, quarterly and yearly) and the reporting of incidents are specified in the Nuclear Energy Ordinance and in the Regulatory Guidelines ENSI-B02 und ENSI-B03.

All safety-relevant incidents have to be reported without delay, first by telephone, and have to be reconfirmed in writing within very short deadlines (a few hours at the most). Further reports, at least on the cause, effects, countermeasures and measures to prevent reoccurrence, must be submitted within a specified deadline after the written confirmation. An additional report is required after an appropriate period on the effectiveness of the measures against reoccurrence.

G.6.6 Collection and Analysis of Operating Experience (Clause vi)

Each Contracting Party shall take the appropriate steps to ensure that programmes to collect and analyze relevant operating experience are established and that the results are acted upon, where appropriate.

The Nuclear Energy Act explicitly requires the operator of a nuclear facility, including spent fuel management facilities, to conduct systematic safety assessments and to observe and analyze operating experience gained in comparable facilities. The Nuclear Energy Ordinance further requires the operator to include in the safety evaluations the operating experience made and to determine the relevance for his facility of the operating experience made in comparable facilities.

G.6.7 Decommissioning Plans (Clause vii)

Each Contracting Party shall take the appropriate steps to ensure that decommissioning plans for a spent fuel management facility are prepared and updated, as necessary, using information obtained during the operating lifetime of that facility, and are reviewed by the regulatory body.

The Nuclear Energy Act and the Nuclear Energy Ordinance require updating of decommissioning plans for nuclear facilities on a regular basis (10 years cycle) and, as necessary, taking account of changes made to the facilities, changes in the regulations and technological development. The Ordinance on the Decommissioning and Waste Management Funds requires a periodical update of the decommissioning cost estimate. The operators of the NPPs have elaborated detailed decommissioning studies for their facilities. These studies were revised in 2006 and reviewed and approved by ENSI in 2007. A new revision of the decommissioning studies will be submitted by the end of 2011.

G.7 Disposal of Spent Fuel (Article 10)

If, pursuant to its own legislative and regulatory framework, a Contracting Party has designated spent fuel for disposal, the disposal of such spent fuel shall be in accordance with the obligations of Chapter 3 relating to the disposal of radioactive waste.

According to the current legislation, radioactive waste is defined as radioactive material which is no longer used. Thus spent nuclear fuel for which disposal without reprocessing is foreseen is radioactive waste by definition and must be disposed of accordingly. Up to now, in Switzerland no spent fuel has definitely been declared as waste by its owner.

Section H Safety of Radioactive Waste Management

H.1 General Safety Requirements (Article 11)

Each Contracting Party shall take the appropriate steps to ensure that at all stages of radioactive waste management individuals, society and the environment are adequately protected against radiological and other hazards.

The protection of individuals, society and the environment against radiological and other hazards is subject to the Swiss legislation on radiation protection and on nuclear energy, as detailed in Section E.2, and to the legislation on environmental protection (mainly the Environmental Protection Act and associated ordinances).

Compliance with the legal requirements regarding nuclear safety and radiation protection is verified and enforced by regulatory bodies. These are mainly the Swiss Federal Nuclear Safety Inspectorate ENSI for nuclear facilities, including radioactive waste management facilities, and the Federal Office of Public Health (BAG) for non-NPP practices. The compliance is verified by reviewing safety analysis reports during the licensing steps and by supervising construction and operation particularly through inspections.

Protection of the environment from hazards other than radioactivity is verified in the licensing process of practices by the Federal Office for the Environment (BAFU). During operation, protection of workers is assured by requirements and compliance checks of the Swiss Accident Insurance Institute (Suva). Compliance with the legislation on protection of the general population and the environment from non-radiological hazards is verified by cantonal authorities.

H.1.1 Criticality and Removal of Heat (Clause i)

In so doing, each Contracting Party shall take the appropriate steps to ensure that criticality and removal of residual heat generated during radioactive waste management are adequately addressed.

Criticality and heat removal are attended to during the licensing process of a radioactive waste management facility and during operation, if changes in the operational procedures are planned. These issues are analyzed in the safety analysis report submitted with the licence application and reviewed by the regulatory body. Safety relevant changes to a radioactive waste management facility, including equipment and procedures, require a licence from UVEK or a permit from ENSI. All Swiss radioactive waste management facilities (see Section D.2.3) are in compliance with the requirements of Clause (i).

H.1.2 Generation of Radioactive Waste (Clause ii)

In so doing, each Contracting Party shall take the appropriate steps to ensure that the generation of radioactive waste is kept to the minimum practicable.

Minimization of radioactive waste is required by the Radiological Protection Act as well as the Nuclear Energy Act. The Nuclear Energy Ordinance further details the requirements for

nuclear facilities. The compliance is subject to verification by the regulatory body during licensing review, issuance of operation permits, and regular inspections, and is recorded by appropriate safety indicators. Until now there has never been a reason for a regulatory enforcement action regarding minimization of radioactive waste.

As the actual focus is on clay-rich low-permeable sedimentary formations as potential host rocks for deep geological repositories, it is essential to minimise gas production as a result of decomposition and corrosion processes in the radioactive waste repositories. High gas production rates and associated pressure build-up could possibly lead to rock damage, and consequently, the generation of new pathways for radionuclides. A regulatory research project investigating technical options to minimize the gas production from organic and metallic radioactive waste, respectively, is in progress.

H.1.3 Interdependencies (Clause iii)

In so doing, each Contracting Party shall take the appropriate steps to take into account interdependencies among the different steps in radioactive waste management.

Radioactive waste management is subject to the requirement of optimization formulated in the Radiological Protection Ordinance, thus interdependencies among the different steps must be and in practice are taken into account. As an example of the enforcement in the larger perspective of this obligation, the operation licence for the waste treatment and conditioning facilities of the Central Storage Facility (ZZL) contains the obligation to periodically perform an optimization study comparing the available options for the treatment, conditioning, storage and disposal of radioactive waste. The first such study has been submitted within the application of the permanent operation of the plasma incinerator which start active test operation in 2004. The permit for the permanent operation of the plasma incinerator has been granted in September 2009 by the Swiss Federal Nuclear Safety Inspectorate ENSI.

In addition, the nuclear energy legislation requires the producers of radioactive waste to prepare and submit a comprehensive waste management programme for all types of radioactive waste. The programme has to include

- origin, type and quantity of the radioactive wastes
- geological repositories required including layout concept
- allocation of the waste types to the geological repositories
- realization plan of the geological repositories
- duration and required capacity of interim storage
- financial plan for all the waste management activities until shutdown of the NPPs
- information concept

The first waste management programme was submitted in October 2008 and is presently under regulatory review by BFE and ENSI. The nuclear energy legislation requires the programme to be updated every five years.

H.1.4 Protection of Individuals, Society and the Environment (Clause iv)

In so doing, each Contracting Party shall take the appropriate steps to provide for effective protection of individuals, society and the environment, by applying at the national level suitable protective methods as approved by the regulatory body, in the framework of its national legislation which has due regard to internationally endorsed criteria and standards.

Protection of individuals, society and the environment from the effects of ionizing radiation is a subject of the radiation protection legislation (see Section E.2.2), in which the ICRP system of radiation protection, consisting of justification, optimization and dose limitation, is implemented. The applicable dose limits are compatible with the International Basic Safety Standards (IAEA Safety Series No. 115). In particular, a dose limit for members of the public of 1 mSv effective dose per year and a dose limit for workers of 20 mSv per year are implemented. The protection of the environment against hazards other than radioactivity is the subject of a separate legislation.

