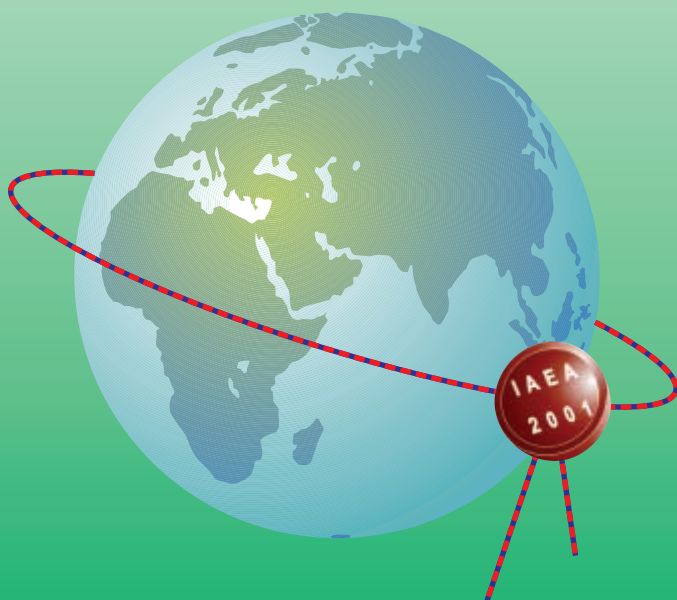




# IAEA SAFEGUARDS GLOSSARY 2001 Edition

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NUCLEAR VERIFICATION  
SERIES  
No. **3**



# IAEA SAFEGUARDS GLOSSARY

2001 Edition

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GABON	NICARAGUA	
GEORGIA	NIGER	
GERMANY	NIGERIA	
	NORWAY	
	PAKISTAN	

The Agency's Statute was approved on 23 October 1956 by the Conference on the Statute of the IAEA held at United Nations Headquarters, New York; it entered into force on 29 July 1957. The Headquarters of the Agency are situated in Vienna. Its principal objective is "to accelerate and enlarge the contribution of atomic energy to peace, health and prosperity throughout the world".

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## FOREWORD

IAEA safeguards have evolved since their inception in the late 1960s. In 1980 the IAEA published the first IAEA Safeguards Glossary (IAEA/SG/INF/1) with the aim of facilitating understanding of the specialized safeguards terminology within the international community. In 1987 the IAEA published a revised edition of the Glossary (IAEA/SG/INF/1 (Rev.1)) which took into account developments in the safeguards area as well as comments received since the first edition appeared.

Since 1987, IAEA safeguards have become more effective and efficient, mainly through the series of strengthening measures approved by the IAEA Board of Governors during 1992–1997, the Board's approval, in 1997, of the Model Protocol Additional to the Agreement(s) between State(s) and the International Atomic Energy Agency for the Application of Safeguards (issued as INFCIRC/540 (Corrected)), and the work, begun in 1999, directed towards the development and implementation of integrated safeguards. The IAEA Safeguards Glossary 2001 Edition reflects these developments.

Each of the 13 sections of the Glossary addresses a specific subject related to IAEA safeguards. To facilitate understanding, definitions and, where applicable, explanations have been given for each of the terms listed. The terms defined and explained intentionally have not been arranged in alphabetical order, but their sequence within each section corresponds to the internal relationships of the subject treated. The terms are numbered consecutively within each section and an index referring to these numbers has been provided for ease of reference. The terms used have been translated into the official languages of the IAEA, as well as into German and Japanese.

The IAEA Safeguards Glossary 2001 Edition has no legal status and is not intended to serve as a basis for adjudicating on problems of definition such as might arise during the negotiation or in the interpretation of safeguards agreements or additional protocols.

The IAEA Safeguards Glossary 2001 Edition appears as a publication in the International Nuclear Verification Series. Other publications appearing in this series are as follows:

- IAEA/NVS/1 Safeguards Techniques and Equipment (1997)
- IAEA/NVS/2 The Evolution of IAEA Safeguards (1998).

## **NOTE ON THE IAEA DOCUMENTS REFERRED TO IN THE GLOSSARY**

- [ST] Statute of the International Atomic Energy Agency, 1956.
- [9] INFCIRC/9/Rev. 2. Agreement on the Privileges and Immunities of the IAEA, 1967.
- [39] GC(V)/INF/39. The Agency's Inspectorate, 1961.
- [66] INFCIRC/66/Rev. 2. The Agency's Safeguards System (1965, as Provisionally Extended in 1966 and 1968), 1968.
- [140] INFCIRC/140. Treaty on the Non-Proliferation of Nuclear Weapons, 1970.
- [153] INFCIRC/153 (Corrected). The Structure and Content of Agreements between the Agency and States Required in Connection with the Treaty on the Non-Proliferation of Nuclear Weapons, 1972.
- [179] GOV/INF/179. The Treaty for the Prohibition of Nuclear Weapons in Latin America and the Caribbean, 1967 (Tlatelolco Treaty).
- [207] INFCIRC/207. Notification to the Agency of Exports and Imports of Nuclear Material (USSR, UK, USA), 1974.
- [209] INFCIRC/209/Rev. 2. Communications of 15 November 1999 Received from Member States Regarding the Export of Nuclear Material and of Certain Categories of Equipment and Other Material, 2000.
- [225] INFCIRC/225/Rev. 4 (Corrected). The Physical Protection of Nuclear Material and Nuclear Facilities, 1999.
- [254] INFCIRC/254/Rev. 4/Part 1. Communications Received from Certain Member States Regarding Guidelines for the Export of Nuclear Material, Equipment and Technology, 2000; INFCIRC/254/Rev. 4/Part 2. Communications Received from Certain Member States Regarding Guidelines for Transfers of Nuclear-Related Dual-Use Equipment, Materials, Software and Related Technology, 2000.
- [267] INFCIRC/267. The Revised Guiding Principles and General Operating Rules to Govern the Provision of Technical Assistance by the Agency, 1979.

- [274] INFCIRC/274/Rev. 1. Convention on the Physical Protection of Nuclear Material, 1980.
- [322] INFCIRC/322. Communication Received from the Resident Representative of Italy on Behalf of the European Community, 1985.
- [331] INFCIRC/331/Add.1. South Pacific Nuclear Free Zone Treaty, 1987 (Rarotonga Treaty).
- [395] INFCIRC/395. Agreement between the Republic of Argentina and the Federative Republic of Brazil for the Exclusively Peaceful Use of Nuclear Energy, 1992 (Guadalajara Declaration).
- [411] INFCIRC/411. Amendments to the Treaty for the Prohibition of Nuclear Weapons in Latin America, 1993.
- [512] INFCIRC/512. The Text of the Cairo Declaration Adopted on the Occasion of the Signing of the African Nuclear-Weapon-Free Zone Treaty, 1996 (Treaty of Pelindaba).
- [540] INFCIRC/540 (Corrected). Model Protocol Additional to the Agreement(s) between State(s) and the International Atomic Energy Agency for the Application of Safeguards, 1997.
- [548] INFCIRC/548. Communication Received from the Permanent Mission of Thailand Regarding the Treaty on the Southeast Asia Nuclear Weapon-Free Zone, 1998 (Treaty of Bangkok).
- [549] INFCIRC/549. Communication Received from Certain Member States Concerning Their Policies Regarding the Management of Plutonium, 1998.
- [SCT] IAEA/SG/SCT/5. Statistical Concepts and Techniques for IAEA Safeguards, Fifth Edition, 1998.
- [STR-327] International Target Values 2000 for Measurement Uncertainties in Safeguarding Nuclear Material, 2000, Safeguards Technical Report.
- [IAEA/NVS/1] Safeguards Techniques and Equipment, 1997.
- [IAEA/NVS/2] The Evolution of IAEA Safeguards, 1998.



## CONTENTS

1.	LEGAL INSTRUMENTS AND OTHER DOCUMENTS RELATED TO IAEA SAFEGUARDS .....	1
2.	IAEA SAFEGUARDS: PURPOSE, OBJECTIVES AND SCOPE .....	13
3.	SAFEGUARDS APPROACHES, CONCEPTS AND MEASURES .....	19
4.	NUCLEAR AND NON-NUCLEAR MATERIAL .....	30
5.	NUCLEAR AND NUCLEAR RELATED ACTIVITIES AND INSTALLATIONS .....	37
6.	NUCLEAR MATERIAL ACCOUNTANCY .....	45
7.	NUCLEAR MATERIAL MEASUREMENT TECHNIQUES AND EQUIPMENT .....	58
8.	CONTAINMENT, SURVEILLANCE AND MONITORING .....	66
9.	ENVIRONMENTAL SAMPLING .....	72
10.	STATISTICAL CONCEPTS AND TECHNIQUES FOR NUCLEAR MATERIAL VERIFICATION .....	76
11.	VISITS, INSPECTIONS AND COMPLEMENTARY ACCESS .....	84
12.	SAFEGUARDS INFORMATION AND EVALUATION .....	94
13.	REPORTING ON SAFEGUARDS IMPLEMENTATION .....	101
	TRANSLATIONS OF TERMS .....	105
	INDEX .....	195

# 1. LEGAL INSTRUMENTS AND OTHER DOCUMENTS RELATED TO IAEA SAFEGUARDS

*Safeguards applied by the International Atomic Energy Agency (IAEA) are an important element of the global nuclear non-proliferation regime. This section provides information on legal instruments and other documents in the area of nuclear non-proliferation that establish the bases of the IAEA safeguards system or are otherwise closely linked to the application of IAEA safeguards. These include the Statute of the IAEA, treaties and supply agreements calling for the verification of non-proliferation undertakings, the basic safeguards documents, safeguards agreements and their relevant protocols, and guidelines related to the implementation of IAEA safeguards.*

**1.1. Statute of the International Atomic Energy Agency** — the Statute of the IAEA [ST] was approved in October 1956 by the United Nations Conference on the Statute of the IAEA and entered into force in July 1957, as amended. According to Article II, the IAEA shall “seek to accelerate and enlarge the contribution of atomic energy to peace, health and prosperity throughout the world. It shall ensure, so far as it is able, that assistance provided by it or at its request or under its supervision or control is not used in such a way as to further any military purpose.” By Article III.A.5, the IAEA is authorized to “establish and administer safeguards designed to ensure that special fissionable and other materials, services, equipment, facilities, and information made available by the Agency or at its request or under its supervision or control are not used in such a way as to further any military purpose; and to apply safeguards, at the request of the parties, to any bilateral or multilateral arrangement, or at the request of a State, to any of that State’s activities in the field of atomic energy”. Under this Article, the IAEA concludes agreements with the State or States concerned which refer to the application of safeguards. Articles XII.A and XII.B deal with the rights and responsibilities of the IAEA with respect to the application of safeguards and provide, inter alia, for IAEA inspection in the State or States concerned. Article XII.C refers to actions which may be taken by the IAEA in possible cases of non-compliance with safeguards agreements.

## TREATIES AND SUPPLY AGREEMENTS

**1.2. Treaty on the Non-Proliferation of Nuclear Weapons (Non-Proliferation Treaty, NPT)** — the cornerstone of the nuclear non-proliferation regime. The Treaty was opened for signature in 1968, and entered into force in 1970; as of 31 December 2001, it is in force in 187 States. In 1995, the Treaty was extended indefinitely. Pursuant to Article I, each nuclear weapon State party to the NPT

undertakes not to transfer, to any recipient whatsoever, nuclear weapons or other nuclear explosive devices or control over such weapons or devices directly or indirectly; and not in any way to assist, encourage or induce any non-nuclear-weapon State to manufacture or otherwise acquire such weapons or devices or control over such weapons or devices.

Pursuant to Article II, each non-nuclear-weapon State party to the NPT undertakes not to receive the transfer, from any transferor whatsoever, of nuclear weapons or other nuclear explosive devices or control over such weapons or devices directly or indirectly; not to manufacture or otherwise acquire such weapons or devices; and not to seek or receive any assistance in the manufacture of such weapons or devices. Pursuant to Article III.1, each non-nuclear-weapon State party to the NPT undertakes to accept IAEA safeguards on all source or special fissionable material in all peaceful nuclear activities within the territory of such State, under its jurisdiction, or carried out under its control anywhere. Pursuant to Article III.2, each State party to the NPT undertakes not to provide source or special fissionable material, or equipment or material especially designed or prepared for the processing, use or production of special fissionable material, to any non-nuclear-weapon State for peaceful purposes, unless the source or special fissionable material is subject to the safeguards required by Article III.1. Article III.4 requires each non-nuclear-weapon State party to the NPT to conclude a safeguards agreement with the IAEA, either individually or together with other States, within 18 months of the date on which the State deposits its instruments of ratification of or accession to the Treaty. Article IV affirms the right of all parties to the NPT to develop research, production and use of nuclear energy for peaceful purposes and to facilitate and participate in the fullest possible exchange of equipment, materials and information for the peaceful uses of nuclear energy.

Pursuant to Article VI, each of the parties undertakes to pursue negotiations in good faith on effective measures relating to cessation of the nuclear arms race at an early date and to nuclear disarmament, and on a treaty on general and complete disarmament under strict and effective international control. Article IX.3 defines a nuclear weapon State as one which manufactured and exploded a nuclear weapon or other nuclear explosive device prior to 1 January 1967. There are five such States: China, France, the Russian Federation (the Soviet Union when the Treaty entered into force), the United Kingdom and the United States of America. The text of the Treaty is reproduced in [140].