Compliance of radioactive waste management facilities with the legislation is ensured during the licensing and operational phase. At each licensing step a safety analysis report demonstrating compliance has to be submitted and is reviewed by the regulatory body. During the operational phase compliance is verified and enforced by regulatory supervision, mainly by inspections. The regulatory supervision includes monitoring of the radioactivity in the environment of the facility. Compliance with the environmental protection legislation is verified by the responsible authorities according to the environmental radiation monitoring programme of the Federal Office of Public Health (BAG).

H.1.5 Biological, Chemical and other Hazards (Clause v)

In so doing, each Contracting Party shall take the appropriate steps to take into account the biological, chemical and other hazards that may be associated with radioactive waste management.

Biological, chemical and other hazards are subject to the environmental protection legislation, which also aims at human health protection, especially with requirements concerning air and water quality. An environmental impact assessment is required for the general licence and for the construction licence. This assessment is reviewed by the competent authorities before the licence is issued. Hazards other than radiation encountered by workers during handling of radioactive waste are covered by general legislation on safety in working places, enforced by supervision by the Swiss Accident Insurance Institute (Suva).

H.1.6 Impacts on Future Generations (Clause vi)

In so doing, each Contracting Party shall take the appropriate steps to strive to avoid actions that impose reasonably predictable impacts on future generations greater than those permitted for the current generation.

Several legal requirements aim to avoid impacts on future generations. The Radiological Protection Act and the Nuclear Energy Act require that all radioactivity hazards be removed from a site in the case that the licence is terminated.

The Nuclear Energy Act requires safe and permanent management and disposal of all radioactive waste. The specific design principles for deep geological repositories and the requirements for the safety case are detailed in the Regulatory Guideline ENSI-G03. Here, the principle is formulated that the risks to humans and the environment arising in the future from geological disposal of radioactive waste may not be greater than those permissible in Switzerland today. ENSI-G03 specifies the following protection criteria for the post closure phase:

- Protection criterion 1: For each future evolution classified as likely, the release of radionuclides may not lead to an individual dose exceeding 0.1 mSv per year.
- Protection criterion 2: Future evolutions classified as less likely that are not considered under protection criterion 1 may not, taken together, constitute an additional individual radiological risk of health detriment exceeding one in a million per year.

There are currently no final disposal facilities for radioactive waste in operation or under construction in Switzerland. However, the requirements on the long-term safety have been observed in the design and planning of disposal facilities, and compliance with them has been verified in the regulatory review of such projects.

H.1.7 Burdens on Future Generations (Clause vii)

In so doing, each Contracting Party shall take the appropriate steps to aim to avoid imposing undue burdens on future generations.

As explained in Section H.1.6, the legal requirements prevent imposing undue burdens on future generations. Regarding disposal, the Regulatory Guideline ENSI-G03 explicitly formulates, as one of the overall objectives of disposal, that the responsibility for geological disposal lies with the generation enjoying the benefits of the energy produced, and no undue burdens may be placed on future generations.

According to the basic design principles as imposed by Article 2 of the Nuclear Energy Ordinance, the repository must be designed in such a way that it can be closed within a few years. Guideline ENSI-G03 further states that after a repository has been closed, no further measures shall be necessary to ensure long-term safety. In the case of an unfavourable development in the boundary conditions that could threaten the safety of the repository or could bring normal closure into question, technical and operational measures have to be put in place for temporary closure, to allow the emplacement zones of a repository to be transformed rapidly into a passively safe state during the operational phase.

Currently the foreseen decommissioning strategy for all Swiss nuclear installations is immediate dismantling.

Sites of past practices in Switzerland needing clean-up measures for reasons of radioactivity are being restored to safe conditions under the supervision of the Federal Office of Public Health (BAG), see Section H.2.2.

H.2 Existing Facilities and Past Practices (Article 12)

H.2.1 Existing Facilities (Clause i)

Each Contracting Party shall in due course take the appropriate steps to review the safety of any radioactive waste management facility existing at the time the Convention enters into force for that Contracting Party and to ensure that, if necessary, all reasonably practicable improvements are made to upgrade the safety of such a facility.

An overview of the existing radioactive waste management facilities is given in Section D.2.3.

- **NPPs:** All Swiss NPPs have on-site waste treatment and conditioning as well as storage facilities for their own operational waste. Construction and operation of these facilities are considered within the larger scope of the NPPs and are subject to the same regime of regulatory supervision and requirements as the NPPs. In particular, they are included in the periodic safety reviews of the NPPs, and their actual status is described when revised safety assessment documents are issued.
- **ZZL:** The Central Storage Facility (ZZL) is operated by Zwiilag and includes storage buildings for spent fuel and all kinds of radioactive waste, conditioning facilities and a plasma incinerator. The operation licence was granted in two parts, in 1995 (for storage) and in 1999 (for conditioning and incineration) after in-depth review of the projects by the regulatory body. Operation permits are needed before active operation can start. The permits are delivered by ENSI when all licence obligations are met. The different parts of the facility are successively entering the operational stage. The storage hall for spent fuel and high level waste and the building for intermediate level waste were commissioned in 2001. The conditioning facilities received operation permit in 2003. The incinerator started active test operation in 2004. In September 2009 a permit for the permanent operation of the plasma incinerator has been granted by the Inspectorate. The storage hall for low level waste has not yet been commissioned. The safety analysis report for the already commissioned storage parts has been updated to the "as built" stage.
- **ZWIBEZ:** This storage facility is located at Beznau NPP and obtained a construction licence and an operation licence in 1991, based on a safety analysis report submitted in 1988. It consists of a storage hall for spent fuel and high level radioactive waste from reprocessing and a storage hall for low level operational waste from Beznau NPP. The ZWIBEZ facility is included, as a part of Beznau NPP, in its periodic safety review. In 2002, Beznau NPP submitted to ENSI such a periodic safety review report. The examination by ENSI was concluded in 2004 with a positive result.
- **PSI:** PSI is a federally funded research institute. It also acts as the National Collection Centre for radioactive waste from medicine, industry and research. At PSI this waste is sorted, conditioned and stored in the Federal Storage Facility (BZL). All radioactive waste management facilities at PSI are nuclear facilities with corresponding licences, and they are supervised by ENSI. All safety relevant changes in facilities or operations require a licence or a permit from ENSI. The pilot incinerator plant at PSI ceased operations at the end of 2002 and is to be decommissioned.

The operation licence for the Federal Storage Facility (BZL) at PSI for radioactive waste from medicine, industry and research was re-issued in 2004, based on a new safety analysis report which was reviewed by the nuclear safety authorities. The day to day waste management operations at PSI are subject to inspections by ENSI, where issues of safety and optimization are addressed. Thus the current safety status of the radioactive waste management facilities at PSI is verified to be in compliance with the legal requirements.

- **Research reactors in the decommissioning stage:** This concerns two reactors at PSI (see Section D.2.7). The first to enter decommissioning was the DIORIT reactor. Its dismantling was licensed in 1994. The decommissioning proceeded under regulatory supervision by ENSI and is now almost complete. Approximately 80% of the biological shield of the reactor was dismantled by the end of 2010. All operations took place in compliance with the applicable legislation. The second reactor, SAPHIR, received the decommissioning licence in 2000. The dismantling work is now almost complete. The Reactor pool and the biological shield have been completely dismantled and conditioned. The facility continues to be operated because it also contains a small storage facility for nuclear research materials. The dismantling work takes place under the regulatory supervision of ENSI and proceeds in compliance with the applicable legislation. The resulting radioactive waste is conditioned and stored in the same way as for the DIORIT reactor.