**1.3. Treaty for the Prohibition of Nuclear Weapons in Latin America and the Caribbean (Tlatelolco Treaty)** — the Treaty establishing the first regional nuclear-weapon-free zone (NWFZ). The Treaty was opened for signature in 1967 and entered into force in 1969; as of 31 December 2001, it is in force in 38 States in this zone. The Treaty prohibits the testing, use, manufacture, production or acquisition by any

means, as well as the receipt, storage, installation, deployment and any form of possession, of any nuclear weapons by States in the zone. Pursuant to Article 13 of the Treaty, each party undertakes to conclude a multilateral or a bilateral agreement with the IAEA for the application of safeguards to its nuclear activities. The Treaty has two protocols. Pursuant to Additional Protocol I, each State outside the Treaty zone which has de jure or de facto jurisdiction over territories within the limits of the zone undertakes to apply to those territories the statute of denuclearization, as established by the Treaty. As of 31 December 2001, this Protocol has been ratified by 32 States. Pursuant to Additional Protocol II, each of the nuclear weapon States defined by the NPT undertakes to respect the statute of denuclearization in the region and not to use or threaten to use nuclear weapons against the Contracting Parties to the Treaty. As of 31 December 2001, this Protocol has been ratified by China, France, the Russian Federation, the United Kingdom and the United States of America. The text of the Tlatelolco Treaty is reproduced in [179], with amendments published in [411].

**1.4. South Pacific Nuclear Free Zone Treaty (Rarotonga Treaty)** — the Treaty establishing a nuclear-weapon-free zone (NWFZ) in the South Pacific region. The Treaty entered into force in 1986; as of 31 December 2001, it is in force in 16 States of this zone. The Treaty requires its parties to renounce the manufacture, acquisition, possession or control of any nuclear explosive devices, and to prevent the stationing or testing of any such devices. Each State party to the Treaty undertakes to conclude a comprehensive safeguards agreement with the IAEA required in connection with the NPT, or an agreement equivalent in its scope and effect; and not to provide source or special fissionable material, or equipment or material especially designed or prepared for the processing, use or production of special fissionable material for peaceful purposes to any non-nuclear-weapon State unless subject to the safeguards required by Article III.1 of the NPT, or to any nuclear weapon State unless subject to applicable safeguards agreements with the IAEA. The Rarotonga Treaty has three protocols. Protocols 1 and 2 contain provisions similar to those in the two protocols to the Tlatelolco Treaty. Protocol 3 to the Rarotonga Treaty requires each nuclear weapon State party not to test any nuclear explosive device in the region. The text of the Treaty is reproduced in [331].

**1.5. Treaty on the Southeast Asia Nuclear Weapon-Free Zone (Bangkok Treaty)** — the Treaty establishing a nuclear-weapon-free zone (NWFZ) in the Southeast Asia region. The Treaty was opened for signature in 1995, and entered into force in 1997; as of 31 December 2001, it is in force in nine States of the zone. The Treaty requires its parties not to develop, manufacture, acquire, possess, control, station, transport, test or use nuclear weapons anywhere, and not to allow in their respective territories any other State to develop, acquire, possess, control, station, test

or use such weapons. Each State party to the Treaty undertakes to conclude an agreement with the IAEA for the application of ‘full scope’ (comprehensive) safeguards to its peaceful nuclear activities, and not to provide source or special fissionable material, or equipment or material especially designed or prepared for the processing, use or production of special fissionable material, to any non-nuclear-weapon State except under conditions subject to the safeguards required by Article III.1 of the NPT, or to any nuclear weapon State except in conformity with applicable safeguards agreements with the IAEA. An Annex to the Bangkok Treaty provides for fact finding missions to States party in order to clarify and resolve a situation which may be considered ambiguous or which may give rise to doubts about compliance with the provisions of the Treaty; the Annex contemplates the involvement of IAEA inspectors in any such mission. A protocol to the Treaty contains provisions similar to those in Additional Protocol II to the Tlatelolco Treaty. The text of the Bangkok Treaty is reproduced in [548].

**1.6. African Nuclear-Weapon-Free Zone Treaty (Pelindaba Treaty)** — the Treaty establishing a nuclear-weapon-free zone (NWFZ) in Africa. The Treaty was opened for signature in 1996; as of 31 December 2001, it is in force in 13 States. The Treaty requires its parties not to conduct research on, develop, manufacture, stockpile, acquire, possess or have control of any nuclear explosive device anywhere, and to prohibit the stationing or testing of any such device. Each State party to the Treaty is required to declare any capability for the manufacture of nuclear explosive devices; to dismantle and destroy any such device that it has manufactured prior to the coming into force of the Treaty; and to destroy or convert to peaceful uses the manufacturing facilities, subject to the IAEA’s verification of the dismantling, destruction or conversion. Each State party to the Treaty undertakes to conclude a comprehensive safeguards agreement with the IAEA required in connection with the NPT or equivalent in scope and effect to such an agreement; and not to provide source or special fissionable material, or equipment or material especially designed or prepared for the processing, use or production of special fissionable material for peaceful purposes to any non-nuclear-weapon State unless subject to a comprehensive safeguards agreement with the IAEA. There are three protocols to the Pelindaba Treaty: Protocols I and III contain provisions similar to those in the two protocols to the Tlatelolco Treaty; and Protocol II contains provisions similar to those in Protocol 3 of the Rarotonga Treaty. The text of the Pelindaba Treaty is reproduced in [512].

**1.7. Agreement between the Republic of Argentina and the Federative Republic of Brazil for the Exclusively Peaceful Use of Nuclear Energy (Guadalajara Declaration)** — the Agreement by which both States party undertake to prohibit and prevent in their territories and to abstain from carrying out, promoting

or participating in, the testing, use, manufacture or acquisition of any nuclear weapon or other nuclear explosive device; and to establish the Common System of Accounting and Control of Nuclear Materials and the Brazilian–Argentine Agency for Accounting and Control of Nuclear Materials (ABACC) to verify, inter alia, that the nuclear materials in all nuclear activities of the parties are not diverted to the purposes prohibited by the Agreement. The Agreement entered into force in 1991; it is reproduced in [395].

**1.8. Treaty Establishing the European Atomic Energy Community (Euratom Treaty)** — the Treaty entered into force in January 1958. The States party are: Austria, Belgium, Denmark, Finland, France, Germany, Greece, Ireland, Italy, Luxembourg, Netherlands, Portugal, Spain, Sweden and the United Kingdom. In accordance with Article 77 of Chapter VII of the Treaty, the European Commission will satisfy itself that, in the territories of Member States: (a) ores, source materials and special fissile materials are not diverted from their intended uses as declared by the users; and (b) the provisions relating to supply and any particular safeguarding obligations assumed by the Community under an agreement concluded with a third State or an international organization are complied with.

**1.9. Bilateral co-operation agreement** — an agreement providing for co-operation in the field of peaceful uses of nuclear energy which is usually concluded between a supplier State and a receiver State and which covers conditions for the supply of nuclear and other specified material, equipment and technology. Such an agreement may contain undertakings not to use the supplied items so as to further any military purpose or not to use them for nuclear weapons, other military purposes or other nuclear explosive devices. The agreement may also contain undertakings of the receiver State to submit to IAEA safeguards a range of facilities, equipment and nuclear and other material, as identified in each individual case.

**1.10. Project and supply agreement** — Article III.A.5 of [ST] contemplates the application of IAEA safeguards to assistance provided by or through the IAEA. A project and supply agreement with a State that has a comprehensive safeguards agreement (CSA) generally provides that the safeguards requirements of the project and supply agreement shall be met by the application of safeguards pursuant to the safeguards agreement. A project and supply agreement with a State that does not have a CSA contains a safeguards annex that provides for the application of safeguards based on [66].

**1.11. Revised supplementary agreement relevant to safeguards** — an agreement requiring that, where technical assistance is provided by or through the IAEA in any of the sensitive technological areas specified in the Annex to [267], safeguards shall

be applied pursuant to an existing applicable safeguards agreement with the IAEA, or, if there is no such agreement, pursuant to a safeguards agreement to be concluded before the provision of the technical assistance. If the State concerned has a comprehensive safeguards agreement, this requirement is considered to be met. Otherwise a safeguards agreement based on [66] must be concluded (except in the unlikely event that an INFCIRC/66-type safeguards agreement is applicable).

## **BASIC SAFEGUARDS DOCUMENTS**

**1.12. The Agency's Inspectorate** — the document [39, Annex], referred to in INFCIRC/66-type safeguards agreements as the Inspectors' Document, which was adopted by the IAEA Board of Governors in 1961. It is used only in connection with INFCIRC/66-type safeguards agreements and addresses aspects of inspection activities, including the procedure by which inspectors are to be designated to Member States; the method of announcing and carrying out inspections and visits; the conduct of inspections, rights of access, inspection procedures and the obligation to report to the State on the results of each inspection; and the privileges and immunities of inspectors. The provisions of this document acquire legally binding force only when and to the extent they are incorporated, by reference or otherwise, into safeguards agreements. The document in itself does not constitute an agreement.

**1.13. The Agency's Safeguards System (1965, as Provisionally Extended in 1966 and 1968)** — the document [66], also known as the Safeguards Document, which was designed to facilitate and standardize as far as possible the content of safeguards agreements with the IAEA. The document, approved by the IAEA Board of Governors initially in 1965, covered reactors of all sizes, thereby replacing earlier corresponding documents that covered only small research and experimental reactors. It was subsequently extended in 1966 and 1968 to cover reprocessing plants, and conversion and fuel fabrication plants, respectively. The provisions of this document acquire legally binding force only when and to the extent they are incorporated, by reference or otherwise, into INFCIRC/66-type safeguards agreements.

**1.14. The Structure and Content of Agreements between the Agency and States Required in Connection with the Treaty on the Non-Proliferation of Nuclear Weapons** — the document [153] providing for the application of IAEA safeguards on all nuclear material in all peaceful nuclear activities in a State, which was approved by the IAEA Board of Governors in 1971. It serves as the basis for the negotiation of comprehensive safeguards agreements (CSAs) between the IAEA and non-nuclear-weapon States party to the NPT, as well as for negotiation of other CSAs not concluded pursuant to the NPT. The document also provides the technical

elements of the voluntary offer agreements which the five nuclear weapon States have concluded with the IAEA.

**1.15. Model Protocol Additional to the Agreement(s) between State(s) and the International Atomic Energy Agency for the Application of Safeguards** — the document [540], also known as the Model Additional Protocol, providing for those measures for strengthening the effectiveness and improving the efficiency of IAEA safeguards which could not be implemented under the legal authority of safeguards agreements. It was approved by the IAEA Board of Governors in 1997. The IAEA uses the Model Additional Protocol for negotiation and conclusion of additional protocols and other legally binding agreements as follows:

- (a) With States and other parties to comprehensive safeguards agreements, containing all of the measures provided for in this document as the standard;
- (b) With nuclear weapon States, incorporating those measures from this document that each such State has identified as capable of contributing to the non-proliferation and efficiency aims of the Model Additional Protocol when implemented with regard to that State, and as consistent with that State's obligations under Article I of the NPT;
- (c) With other States that are prepared to accept measures provided for in this document in pursuance of safeguards effectiveness and efficiency objectives.

**1.16. Agreement on the Privileges and Immunities of the IAEA** — the Agreement between the IAEA and Member States granting, inter alia, certain privileges and immunities to the IAEA, representatives of Member States and IAEA officials, including safeguards inspectors, as necessary for the effective exercise of their functions. The Agreement also provides for the recognition and acceptance of the United Nations laissez-passer issued to IAEA officials as a valid travel document. Safeguards agreements concluded with States that are not IAEA Members States or which are not party to the Agreement provide for the granting to inspectors of the same privileges and immunities as those specified in the Agreement. The Agreement is reproduced in [9].

## **SAFEGUARDS AGREEMENTS, ADDITIONAL PROTOCOLS THERE TO AND UNDERTAKINGS RELATED TO SAFEGUARDS IMPLEMENTATION**

**1.17. Safeguards agreement** — an agreement for the application of safeguards concluded between the IAEA and a State or a group of States, and, in certain cases, with a regional or bilateral inspectorate, such as Euratom and ABACC. Such an



agreement is concluded either because of the requirements of a project and supply agreement, or to satisfy the relevant requirements of bilateral or multilateral arrangements, or at the request of a State to any of that State's nuclear activities. Specific types of safeguards agreements are defined (see Nos 1.18–1.21).

**1.18. INFCIRC/153-type safeguards agreement** — an agreement concluded on the basis of [153]. Such agreements include all types of comprehensive safeguards agreement (see No. 1.19) and voluntary offer agreement (see No. 1.21).

**1.19. Comprehensive safeguards agreement (CSA)** — an agreement that applies safeguards on all nuclear material in all nuclear activities in a State. CSAs can be grouped as follows:

- (a) A safeguards agreement pursuant to the NPT, concluded between the IAEA and a non-nuclear-weapon State party as required by Article III.1 of the NPT. Such a safeguards agreement is concluded on the basis of [153]. The agreement is comprehensive as it provides for the IAEA's right and obligation to ensure that safeguards are applied "on all source or special fissionable material in all peaceful nuclear activities within the territory of the State, under its jurisdiction, or carried out under its control anywhere..." [153, para. 2]. The scope of a CSA is not limited to nuclear material actually declared by a State, but includes any nuclear material that should have been declared to the IAEA. There may be non-peaceful uses of nuclear material which would not be proscribed under the NPT and to which safeguards would not apply during the period of such use (e.g. nuclear propulsion of submarines or other warships).
- (b) A safeguards agreement pursuant to the Tlatelolco Treaty or some other nuclear-weapon-free-zone (NWFZ) treaty. The majority of States party to such treaties are also party to the NPT and each has concluded a single safeguards agreement which refers expressly to both the NPT and the relevant NWFZ treaty or which has subsequently been confirmed as meeting the requirements of both treaties.
- (c) A safeguards agreement, such as the sui generis agreement between Albania and the IAEA, and the quadripartite safeguards agreement between Argentina, Brazil, ABACC and the IAEA.