H.2.2 Past Facilities and Practices (Clause ii)

Each Contracting Party shall in due course take the appropriate steps to review the results of past practices in order to determine whether any intervention is needed for reasons of radiation protection bearing in mind that the reduction in detriment resulting from the reduction in dose should be sufficient to justify the harm and the costs, including the social costs, of the intervention.

One experimental power reactor has been dismantled in Switzerland. This facility, at Lucens in the canton of Vaud, was shut down in 1969 following an accident after a short period of operation, and was later decommissioned. The site was released from regulatory control in 1995 with the exception of a shed containing approximately 240 t of unconditioned, solid radioactive waste in six containers. In 2003, these waste containers were transported to ZZL for storage and conditioning of the waste in view of later disposal. The complete former site at Lucens was released from regulatory control in 2004. The site is, however, subject to the environmental radiation monitoring programme of the Federal Office of Public Health (BAG).

In 1989 the Federal Council decided that the Department of Nuclear Physics at the University of Geneva had completed the decommissioning of the research reactor AGN-201-P and released the site from the former atomic legislation. The fuel elements were transferred to the Paul Scherrer Institute. No radioactive waste resulted from the dismantling of this installation.



Figure 15: Preparation for the transport of the 6 containers from the Lucens facility to ZZL (2003) (Photo: ENSI)

Radioactive waste from industrial facilities (primarily watch industry) that have been closed down in recent years are being transferred to the National Collection Centre at PSI and are dealt with in the same manner as all the other radioactive wastes from medicine, industry and research that are collected by the Centre. Between 1985 und 2004, four campaigns for collecting radium wastes from the watch industry were organised. All participating enterprises were checked for contamination. 30 enterprises which had used radium and two producers of luminous paint were successively decontaminated. In some cases, decontamination was complicated and required complete demolishing of the buildings. A few radium contaminated sites still exist, but the hot spots have been removed. Doses for exposed persons are well below the limits as defined in the Radiological Protection Ordinance.

There are no other past practices in Switzerland that would need intervention for reasons of radiation protection.

H.3 Siting of Proposed Facilities (Article 13)

H.3.1 Safety, Impact and Information (Paragraph 1)

Each Contracting Party shall take the appropriate steps to ensure that procedures are established and implemented for a proposed radioactive waste management facility:

- (i) to evaluate all relevant site-related factors likely to affect the safety of such a facility during its operating lifetime as well as that of a disposal facility after closure;***
- (ii) to evaluate the likely safety impact of such a facility on individuals, society and the environment, taking into account possible evolution of the site conditions of disposal facilities after closure;***
- (iii) to make information on the safety of such a facility available to members of the public;***
- (iv) to consult Contracting Parties in the vicinity of such a facility, insofar as they are likely to be affected by that facility, and provide them, upon their request, with general data relating to the facility to enable them to evaluate the likely safety impact of the facility upon their territory.***

A radioactive waste management facility is a nuclear facility according to the Swiss nuclear energy legislation. The site of a nuclear facility is fixed by the general licence which is a prerequisite for further licences and has to be approved by Parliament (see Section E.2.3). The safety analysis report to be submitted with the general licence application has to include an evaluation of the site-related factors likely to affect the safety of the facility, as well as the likely safety impacts of the facility on individuals, society and the environment. Clauses (i) and (ii) are thus addressed.

The licensing procedure includes a public consultation. The documentation on the project, including the safety analysis report, the regulatory review report and the views and opinions of the cantons, is made available, and any person (also from foreign countries) can give input or raise objections. This fulfils the requirement of Clause (iii).

The Nuclear Energy Act specifically requires that the siting canton as well as neighbouring cantons and countries shall be involved in the decision making regarding the general licence. Furthermore, bilateral agreements have been established with the neighbouring countries (France, Germany, Austria and Italy) with the aim of exchanging information on planned or operating nuclear facilities that are situated close to the common national borders. This fulfils the requirements of Clause (iv).

The site selection process leading to the application for a general licence is not explicitly defined in the legislation. According to Article 5 of the Nuclear Energy Ordinance, however, the federal authorities have developed a procedure for the siting of disposal facilities, which has been approved by the federal government in 2008, see Section B.2. The stepwise procedure focuses mainly on safety related criteria, but socio-economical aspects are also taken into account. Cantons and neighbouring countries are involved in the site selection process as important stakeholders.

H.3.2 Effects on other Contracting Parties (Paragraph 2)

In so doing, each Contracting Party shall take the appropriate steps to ensure that such facilities shall not have unacceptable effects on other Contracting Parties by being sited in accordance with the general safety requirements of Article 11.

For nuclear facilities in general, adequate protection beyond the national borders is effected in practice by the fact that the evaluation of impact is carried out irrespective of national borders. For disposal facilities, this requirement is explicitly stated by Principle (c) of Guideline ENSI-G03 (transboundary protection): The risks resulting from geological disposal of radioactive waste in Switzerland may not be higher in other countries than is permissible in Switzerland. Some nuclear facilities in Switzerland are located close to the German border. In the frame of a bilateral agreement with Germany, German regulatory authorities review licence applications for such nuclear facilities and assess the potential radiological effects according to the German regulations. Results are discussed by the German-Swiss Commission for the Safety of Nuclear Installations (DSK).

H.4 Design and Construction of Facilities (Article 14)

H.4.1 Limitation of Radiological Impacts (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that the design and construction of a radioactive waste management facility provide for suitable measures to limit possible radiological impacts on individuals, society and the environment, including those from discharges or uncontrolled releases.

The procedure for the construction licence for a nuclear facility, including waste management facilities, requires the submission of a safety analysis report with the licence application. This safety analysis report, which is reviewed by the nuclear safety authorities, has to contain the necessary information to verify that the possible radiological impacts on individuals, society and the environment are limited. The evaluation of the radiological impacts must encompass normal operation as well as possible accidental situations.

H.4.2 Decommissioning (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that at the design stage, conceptual plans and, as necessary, technical provisions for the decommissioning of a radioactive waste management facility other than a disposal facility are taken into account.

The Nuclear Energy Act requires, for any nuclear facility, a decommissioning concept at the general licence stage and a more detailed decommissioning plan at the construction licence stage. Under the previous legislation, a similar requirement was applied when granting the general licence to Zwiilag for the Central Storage Facility (ZZL). Further details are given in Section F.6.

H.4.3 Closure of Disposal Facility (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that at the design stage, technical provisions for the closure of a disposal facility are prepared.

The Nuclear Energy Act requires, for a disposal facility, a concept for its closure at the stage of the general licence and a more detailed plan at the stage of the construction licence.

H.4.4 Technologies (Clause iv)

Each Contracting Party shall take the appropriate steps to ensure that the technologies incorporated in the design and construction of a radioactive waste management facility are supported by experience, testing or analysis.

The Nuclear Energy Ordinance requires for any nuclear facility that during design, construction and operation, technologies, materials and organisational structures are employed that are supported by experience and proven to be of high quality. This requirement is therefore also considered in the regulatory review of licence applications and in the regulatory supervision during of the construction phase. During planning, construction and operation, ENSI bases its assessments of nuclear facilities, including radioactive waste management projects, on evaluations taking into account the recent developments in science and technology.

In accordance with the Nuclear Energy Ordinance, the safety-relevant properties of the host rock have to be investigated in greater detail in test areas of a geological repository. Safety-relevant technologies for emplacing the backfill material (or its removal if retrieval is necessary), for retrieving waste packages and for sealing of caverns and tunnels have to be tested and their operational reliability demonstrated.

H.5 Assessment of Safety of Facilities (Article 15)

H.5.1 Safety Assessment (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that before construction of a radioactive waste management facility, a systematic safety assessment and an environmental assessment appropriate to the hazard presented by the facility and covering its operating lifetime shall be carried out.

A safety assessment report is part of the documentation required by the Swiss nuclear energy legislation for each licensing step of a nuclear facility, including radioactive waste management facilities. An environmental impact assessment is required at the general licence and construction licence stages based on the Environmental Protection Act. ENSI carries out comprehensive reviews of the safety assessments, and BAFU reviews the environmental impact assessment.

H.5.2 Post-Closure Safety Assessment (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that in addition, before construction of a disposal facility, a systematic safety assessment and an environmental assessment for the period following closure shall be carried out and the results evaluated against the criteria established by the regulatory body.

For a disposal facility, a safety assessment addressing the period after closure (long term safety) is required at each licensing step. It is reviewed by the competent supervisory authority ENSI based on the safety principles and protection criteria as stipulated in the Guideline ENSI-G03. An environmental impact assessment of non-radiological hazards is a requirement of the Environmental Protection Act. It applies also to the period following closure and is reviewed by BAFU. Environmental impact issues are reviewed from BAFU.

H.5.3 Update of Safety Assessment (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that before the operation of a radioactive waste management facility, updated and detailed versions of the safety assessment and of the environmental assessment shall be prepared when deemed necessary to complement the assessments referred to in paragraph (i).

The safety assessment of a radioactive waste management facility has to be updated by the applicant and reviewed by ENSI at each step of the licensing procedure (general licence, construction licence and operation licence) and also before and after closure of the disposal facility (cf. Guideline ENSI-G03). Furthermore, the Nuclear Energy Act (Article 22.e) requires periodic safety reviews during the lifetime of the NPPs, including their radioactive waste management facilities. The periodic safety reviews are examined by ENSI. In addition, operators of any nuclear facility in Switzerland (not only NPPs) have to perform systematic safety assessments. The conditions and requirements for such assessments in storage facilities have been laid down in the new Guideline ENSI-G04 (the former HSK-R-29) defining the requirements for the storage of radioactive waste and spent fuel. For storage facilities a systematic safety assessments report is requested with a frequency of 10 years.

H.6 Operation of Facilities (Article 16)

H.6.1 Operation Licence (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that the licence to operate a radioactive waste management facility is based upon appropriate assessments as specified in Article 15 and is conditional on the completion of a commissioning programme demonstrating that the facility, as constructed, is consistent with design and safety requirements.

The operation licence for a nuclear facility, including radioactive waste management facilities, is granted based, among other things, on a safety analysis report. ENSI supervises the construction of the facility and makes sure that the facility is built in accordance with the construction licence.

The Nuclear Energy Act specifically requires, for the operation licence of a disposal facility to be granted, that the findings gained during construction confirm the suitability of the site. The operation licence includes the obligation that active operation of the facility requires a corresponding permit from ENSI. This permit is issued after the commissioning programme has demonstrated that the facility fulfils all safety and other requirements. The regulatory process for the commissioning of nuclear facilities is specified in the Guideline HSK-R-30.

H.6.2 Defining and Revising Operational Limits and Conditions (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that operational limits and conditions, derived from tests, operational experience and the assessments as specified in Article 15 are defined and revised as necessary.

ENSI supervises and inspects the commissioning and operation of each nuclear facility including radioactive waste management facilities. This includes the review and approval of operational conditions for the particular nuclear facility. The Nuclear Energy Ordinance stipulates for storage and disposal facilities that a storage permit issued by ENSI is required for each type of waste package (defined in ISRAM, see Section D.1). According to the Nuclear Energy Ordinance any changes to operational limits and conditions require a permit by ENSI that has the competence to revise operational limits and conditions as necessary for reasons of safety.

H.6.3 Accordance with Established Procedures (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that operation, maintenance, monitoring, inspection and testing of a radioactive waste management facility are conducted in accordance with established procedures. For a disposal facility the results thus obtained shall be used to verify and to review the validity of assumptions made and to update the assessments as specified in Article 15 for the period after closure.

Operation, maintenance and monitoring of nuclear facilities, including radioactive waste management facilities, are specified in the operation licence. The corresponding procedures as described in the facility operation documents are reviewed by ENSI. Their adequacy is a condition for issuing the permit to start operation. ENSI is entrusted with the supervision of nuclear facilities and carries out inspections according to an annual inspection plan. ENSI is empowered to enforce compliance with all requirements.

H.6.4 Engineering and Technical Support (Clause iv)

Each Contracting Party shall take the appropriate steps to ensure that engineering and technical support in all safety-related fields are available throughout the operating lifetime of a radioactive waste management facility.

According to the Nuclear Energy Act, the fulfilment of requirements regarding the staff and the organisation is a prerequisite for the granting of the operation licence for a nuclear facility.

The requirements concerning staff and organisation are outlined in the Nuclear Energy Ordinance (Article 30) and more specifically elaborated in the Guidelines ENSI-G07, ENSI-B10 and ENSI-B13. They include the availability of engineering and technical support. ENSI inspects and supervises the qualification of the personnel for nuclear facilities including radioactive waste management facilities. ENSI has the competence to intervene if it observes that a lack of technical or engineering support could impact on the safety of the facility.

H.6.5 Characterization and Segregation of Radioactive Waste (Clause v)

Each Contracting Party shall take the appropriate steps to ensure that procedures for characterization and segregation of radioactive waste are applied.

According to the Nuclear Energy Ordinance, conditioning of radioactive waste requires an approval from ENSI. The approval depends, among other things, on the measures taken to ensure that the properties of the waste and its characterization are optimal in view of the waste management steps following conditioning. The former point includes that attention is paid to segregation where this is beneficial.

H.6.6 Reporting of Incidents (Clause vi)

Each Contracting Party shall take the appropriate steps to ensure that incidents significant to safety are reported in a timely manner by the holder of the licence to the regulatory body.

The requirements regarding the regular reporting (monthly, quarterly and yearly) and the reporting of incidents are specified in the Nuclear Energy Ordinance and in the Regulatory Guidelines ENSI-B02 und ENSI-B03 (see Section G.6.5).

H.6.7 Collection and Analysis of Operating Experience (Clause vii)

Each Contracting Party shall take the appropriate steps to ensure that programmes to collect and analyse relevant operating experience are established and that the results are acted upon, where appropriate.

The Nuclear Energy Act requires the operator of a nuclear facility, including radioactive waste management facilities, to conduct systematic safety evaluations of his facility and to observe and analyse operating experience gained in comparable facilities. The Nuclear Energy Ordinance further requires the operator to include in the safety evaluations the operating experience made and to determine the relevance for his facility of the operating experience made in comparable facilities.

H.6.8 Decommissioning Plans (Clause viii)

Each Contracting Party shall take the appropriate steps to ensure that decommissioning plans for a radioactive waste management facility other than a disposal facility are prepared and updated, as necessary, using information obtained during the operating lifetime of that facility, and are reviewed by the regulatory body.

The Nuclear Energy Act and the Nuclear Energy Ordinance require updating of decommissioning plans for nuclear facilities on a regular basis (10 years cycle) and, as necessary, taking account of changes made to the facilities, changes in the regulations and technological development. The Ordinance on the Decommissioning and Waste Management Funds requires a periodical update of the decommissioning cost estimate. The operators of the NPPs have elaborated detailed decommissioning studies for their facilities. These studies were revised in 2006 and reviewed and approved by ENSI in 2007. A new revision of the decommissioning studies will be submitted by the end of 2011.