**1.20. INFCIRC/66-type safeguards agreement** — an agreement based on guidelines contained in [66]. The agreement specifies the nuclear material, non-nuclear material (e.g. heavy water, zirconium tubes), facilities and/or equipment to be safeguarded, and prohibits the use of the specified items in such a way as to further any military purpose. Since 1975, such agreements also explicitly proscribe any use related to the manufacture of any other nuclear explosive device. INFCIRC/66-type safeguards agreements can be grouped as follows:

- (a) An agreement concluded pursuant to a project and supply agreement between the IAEA and a State that does not have a comprehensive safeguards agreement (CSA), providing for the supply by or through the IAEA of nuclear material, services, equipment, facilities and information to the State and, in that connection, for the application of IAEA safeguards.
- (b) A safeguards agreement between the IAEA and one or more States, providing for the application of safeguards to nuclear material, services, equipment or facilities supplied under a co-operation arrangement between States, or, having been subject to such safeguards, retransferred to States without CSAs. Some bilateral co-operation agreements concluded before IAEA safeguards were operational provided for safeguards to be applied by the supplier State; the parties to those agreements later requested the IAEA to apply its safeguards instead. A safeguards agreement transferring the safeguards responsibility to the IAEA came to be known as a safeguards transfer agreement (STA).
- (c) A unilateral submission agreement between the IAEA and a State, concluded at the request of that State, for the application of safeguards to some of the State's activities in the field of nuclear energy.

**1.21. Voluntary offer agreement (VOA)** — an agreement concluded between the IAEA and a nuclear weapon State which, under the NPT, is not required to accept safeguards but which has voluntarily offered to do so, inter alia, to allay concerns that the application of IAEA safeguards could lead to commercial disadvantages for the nuclear industries of non-nuclear-weapon States. Under such an agreement, a State offers, for selection by the IAEA for the application of safeguards, some or all of the nuclear material and/or facilities in its nuclear fuel cycle. A VOA generally follows the format of [153], but the scope is not comprehensive. The IAEA has concluded such a VOA with each of the five nuclear weapon States defined by the NPT (i.e. China, France, the Russian Federation (the Soviet Union when the NPT entered into force), the United Kingdom and the United States of America).

**1.22. Additional protocol** — a protocol additional to a safeguards agreement (or agreements) concluded between the IAEA and a State, or group of States, following the provisions of the Model Additional Protocol [540] (see No. 1.15). A comprehensive safeguards agreement, together with an additional protocol, contains all of the measures included in [540]. In the case of an INFCIRC/66-type safeguards agreement or of a voluntary offer agreement, an additional protocol includes only those measures from [540] that have been agreed to by the State concerned. Under Article 1 of [540], the provisions of the additional protocol prevail in the case of conflict between the provisions of the safeguards agreement and those of the additional protocol.

**1.23. Small quantities protocol (SQP)** — a protocol to a comprehensive safeguards agreement (CSA) concluded between the IAEA and a State on the basis that the State has less than specified minimal quantities of nuclear material and no nuclear material in a facility. This protocol holds in abeyance the implementation of most of the detailed provisions of Part II of the CSA until such time as the quantity of nuclear material in the State exceeds the prescribed limits or the State has nuclear material in a facility as defined in [153].

**1.24. Suspension protocol** — a protocol to a safeguards agreement with a State (or States), which suspends the application of safeguards under that agreement in the State (or States) concerned while, and to the extent that, IAEA safeguards are being applied under a later safeguards agreement (or agreements). Examples are protocols to suspend the application of safeguards under project and supply agreements or under safeguards transfer agreements in States where comprehensive safeguards agreements have come into force.

**1.25. Co-operation protocol** — a protocol amplifying the provisions of a comprehensive safeguards agreement between the IAEA and a State, or a group of States, and specifying the modalities of the co-operation in the application of safeguards (e.g. arrangements to co-ordinate inspection activities of the IAEA and of the regional (or the State) system of accounting for and control of nuclear material). Such co-operation protocols have been incorporated into the agreements for the application of safeguards in the non-nuclear-weapon States of Euratom, in Argentina and Brazil, and in Japan.

**1.26. Subsidiary Arrangements** — the document containing the technical and administrative procedures for specifying how the provisions laid down in a safeguards agreement are to be applied. Under an INFCIRC/153-type safeguards agreement, the State party and the IAEA are required to agree on Subsidiary Arrangements. Under an additional protocol to a safeguards agreement (or agreements), if either the State or the IAEA indicates that Subsidiary Arrangements are necessary, then both parties are required to agree on such Arrangements. Subsidiary Arrangements to safeguards agreements consist of a General Part, applicable to all common nuclear activities of the State concerned, and of a Facility Attachment, prepared for each facility in the State and describing arrangements specific for that facility. In cases where several facilities are located in the same building and/or share a common store or stores (e.g. for multiunit reactor facilities), one facility attachment may cover the whole facility group. Subsidiary Arrangements may also consist of an attachment for a location (or group of locations) outside facilities in the State that are defined as one material balance area.

**1.27. Voluntary reporting scheme on nuclear material and specified equipment and non-nuclear material** — the scheme established in 1993 for the voluntary reporting by States of nuclear material not otherwise required to be reported to the IAEA under safeguards agreements, and of exports and imports of specified equipment and non-nuclear material (see No. 12.13). States choosing to participate in the scheme do so through an exchange of letters with the IAEA. The list of the specified equipment and non-nuclear material, to be used for the purpose of the voluntary reporting scheme, is incorporated in [540, Annex II].

## GUIDELINES AND RECOMMENDATIONS

**1.28. Zangger Committee Export Guidelines** — the Guidelines agreed upon by a group of States party to the NPT in order to clarify States' commitments under Article III.2 of the Treaty in relation to exports, for peaceful purposes, to non-nuclear-weapon States, of nuclear material and equipment or material especially designed or prepared for the processing, use or production of special fissionable material. The Guidelines were first developed during a series of meetings in 1971 under the chairmanship of Dr. Claude Zangger of Switzerland, and are contained in communications which have been received by the IAEA since 1974 from participating States. The Guidelines consist of a 'trigger list' that includes source and special fissionable material and specified equipment and material especially designed or prepared for the processing, use or production of special fissionable material, whose export requires IAEA safeguards on the source or special fissionable material in question. The Zangger Committee, as it became known, is not a committee of the IAEA. The Guidelines are published in [209].