H.6.9 Closure of Disposal Facility (Clause ix)

Each Contracting Party shall take the appropriate steps to ensure that plans for the closure of a disposal facility are prepared and updated, as necessary, using information obtained during the operating lifetime of that facility and are reviewed by the regulatory body.

Article 13 (lit. c) of the Nuclear Energy Act requires a concept for the monitoring phase and a concept for closure of the disposal facility as a prerequisite for granting the general licence.

A project for the monitoring phase and a plan for closure are required for the construction licence (Nuclear Energy Act, Article 16, lit. e).

Furthermore, the licence holder is obliged to regularly update the project for the monitoring phase and the plan for the closure of the disposal facility (Nuclear Energy Act Article 22, lit. k), taking account of changes made to the facilities, changes in the regulations and technological development.

H.7 Institutional Measures after Closure (Article 17)

H.7.1 Keeping Records (Clause i)

Each Contracting Party shall take the appropriate steps to ensure that after closure of a disposal facility records of the location, design and inventory of that facility required by the regulatory body are preserved.

The Nuclear Energy Act requires the Federal Council (federal government) to take the necessary steps to ensure that information on a closed disposal facility, including location, design and inventory is preserved. The required duration of the preservation is not specified. The Nuclear Energy Act prescribes long-term marking of the disposal facility.

The Nuclear Energy Ordinance requires the canton to enter in the land register information on the protection area defined for the disposal facility (see Section H.7.2).

According to the requirements of Article 71 of the Nuclear Energy Ordinance and Guideline ENSI-G03, respectively, the documentation related to the closure of the disposal facility has to contain at least the following information:

- A description of the closed facility and its location. This includes the location and extent of the underground installations and the geometry and properties of the surrounding rock layers;
- Information on each emplaced waste package, with its position and the documentation produced for its conditioning and emplacement;
- Information on interim storage and any subsequent treatment of waste packages in so far as this relates to properties of the waste packages that deviate from the documented standard design and the information is relevant for possible retrieval of the waste or long-term safety;
- A summary of the results from the monitoring phase;
- Results of the updated safety assessment.

The owner of the disposal facility is obliged to hand over the documentation to the competent Federal Department (UVEK) after closure of the facility or after termination of the extended monitoring phase (Article 71, Nuclear Energy Ordinance). At least three copies of this documentation have to be provided following final closure of the repository and archived in different locations. The long-term durability of the documentation has to be demonstrated and the required maintenance measures explained (cf. ENSI-G03).

H.7.2 Institutional Controls (Clause ii)

Each Contracting Party shall take the appropriate steps to ensure that after closure of a disposal facility active or passive institutional controls such as monitoring or access restrictions are carried out, if required.

The safe and permanent disposal of radioactive waste is required by the Nuclear Energy Act to be realized in such a way that the long-term safety does not rely on active surveillance and maintenance. However, continuing monitoring after closure of a disposal facility is allowed and foreseen. The Nuclear Energy Act requires establishing a protection area around a disposal facility. This is the underground area where intrusions may impair the long-term safety of the disposal facility. It includes all parts of the repository, the host rock area relevant for the hydraulic isolation of the repository, and the host rock area providing a significant contribution to the retention of released radionuclides. The protection area is defined provisionally in the general licence and definitively in the operation licence and is entered in the land register of the canton. Future activities such as drillings, underground constructions or blastings, which may affect the protection area of a disposal facility, are subject to authorization by UVEK. Such authorizations may be granted provided the long-term safety of the disposal facility will not be impaired by the planned activities.

Since there are no disposal facilities to be closed in Switzerland in the near future, further details of the institutional controls after closure have not been decided yet. The Nuclear Energy Act allocates the corresponding decisions to the federal government.

H.7.3 Intervention Measures (Clause iii)

Each Contracting Party shall take the appropriate steps to ensure that after closure of a disposal facility if, during any period of active institutional control, an unplanned release of radioactive materials into the environment is detected, intervention measures are implemented, if necessary.

Switzerland has implemented a national monitoring programme of the radioactivity in the environment. This monitoring is performed by the Federal Office of Public Health (BAG). The environment of a closed disposal facility will be subject to the environmental radiation monitoring programme. The intervention measures to be taken in the case of increased environmental radiation are established by the radiation protection legislation and by the Ordinance on the Emergency Organisation in Case of Increased Radioactivity. The responsibility for such potential intervention measures lies with the Federal State.

Section I Transboundary Movement (Article 27)

I.1 General Requirements (Paragraph 1)

Each Contracting Party involved in transboundary movement shall take the appropriate steps to ensure that such movement is undertaken in a manner consistent with the provisions of this Convention and relevant binding international instruments.

I.1.1 Authorization by State of Destination (Clause i)

In so doing, a Contracting Party which is a State of origin shall take the appropriate steps to ensure that transboundary movement is authorized and takes place only with the prior notification and consent of the State of destination.

The import and export of radioactive material are subject to an authorization issued under the Nuclear Energy Act and the Nuclear Energy Ordinance (for nuclear material and radioactive waste) or the Radiological Protection Act and the Radiological Protection Ordinance (for other radioactive materials). As a general rule, export of radioactive waste for conditioning, storage or disposal abroad is prohibited. Exceptionally, a licence can be granted under restrictive conditions as listed in the Nuclear Energy Act, including the agreement of the state of destination and the obligation for the waste owner to take back the exported waste if necessary. Since sea dumping of radioactive waste ceased in the early 1980's, no radioactive waste has been exported from Switzerland for disposal purposes. Radioactive waste has been exported in the past for the purpose of treatment and conditioning, the conditioned waste being subsequently returned to Switzerland.

Export of spent fuel and radioactive waste for reprocessing, conditioning, storage or disposal, or for research purposes, is possible but subject to authorization.

1) A licence may be issued if the following conditions are met:

- the protection of humans and the environment is assured, and nuclear safety and security are guaranteed;
- there are no conflicting reasons associated with non-proliferation for nuclear arms, in particular international control measures that are not binding under international law but are supported by Switzerland;
- no sanctions have been imposed under the Embargo Act of 22 March 2002;
- the required insurance cover exists in accordance with the Nuclear Energy Liability Act of 18 March 1983;
- there are no conflicting commitments under international law, and Switzerland's external security is not affected;
- the persons responsible for the installation concerned possess the necessary expertise.

2) A licence may be issued for the export of spent fuel elements for reprocessing purposes if the conditions cited in the above paragraph 1) and in addition the following conditions are met in full:

- the country of destination has formally consented to the import of spent fuel elements for reprocessing purposes in a treaty signed under international law, and Switzerland and the country concerned have formally agreed on the terms governing the return of the resulting waste;
 - the country of destination has a suitable reprocessing plant at its disposal that fulfils the latest international state of the art in science and technology;
 - all countries concerned have given their consent to the transit of the spent fuel elements;
 - the exporter has entered into a binding agreement with the recipient of the spent fuel elements that has been approved by the Federal Council or its designated authority, according to which the exporter undertakes to accept any waste matter that may result from reprocessing, and, if applicable, the return of any spent fuel elements that may not have been reprocessed;
 - the country of destination has ratified the relevant international treaties concerning the safety of nuclear installations and the handling of spent fuel elements and radioactive waste;
 - reprocessing is monitored by an international organisation;
 - agreements have been concluded governing the use of the entire quantity of separated plutonium resulting from the reprocessing of mixed-oxide fuel elements.
- 3) In the case of export of radioactive waste for conditioning, the conditions cited in the paragraph 1) and in addition the following conditions must be met:
- the country of destination has consented to the import of radioactive waste for conditioning purposes in an agreement under international law;
 - the country of destination has a suitable waste management installation that corresponds to the latest international standards of science and technology;
 - all countries concerned have given their consent to the transit of the radioactive waste in question;
 - the exporter has entered into a binding agreement with the importer of the radioactive waste that has been approved by the Federal Council or its designated authority and which stipulates that the exporter shall take back any waste that may result from conditioning or, if applicable, any radioactive waste that may not have been conditioned.
- 4) A licence for the export of radioactive waste for storage or disposal may be granted by way of exception if the first three conditions cited in the above paragraph 3) are met in addition to the conditions cited in the paragraph 1), and if the exporter has entered into a binding agreement with the importer of the radioactive waste that has been approved by the authority designated by the Federal Council and which stipulates that the exporter shall take back the consignment if necessary.

Authorizations were in the past regularly issued in the context of the reprocessing contracts between the Swiss utilities and AREVA NC (France) and NDA (UK) under the Atomic Act of 1959, which is no longer in force. In both cases there was and still is an agreement at

government level between Switzerland and the country of reprocessing. Under the terms of these agreements Switzerland agrees to have the radioactive waste resulting from reprocessing returned to Switzerland in due course.

The Nuclear Energy Act introduces a 10-year moratorium on the export of spent fuel for the purpose of reprocessing as from 1 July 2006 (see Section B.1). It can be prolonged by Parliament decision for another 10 years at most. The return of waste from reprocessing to Switzerland is not affected by this moratorium.

According to the Nuclear Energy Act (Article 10) air transport within the Swiss airspace of nuclear materials containing plutonium is prohibited. Small quantities (up to 15 gr) are exempted from the prohibition, but such transports are subject to authorisation under the Radiological Protection Act.



Figure 16: Transport of spent fuel from the Leibstadt NPP (Photo KKL)

I.1.2 Movements through States of Transit (Clause ii)

In so doing, transboundary movement through States of transit shall be subject to those international obligations which are relevant to the particular modes of transport utilized.

Switzerland is a party to the European Agreement on the International Carriage of Dangerous Goods by Road (ADR) and by Rail (RID). Air transport is covered by the ICAO Dangerous Goods Regulations and transport on the river Rhine by the ADN (Accord européen relatif au transport international des marchandises dangereuses par voies de navigation intérieures). Licences for export are not issued unless the international obligations relevant to the modes of transport used are fulfilled.

I.1.3 Requirements for State of Destination (Clause iii)

In so doing, a Contracting Party which is a State of destination shall consent to a transboundary movement only if it has the administrative and technical capacity, as well as the regulatory structure, needed to manage the spent fuel or the radioactive waste in a manner consistent with this Convention.

The Radiological Protection Act prohibits the import of radioactive waste not originally arising from Switzerland for disposal purposes unless under an international agreement.

The import of radioactive waste originating from other countries can be exceptionally allowed if

- 1) Switzerland has consented to the import of radioactive waste for disposal purposes in an agreement under international law;
- 2) Switzerland has a suitable nuclear facility that fulfils the latest international standards in science and technology necessary to handle such waste;
- 3) all countries concerned give their consent to the transit of radioactive waste;
- 4) the importer and the exporter of the radioactive waste consignment have signed a legally binding agreement that has been approved by the country of origin and stipulates that the exporter shall accept the consignment if it has to be returned.

Switzerland has the administrative and technical capacity, as well as the appropriate regulatory structure, so that it would be in a position to manage imported spent fuel or radioactive waste in a manner consistent with the Convention.

I.1.4 Meeting the Requirements for State of Destination (Clause iv)

In so doing, a Contracting Party which is a State of origin shall authorize a transboundary movement only if it can satisfy itself in accordance with the consent of the State of destination that the requirements of Clause iii are met prior to transboundary movement.

According to the Nuclear Energy Act a licence is required for the export of spent fuel or radioactive waste. The conditions are explained in detail therein (see I.1.1). They ensure that the requirements of Article 27 Paragraph 1 Clause iv of the Convention are fulfilled.

I.1.5 Re-entry in Case of Non-Conformity (Clause v)

In so doing, a Contracting Party which is a State of origin shall take the appropriate steps to permit re-entry into its territory, if a transboundary movement is not or cannot be completed in conformity with this Article, unless an alternative safe arrangement can be made.

The Nuclear Energy Act requires explicitly a binding agreement between the exporter and the importer concerning the re-entry into Switzerland, if necessary, of radioactive waste to be exported for conditioning or disposal, as a condition for issuing the export licence.

The same applies for spent fuel for reprocessing or disposal.

I.2 Shipment South of Latitude 60 (Paragraph 2)

A Contracting Party shall not licence the shipment of its spent fuel or radioactive waste to a destination south of latitude 60 degrees South for storage or disposal.

In November 1990 Switzerland has acceded to the Antarctic Treaty. According to article 5 and 6 of the treaty the disposal of radioactive waste is prohibited in the area south of 60° South latitude.

Section J Disused Sealed Sources (Article 28)

J.1 Possession, Remanufacturing and Disposal (Paragraph 1)

Each Contracting Party shall, in the framework of its national law, take the appropriate steps to ensure that the possession, remanufacturing or disposal of disused sealed sources takes place in a safe manner.

Handling of radiation sources requires a licence according to the Radiological Protection Act. The Federal Office of Public Health (BAG) maintains and updates a list of the existing sealed radiation sources in the licence holder database. The possession of such sources is subject to certain obligations as detailed in the following paragraph. It is therefore in the interest of the owner to deliver disused sources as soon as possible to the National Collection Centre. The costs of this process are borne by the owner. In case of orphan sources, the regulatory agencies (BAG and Suva) organise the delivery to the National Collection Centre at PSI, and the Federal State takes over all expenses.

The use of sealed radiation sources is regulated by the Radiological Protection Act and the corresponding Ordinances. The radiation protection legislation requires minimization of radioactive waste. According to this requirement, disused sealed sources shall, as far as possible, be recycled for further use. If this is not possible, disused sealed sources are to be managed as radioactive waste. Non recyclable disused sealed sources must thus be delivered to the National Collection Centre for radioactive waste at PSI. PSI is responsible for the conditioning and storage of such sources and, eventually, for delivering them to a radioactive waste disposal facility.

J.2 Re-entry into Territory (Paragraph 2)

A Contracting Party shall allow for re-entry into its territory of disused sealed sources if, in the framework of its national law, it has accepted that they be returned to a manufacturer qualified to receive and possess the disused sealed sources.

There are no any more manufacturers of sealed radiation sources in Switzerland. Therefore, no authorization for re-entry into Swiss territory of disused sealed sources for the purpose of recycling has been applied for. However, Switzerland would allow re-entry into its territory of disused sealed sources if facilities authorized to manufacture and recycle such devices existed in Switzerland. The prerequisites for such an import are set forth in the Radiological Protection Ordinance.

Section K Planned Activities to Improve Safety

As is shown in the present report, the safety of spent fuel management and the safety of radioactive waste management in Switzerland are in compliance with the obligations of the Convention. There is thus no imminent need for measures to improve safety in Switzerland. However, Switzerland strives for continuing improvement of safety. In this regard, the following activities may be mentioned.