**1.29. Nuclear Suppliers' Group Guidelines** — the Guidelines contained in communications received by the IAEA since 1978 from States taking part in the Nuclear Suppliers' Group (NSG). The Guidelines deal with export policies and practices of NSG States with respect to transfers, for peaceful purposes, to non-nuclear-weapon States, of nuclear material, equipment and technology, and of nuclear related dual use equipment, materials, software and related technology. (See also No. 5.34.) The Guidelines currently consist of two parts.

- (a) Part 1 contains guidelines for nuclear transfers and incorporates a 'trigger list' that includes source material and special fissionable material, and nuclear reactors and designated types of nuclear plant (e.g. reprocessing plants), equipment especially designed or prepared for such plants and related technology. These guidelines require, as conditions of supply, that the importing State have a comprehensive safeguards agreement in force with the IAEA as well as physical protection and controls on the retransfer of the items.

- (b) Part 2 contains guidelines for transfers of nuclear related dual use equipment, materials, software and related technology, and includes a list specifying such dual use items that could make a major contribution to a nuclear explosive device or an unsafeguarded nuclear fuel cycle activity. The basic principle agreed by the adhering States is that they should not authorize transfers of the dual use items “for use in a non-nuclear-weapon State in a nuclear explosive activity or an unsafeguarded fuel cycle activity, or...in general when there is an unacceptable risk of diversion to such an activity...”. The Guidelines also stipulate that suppliers, in considering transfers of dual use items, should take into account, inter alia, whether the recipient State “has an Agency safeguards agreement in force applicable to all its peaceful nuclear activities”.

The NSG Guidelines are published in [254, Parts 1 and 2]. In addition, a communication from the European Community on a common policy in connection with the Guidelines, received by the IAEA in 1985, is reproduced in [322].

**1.30. Guidelines for the Management of Plutonium** — guidelines contained in communications received by the IAEA in 1997 from certain Member States regarding policies adopted by these States, with a view to ensuring that holdings of plutonium are managed safely and effectively in accordance with international commitments, including their obligations under the NPT (and, for States that are members of the European Community, also under the Euratom Treaty), and with their safeguards agreements with the IAEA. The Guidelines describe, inter alia, the nuclear material accountancy system, physical protection measures and international transfer procedures applicable to the plutonium subject to the Guidelines. They further specify the information to be published by the participating States in respect of plutonium management, including annual statements of their holdings of civil unirradiated plutonium and of their estimates of plutonium contained in spent civil reactor fuel. The Guidelines are published in [549].

**1.31. Physical protection recommendations** — IAEA recommendations for the physical protection of nuclear material and nuclear facilities, revised and published in 1999 and reproduced in [225]. The Convention on the Physical Protection of Nuclear Material, for which the IAEA is depository, establishes international standards, inter alia, for the protection of international shipments of nuclear material and promotes international co-operation in the exchange of physical protection information. The Convention entered into force in 1987; the text is reproduced in [274].

*Note:* Physical protection comprises those measures that the States themselves apply to prevent or deter the theft of nuclear material during use, storage and transport, and to preclude the sabotage of nuclear facilities by subnational entities.

## 2. IAEA SAFEGUARDS: PURPOSE, OBJECTIVES AND SCOPE

*Safeguards are applied by the IAEA to verify that commitments made by States under safeguards agreements with the IAEA are fulfilled. It is therefore necessary to define the objectives of safeguards in technical terms relevant to each type of safeguards agreement so that safeguards can be applied in an effective manner. What follows is an explanation of terms used in connection with safeguards objectives and with the scope of application of safeguards relevant to the safeguards agreement and additional protocols.*

**2.1. Objectives of IAEA safeguards** — under a comprehensive safeguards agreement (CSA), safeguards are applied to verify a State's compliance with its undertaking to accept safeguards on all nuclear material in all its peaceful nuclear activities and to verify that such material is not diverted to nuclear weapons or other nuclear explosive devices. In this regard, the technical objective is specified: “the timely detection of diversion of significant quantities of nuclear material from peaceful nuclear activities to the manufacture of nuclear weapons or of other nuclear explosive devices or for purposes unknown, and deterrence of such diversion by the risk of early detection” [153, para. 28]. To address fully the verification of a State's compliance with its undertaking under a CSA, a second technical objective is pursued, viz. the detection of undeclared nuclear material and activities in a State (see No. 2.5). The implementation of measures under additional protocols based on [540] significantly strengthens the IAEA's capability to achieve this objective (see No. 3.6).

For an INFCIRC/66-type safeguards agreement, the objective is to ensure that the nuclear material, non-nuclear material, services, equipment, facilities and information specified and placed under safeguards are not used for the manufacture of nuclear weapons or any other nuclear explosive devices or to further any military purpose. To achieve this, the IAEA applies essentially the same technical objective in regard to detection of diversion of the nuclear material specified and placed under safeguards, as well as the detection of any misuse of the non-nuclear material, services, equipment, facilities or information specified and placed under safeguards. This is also the case for the nuclear material and/or facilities to which safeguards are applied under a voluntary offer safeguards agreement concluded between a nuclear weapon State and the IAEA.

**2.2. Non-compliance** — violation by a State of its safeguards agreement with the IAEA. Examples would be:

- (a) Under an INFCIRC/153-type safeguards agreement, the diversion of nuclear material from declared nuclear activities, or the failure to declare nuclear material required to be placed under safeguards;
- (b) Under an INFCIRC/66-type safeguards agreement, the diversion of the nuclear material or the misuse of the non-nuclear material, services, equipment, facilities or information specified and placed under safeguards;
- (c) Under an additional protocol based on [540], the failure to declare nuclear material, nuclear activities or nuclear related activities required to be declared under Article 2;
- (d) Under all types of agreement, violation of the agreed recording and reporting system, obstruction of the activities of IAEA inspectors, interference with the operation of safeguards equipment, or prevention of the IAEA from carrying out its verification activities.

In the event of non-compliance, pursuant to Article XII.C of [ST], the IAEA Director General shall report to the IAEA Board of Governors, which would call upon the recipient State or States to remedy forthwith any non-compliance which it finds to have occurred, and would inform all members and the Security Council and General Assembly of the United Nations.

**2.3. Diversion of nuclear material** — a particular case of non-compliance (see No. 2.2) that would include:

- (a) Under an INFCIRC/153-type safeguards agreement, the undeclared removal of declared nuclear material from a safeguarded facility; or the use of a safeguarded facility for the introduction, production or processing of undeclared nuclear material, e.g. the undeclared production of high enriched uranium in an enrichment plant, or the undeclared production of plutonium in a reactor through irradiation and subsequent removal of undeclared uranium targets;
- (b) Under an INFCIRC/66-type safeguards agreement, the use of the nuclear material specified and placed under safeguards in such a way as to further any military purpose.