Completion of ENSI regulatory guidelines

The new legislation on nuclear energy, which was put into force on 1 February 2005, requests several further ordinances which are currently under development. Also the full set of regulatory guidelines issued by ENSI is being checked against and adapted to the new legislation and complemented where necessary or useful. International guidelines (e.g. the IAEA Safety Standards) and the WENRA Safety Reference Levels are also considered. Several guidelines have already been updated (see Section L.2.2), and many are in the final stage of revision. The completion of the set of ENSI regulatory guidelines is expected to take another one or two years.

Site selection process for geological repositories

A broad, stepwise site selection process for geological repositories has been approved by the Federal Council. The implementer Nagra (on behalf of the utilities) proposed potential siting regions. Cantons and the neighbouring countries have been consulted after the completion of the safety review process. Local participation committees are formed to discuss social and economical questions of the siting of surface facilities for a geological repositories. Safety related questions and concerns are being dealt with in a special Forum consisting of the safety authorities, independent experts, implementers, other interest groups and representatives of the cantons, the neighbouring countries and the siting regions.

Actions taken by the ENSI as result of the Fukushima events

On March 14th 2011 following the nuclear accident in Fukushima the Swiss Federal Nuclear Safety Inspectorate ENSI was instructed to perform an analysis of the events in Fukushima in order to draw the appropriate lessons for the existing Swiss nuclear power plants.

ENSI has addressed the licensees with a series of rulings so that the required reassessment of the design is performed in a timely manner. As external initiating events earthquakes, flooding and combinations thereof must be considered. The analyses had to be submitted by the end of June 2011 (flooding) and will be submitted by the end of March 2012 (earthquake and combinations).

Switzerland has a low to middle seismicity. In 2007 the results of the Pegasus study (a state-of-the-art probabilistic seismic hazard study for the NPP sites conducted with a SSHAC level 4 type of procedure) were published and it was recognized that seismic hazards had been underestimated in the past. As a consequence the operators were asked to consider the new hazard profiles in their deterministic and probabilistic studies. At the same time a new project (the so called Pegasus Refinement Project whose results are due by the end of 2012) has been launched with the aim of refining the local interaction models and trying to reduce the uncertainties in the Pegasus results.

As regards external flooding events detailed analyses with the most modern methods have been recently performed in 2008 within the site evaluation related to the new build projects (all of them on existing sites). Therefore the ENSI reached the conclusion that there is no immediate threat since the hazard profiles of the NPP sites in Switzerland are well known and no significant changes are expected to these because of the lessons learned from the March 11th earthquake and tsunami in Japan.

ENSI has ordered the licensees to make provisions (by June 1st 2011) for an external storage facility with portable equipment for accident management that can be transported to the NPP site by helicopter. Additionally, if not already existing, the plants have to install permanent connections to hook the external equipment (deadline is the end of 2012).

ENSI requested information on the spent fuel pools and on main cooling water systems. The review of the plant specific documentation highlighted some inadequacies (depending on the plant: insufficient proof of the spent fuel pool coolability, lack of a diverse main cooling water source, lack of instrumentation display in the emergency control room). ENSI ordered the licensees to define measures by the end of August 2011 to solve the identified problems.

Additional topics (e.g. prolonged loss of offsite power and prolonged station blackout) have not been addressed yet, but they will be dealt with in the frame of the EU stress test procedure.

Section L Annexes

L.1 List of Abbreviations

ADR	European Agreement concerning the International Carriage of Dangerous Goods by Road
ADN	Accord européen relatif au transport international des marchandises dangereuses par voies de navigation intérieures
AGNEB	Interdepartmental Working Group on Radioactive Waste Management
ALARA	“As low as reasonably achievable”
ATA	Alpha-toxic waste
BAFU	Federal Office for the Environment
BAG	Federal Office of Public Health
BFE	Federal Office of Energy
BWR	Boiling water reactor
BZL	Federal Storage Facility at PSI for all non-nuclear radioactive waste originating from medicine, industry and research
BST ABCN	The Federal Headquarters of Response in case of Nuclear, Biological, Chemical, and Natural events
DSK	German-Swiss Commission for the Safety of Nuclear Installations
ENSI	Swiss Federal Nuclear Safety Inspectorate (Eidgenössisches Nuklearsicherheitsinspektorat), Swiss regulatory body as from 1 January 2009
ETH	Swiss Federal Institute of Technology
HAA	High level waste (hochaktive Abfälle)
HLW	High level waste
HSK	Swiss Federal Nuclear Safety Inspectorate (Hauptabteilung für die Sicherheit der Kernanlagen), Swiss regulatory body until 31 December 2008
IAEA	International Atomic Energy Agency
ICAO	International Civil Aviation Organisation
ICRP	International Commission on Radiation Protection
ISRAM	Information System for Radioactive Materials
KNE	Commission for Nuclear Waste Disposal
KNS	Swiss Federal Nuclear Safety Commission
LILW_LL	Low and intermediate level waste, long-lived
LILW_SL	Low and intermediate level waste, short-lived
MOX	Mixed oxide fuel
NAZ	National Emergency Operations Centre
Nagra	National Cooperative for the Disposal of Radioactive Waste
NBCN	Nuclear, biological, chemical and natural
NDA	Nuclear Decommissioning Authority (formerly BNFL)
NPP	Nuclear power plant
OECD	Organisation of Economic Co-operation and Development

PSI	Paul Scherrer Institute at Villigen and Würenlingen: PSI operates the National Collection Centre for non-nuclear radioactive waste, as well as the BZL
PWR	Pressurised water reactor
QM	Quality management
RID	Regulations concerning the International Carriage of Dangerous Goods by Rail
SMA	Low and intermediate level waste (schwach- und mittelaktive Abfälle)
Suva	Swiss Accident Insurance Institute
SVTI	Swiss Association for Technical Inspections
UVEK	Federal Department of the Environment, Transport, Energy and Communications
WENRA	Western European Nuclear Regulators' Association
ZWIBEZ	Interim storage facility at Beznau NPP
Zwilag	Company that owns and operates ZZL
ZZL	Central Storage Facility at Würenlingen

L.2 References to National Laws and Regulations

L.2.1 Legislation (Acts and Ordinances)

Acts

The main legal provisions for authorisations and regulation, supervision and inspection are based on the following legislation:

- Nuclear Energy Act of 21 March 2003 (Loi du 21 mars 2003 sur l'énergie nucléaire), RS³ 732.1.
- Swiss Federal Nuclear Safety Inspectorate Act of 22 June 2007 (Loi du 22 juin 2007 sur l'Inspection fédérale de la sécurité nucléaire), RS 732.2.
- Federal Act of 7 October 1983 on the Protection of the Environment (Loi fédérale du 7 octobre 1983 sur la protection de l'environnement), RS 814.01.
- Water Protection Act of 24 January 1991 (Loi fédérale du 24 janvier 1991 sur la protection des eaux), RS 814.20.
- Radiological Protection Act of 22 March 1991 (Loi du 22 mars 1991 sur la radioprotection), RS 814.50.

Ordinances

There are a number of federal ordinances (lower level of legislation) of relevance to nuclear energy legislation. The most important are as follows:

³ RS (Recueil Systématique) refers to the classification system of the Swiss legislation.

- Ordinance on Alerting and Alarming of 18 August 2010 (Ordonnance du 18 août 2010 sur l'alerte et l'alarme), RS 520.12.
- Ordinance on the Organisation of Operations in Connection with ABC and Natural Events of 20 October 2010 (Ordonnance du 20 octobre 2010 sur l'organisation des interventions en cas d'événement ABC et d'événement naturel), RS 520.17.
- Ordinance on the National Emergency Operations Centre of 17 October 2007 (Ordonnance du 17 octobre 2007 sur la Centrale nationale d'alarme), RS 520.18.
- Nuclear Energy Ordinance of 10 December 2004 (Ordonnance du 10 décembre 2004 sur l'énergie nucléaire), RS 732.11.
- Ordinance on Hazard Assumptions and the Assessment of the Protection against Accidents in Nuclear Installations of 17 June 2009 (Ordonnance du DETEC du 17 juin 2009 sur les hypothèses de risque et sur l'évaluation de la protection contre les défaillances dans les installations nucléaires), RS 732.112.2.
- Ordinance on the Methodology and the General Conditions for Checking the Criteria for the Provisional Shutdown of Nuclear Power Plants of 16 April 2008 (Ordonnance du DETEC du 16 avril 2008 sur la méthode et sur les standards de vérification des critères de la mise hors service provisoire d'une centrale nucléaire), RS 732.114.5.
- Ordinance on the Requirements for the Personnel of Nuclear Installations of 9 June 2006 (Ordonnance du 9 juin 2006 sur les qualifications du personnel des installations nucléaires), RS 732.143.1.
- Ordinance on the Federal Nuclear Safety Commission of 12 November 2008 (Ordonnance du 12 novembre 2008 sur la Commission fédérale de sécurité nucléaire), RS 732.16.
- Ordinance on the Decommissioning and Waste Management Funds for Nuclear Installations of 7 December 2007 (Ordonnance du 7 décembre 2007 sur le fonds de désaffectation et sur le fonds de gestion des déchets radioactifs pour les installations nucléaires), RS 732.17.
- Ordinance on the Swiss Federal Nuclear Safety Inspectorate ENSI of 12 November 2008 (Ordonnance du 12 novembre 2008 sur l'Inspection fédérale de la sécurité nucléaire), SR 732.21.
- Ordinance on Emergency Preparedness in the Vicinity of Nuclear Installations of 20 October 2010 (Ordonnance du 20 octobre 2010 sur la protection en cas d'urgence au voisinage des installations nucléaires), RS 732.33.
- Radiological Protection Ordinance of 22 June 1994 (Ordonnance du 22 juin 1994 sur la radioprotection), RS 814.501.
- Ordinance on the Supply of the Population with Iodine Tablets of 1st July 1992 (Ordonnance du 1^{er} juillet 1992 sur la distribution de comprimés d'iode à la population), RS 814.52.
- Ordinance on the Use of Unsealed Radiation Sources of 21 November 1997 (Ordonnance du 21 novembre 1997 sur l'utilisation des sources radioactives non scellées), RS 814.554.

- Ordinance on the Collection of Radioactive Waste of 3 September 2002 (Ordonnance du 3 septembre 2002 sur les déchets radioactifs soumis à l'obligation de livraison), RS 814.557.

L.2.2 List of the Inspectorate's (ENSI) regulatory guidelines

Status: October 2011

Languages: All guidelines are originally written in German; guidelines denoted by e or f have also been translated into English or French. In the case of guidelines denoted by an asterisk* only the title has been translated into English.

Note: All guidelines are available on the ENSI web site (www.ensi.ch).

guideline	Title of guideline	Date of current issue
ENSI-G01*	Safety classification for existing nuclear power plants	January 2011
ENSI-G03/e	Specific design principles for deep geological repositories and requirements for the safety case	April 2009
ENSI-G04*	Design and operation of storage facilities for radioactive waste and spent fuel assemblies	September 2010
ENSI-G05*	Transport and storage casks for interim storage	April 2008
ENSI-G07/f*	Organisation of nuclear installations	April 2008
ENSI-G11*	Vessels and piping classified as important to safety: Engineering, manufacture and installation	May 2010
ENSI-G13/f*	Radiation protection measuring devices in nuclear installations: Concepts, requirements and testing	February 2008
ENSI-G14/f*	Calculation of radiation exposure in the vicinity due to emission of radioactive substances from nuclear installations	December 2009
ENSI-G15/f*	Radiation protection objectives for nuclear installations	November 2010
ENSI-A01*	Requirements for deterministic accident analysis for nuclear installations: Scope, methodology and boundary conditions for technical accident analysis	July 2009
ENSI-A04*	Application documents for modifications to nuclear installations requiring a permit	September 2009
ENSI-A05/e	Probabilistic Safety Analysis (PSA): Quality and Scope	January 2009
ENSI-A06/e	Probabilistic Safety Analysis (PSA): Applications	May 2008
ENSI-A08*	Analysis of source terms: Extent, methodology and boundary conditions	February 2010
ENSI-B01	Ageing management	August 2011
ENSI-B02*	Periodic reporting by the nuclear installations	August 2011
ENSI-B03*	Reports for nuclear installations	February 2010
ENSI-B04/f*	Clearance measurement of materials and areas from controlled zones	August 2009
ENSI-B05*	Requirements for the conditioning of radioactive waste	February 2007
ENSI-B06*	Vessels and piping classified as important to safety: Maintenance	May 2010
ENSI-B07*	Vessels and piping classified as important to safety: Qualification of non-destructive testing	September 2008
ENSI-B09	Collecting and reporting of doses of persons exposed to radiation	July 2011
ENSI-B10*	Initial training, recurrent training and continuing education of personnel	October 2010

guideline	Title of guideline	Date of current issue
ENSI-B11/f*	Emergency exercises	November 2007
ENSI-B12/f*	Emergency preparedness in nuclear installations	April 2009
ENSI-B13/f*	Training and continuing education of the radiation protection personnel	November 2010
ENSI-B14*	Maintenance of electrical and instrumentation and control equipment classified as important to safety	December 2010
HSK-R-04*	Supervisory procedures for the construction of nuclear power plants, project engineering of structures	December 1990
HSK-R-06*	Safety classification, classification limits and procedures for construction of equipment in nuclear power plants with light-water reactors	May 1985
HSK-R-07*	Guideline for the area of radiation protection of the nuclear installations and the Paul Scherrer Institute	June 1995
HSK-R-08*	Structural safety for nuclear power plants, Swiss Federal supervising procedures for construction work	May 1976
HSK-R-12*	Collecting and reporting of doses of personnel exposed to radiation in nuclear installations and the Paul Scherrer Institute	October 1997
HSK-R-16*	Seismic instrumentation of the plant	February 1980
HSK-R-31*	Supervisory procedures for construction and backfitting of nuclear power plants, 1E classified electrical equipments	October 2003
HSK-R-35*	Supervisory procedures for construction and modification of nuclear power plants, systems engineering	May 1996
HSK-R-39*	Collection data of radiation sources and material testers in nuclear installations	January 1990
HSK-R-40*	Filtered containment venting of light-water reactors. Design requirements	March 1993
HSK-R-46*	Requirements for the application of computer-based instrumentation and control important to safety in nuclear power plants	April 2005
HSK-R-48*	Periodic safety review of nuclear power plants	November 2001
HSK-R-49*	Requirements important to safety for security of nuclear installations	December 2003
HSK-R-50*	Requirements important to safety for fire protection in nuclear installations	March 2003
HSK-R-60*	Inspection of fuel element production	March 2003
HSK-R-61*	Supervisory procedures when using nuclear fuel and control-rods in light-water reactors	June 2004
HSK-R-101/e	Design Criteria for Safety Systems of Nuclear Power Plants with Light Water Reactors	May 1987
HSK-R-102/e	Design criteria for the protection of safety equipment in nuclear power stations against the consequences of airplane crash	December 1986
HSK-R-103*	On-site measures against the consequence of severe accident	November 1989

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Additional to this report...

...ENSI has separate publications dealing
with other aspects concerned with its work
and supervisory responsibilities.

Obtainable under

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