**2.4. Misuse** — a particular case of non-compliance under an INFCIRC/66-type safeguards agreement (see No. 2.2) that would include the use of the non-nuclear material, services, equipment, facilities or information specified and placed under safeguards to further any proscribed purpose.

**2.5. Undeclared nuclear material and activities** — the term ‘undeclared nuclear material’ refers to nuclear material which a State has not declared and placed under safeguards but is required to do so pursuant to its safeguards agreement with the

IAEA. For a State that has an additional protocol in force, undeclared nuclear material also covers nuclear material which that State has not declared but is required to do so pursuant to Article 2 of [540]. The term ‘undeclared activities’ refers to nuclear or nuclear related activities which a State has not declared to the IAEA but is required to do so pursuant to its safeguards agreement or, where applicable, its additional protocol. Examples would include activities involving undeclared facilities or locations outside facilities (see No. 2.6), or the undeclared manufacture of items referred to in Annex 1 of [540].

**2.6. Undeclared facility or location outside facilities (LOF)** — a nuclear facility or a LOF, including closed-down facilities or LOFs and facilities under construction, about which a State has the obligation to notify the IAEA in accordance with its safeguards agreement and for which no such notification has been given.

**2.7. Deterrence of diversion** — an objective of the application of IAEA safeguards (see No. 2.1). If a State is considering the acquisition of nuclear material for a nuclear explosive device, then IAEA safeguards may be expected to have a significant deterrent effect through the provision of the risk of early detection. Thus, although essentially non-quantifiable, the level of deterrence may be expected to be higher the greater the IAEA’s detection capabilities and the more the State wishes to proceed undetected.

*Note:* Deterrence by the risk of early detection resulting from IAEA safeguards should not be confused with the deterrence against theft or sabotage that is provided by the physical protection of nuclear material and facilities at the national level (see No. 1.31).

**2.8. Assurance of non-diversion of nuclear material** — assurance that nuclear material placed under safeguards has remained in peaceful nuclear activities or has been otherwise adequately accounted for. Safeguards under all types of agreement are designed to provide the international community with credible assurance of non-diversion of nuclear material from declared activities. To this end, the IAEA conducts and evaluates verification activities on nuclear material placed under safeguards (see No. 12.20) and reports the results in the safeguards conclusion on non-diversion, drawn annually for each State with a safeguards agreement in force (see Nos 12.25 and 13.10).

**2.9. Assurance of the absence of undeclared nuclear material and activities** — assurance that a State with a comprehensive safeguards agreement (CSA) and an additional protocol in force does not possess undeclared nuclear material and activities (see No. 2.5). In addition to providing assurance of non-diversion of nuclear



material from declared activities (see No. 2.8), safeguards implemented under a CSA with an additional protocol in force are designed to provide the international community with credible assurance of the absence of undeclared nuclear material and activities in a State. To this end, the IAEA conducts a comprehensive State evaluation, including the evaluation of all information available on a State's nuclear programme and related activities, and carries out activities under the additional protocol (see No. 12.20). Where such evaluation and verification activities allow the IAEA to draw a conclusion of the absence of undeclared nuclear material and activities, and where a conclusion of non-diversion of nuclear material has also been drawn, this is reflected in the safeguards conclusion, drawn annually for a State with both a CSA and an additional protocol in force, that all of the nuclear material in that State had been placed under safeguards and remained in peaceful nuclear activities or was otherwise adequately accounted for (see Nos 12.25 and 13.10).

## SCOPE OF IAEA SAFEGUARDS

**2.10. Coverage of IAEA safeguards** — the scope of application defined by the relevant safeguards agreement. Under a comprehensive safeguards agreement (CSA), safeguards are applied on “all source or special fissionable material in all peaceful nuclear activities within the territory of the State, under its jurisdiction or carried out under its control anywhere...” [153, para. 2]. Thus such agreements are considered comprehensive (or ‘full scope’). The scope of a CSA is not limited to the nuclear material declared by a State, but includes all nuclear material subject to IAEA safeguards. Under an INFCIRC/66-type agreement, safeguards are applied only to the items specified in the agreement, which may include nuclear material, non-nuclear material, services, equipment, facilities and information. Under a voluntary offer agreement with a nuclear weapon State, safeguards are applied to the nuclear material and/or facilities specified in the agreement.

**2.11. Starting point of IAEA safeguards** — the expression often used to refer to the point in a nuclear fuel cycle from which full safeguards requirements specified in comprehensive safeguards agreements start to apply to nuclear material. Under para. 34(c) of [153], the application of full safeguards requirements specified in the agreement begins when any nuclear material of a composition and purity suitable for fuel fabrication or for being isotopically enriched leaves the plant or the process stage in which it has been produced, or when such nuclear material, or any other nuclear material produced at a later stage in the nuclear fuel cycle, is imported into a State. However, under paras 34(a) and 34(b) of [153], when the State exports to a non-nuclear-weapon State, or imports, any material containing uranium or thorium which has not reached the stage of the nuclear fuel cycle described in para. 34(c) of [153],

the State is required to report such exports and imports to the IAEA, unless the material is transferred for specifically non-nuclear purposes. Furthermore, under Article 2.a.(vi) of [540], the State is required to provide the IAEA with information on source material which has not reached the composition and purity described in [153, para. 34(c)]. That information is to be provided both on such material present in the State, whether in nuclear or non-nuclear use, and on exports and imports of such material for specifically non-nuclear purposes.

**2.12. Termination of IAEA safeguards** — safeguards in a given State normally continue on nuclear material (and subsequent generations of nuclear material produced therefrom) until the material is transferred to another State which has assumed the responsibility therefor, or until the material has been consumed or has been diluted in such a way that it is no longer usable for any nuclear activity relevant from the point of view of safeguards, or has become practicably irrecoverable. Under paras 13 and 35 of [153] and para. 27 of [66], safeguards may be terminated for material transferred to non-nuclear use, such as the production of alloys or ceramics. Paragraph 26 of [66] provides that termination is also possible in the case of the substitution of material not under safeguards for safeguarded material. Under Article 2.a.(viii) of [540], the State is to provide the IAEA with information regarding the location or further processing of intermediate or high level waste containing plutonium, high enriched uranium or  $^{233}\text{U}$  on which safeguards have been terminated. (See also No. 6.25.)

**2.13. Exemption from IAEA safeguards** — under para. 37 of [153] and para. 21 of [66], a State may request exemption for nuclear material up to certain specified limits. Under para. 36 of [153], a State may also request exemption for nuclear material related to the intended use (e.g. in gram quantities as a sensing component in instruments; in non-nuclear activities, if the material is recoverable; or of plutonium with an isotopic concentration of  $^{238}\text{Pu}$  exceeding 80%). Paragraphs 22 and 23 of [66] also provide for exemptions related to reactors. Under para. 38 of [153], if exempted nuclear material is to be processed or stored together with safeguarded material, reapplication of safeguards on the exempted material is required. Under Article 2.a.(vii(a)) of [540], the State is to provide the IAEA with information on the nuclear material that has been exempted from safeguards under paras 36(b) or 37 of [153]. (See also No. 6.24.)

**2.14. Non-application of IAEA safeguards** — refers to the use of nuclear material in a non-proscribed military activity which does not require the application of IAEA safeguards. Nuclear material covered by a comprehensive safeguards agreement may be withdrawn from IAEA safeguards should the State decide to use it for such purposes, e.g. for the propulsion of naval vessels. Paragraph 14 of [153] specifies the

arrangements to be made between the State and the IAEA with respect to the period and circumstances during which safeguards will not be applied. Any such arrangement would be submitted to the IAEA Board of Governors for prior approval.

**2.15. Suspension of IAEA safeguards** — under INFCIRC/66-type agreements, this may be agreed upon between a State and the IAEA for limited periods and for limited quantities of nuclear material while the material is transferred for the purpose of processing, reprocessing, testing, research or development [66, para. 24]. Under para. 25 of [66], safeguards on nuclear material in irradiated fuel which is transferred for reprocessing may be suspended if the State, with the agreement of the IAEA, has substituted therefor nuclear material otherwise not subject to safeguards.

**2.16. Substitution** — a provision available under paras 25 and 26 of [66] to achieve suspension or termination of IAEA safeguards on specific quantities of nuclear material by submitting to safeguards nuclear material not otherwise subject to safeguards, in an amount and of a quality at least equal to those of the material on which safeguards are being suspended or terminated. Substitution is not available under comprehensive safeguards agreements because all nuclear material in all peaceful nuclear activities in the State is subject to safeguards.

### 3. SAFEGUARDS APPROACHES, CONCEPTS AND MEASURES

*Approaches to safeguards implementation are designed to allow the IAEA to meet the applicable safeguards objectives. What follows is an explanation of the basic concepts underlying the development and application of safeguards approaches at the level of the facility and the State, and the measures available to the IAEA under safeguards agreements and under additional protocols.*

**3.1. Safeguards approach** — a set of safeguards measures (see No. 3.6) chosen for the implementation of safeguards in a given situation in order to meet the applicable safeguards objectives (see No. 2.1). The safeguards approach takes into account the specific features of the safeguards agreement (or agreements) and, where applicable, whether the IAEA has drawn a conclusion of the absence of undeclared nuclear material and activities in the State (see No. 12.25). Safeguards approaches are developed for each facility under safeguards (see No. 3.3). In addition, safeguards approaches may be developed for generic facility types (see No. 3.2) and, mainly under integrated safeguards (see No. 3.5), for the State as a whole (see No. 3.4).

**3.2. Model (generic) facility safeguards approach** — the recommended approach for a particular facility type developed for a postulated reference plant. The approach specifies the IAEA inspection goals (see No. 3.22) and safeguards activities for that reference plant, taking into account relevant diversion assumptions; available safeguards measures (see No. 3.6), including the technical capabilities of those measures; facility design information (see No. 3.28) and facility practices (see No. 3.27); the capabilities of the State system of accounting for and control of nuclear material (SSAC) (see No. 3.33); and the IAEA's experience in safeguards implementation. Model safeguards approaches are developed for most of the common facility types.

**3.3. Facility safeguards approach** — the approach selected for safeguards implementation at a specific facility, developed by adapting the model approach (where such exists) to account for actual conditions at the facility as compared with the reference plant. The provisions for implementing the facility safeguards approach are incorporated in the Subsidiary Arrangements (see No. 1.26).

**3.4. State level safeguards approach** — a safeguards approach (see No. 3.1) developed for a specific State, encompassing all nuclear material, nuclear installations and nuclear fuel cycle related activities in that State. A State level safeguards approach defines the application of safeguards measures at each facility and location outside facilities in the State and, where an additional protocol is in

force, the safeguards measures (see No. 3.6) that would enable the IAEA to draw and maintain a conclusion of the absence of undeclared nuclear material and activities in that State (see No. 12.25).

**3.5. Integrated safeguards** — the optimum combination of all safeguards measures available to the IAEA under comprehensive safeguards agreements and additional protocols (see No. 3.6) to achieve maximum effectiveness and efficiency in meeting the IAEA's safeguards obligations within available resources. Integrated safeguards are implemented in a State only when the IAEA has drawn a conclusion of the absence of undeclared nuclear material and activities in that State (see No. 12.25). Under integrated safeguards, measures may be applied at reduced levels at certain facilities, compared with the measures that would have been applied without this conclusion.

**3.6. Safeguards measures** — methods available to the IAEA under safeguards agreements and additional protocols based on [540] to achieve the applicable safeguards objectives (see No. 2.1). Paragraph 29 of [153] provides for the use of nuclear material accountancy as the safeguards measure of fundamental importance (see No. 6.1), with containment and surveillance as important complementary measures (see No. 8.6). These measures are applied for verifying that nuclear material inventories and flows are as declared by the State (and, under INFCIRC/66-type safeguards agreements, that non-nuclear material, services, equipment, facilities and information specified and placed under safeguards are not being used to further any proscribed purpose). Additional measures aimed at strengthening the effectiveness and improving the efficiency of safeguards were approved by the IAEA Board of Governors during 1992–1997. From a legal perspective, these measures may be categorized as follows: (a) measures that can be implemented under the existing legal authority of safeguards agreements (e.g. environmental sampling at locations to which IAEA inspectors have access during inspections and visits (see Nos 9.1 and 11.14)); and (b) measures that can only be implemented under the legal authority of additional protocols (e.g. complementary access (see No. 11.25)).

**3.7. Diversion strategy (diversion path)** — a (hypothetical) scheme which a State could consider to divert nuclear material (see No. 2.3) or to misuse items subject to IAEA safeguards (see No. 2.4). Diversion strategies are postulated for purposes of developing safeguards approaches (see No. 3.1). Diversion strategies would include: the undeclared removal of nuclear material from a safeguarded facility or the use of a safeguarded facility for the introduction, production or processing of undeclared nuclear material (e.g. the undeclared production of high enriched uranium in an enrichment plant, or the undeclared production of plutonium in a reactor through irradiation and subsequent removal of undeclared uranium targets). In developing

safeguards approaches, the IAEA assumes that a diversion strategy would include one or more concealment methods (see No. 3.9).

**3.8. Acquisition strategy (acquisition path)** — a (hypothetical) scheme which a State could consider to acquire nuclear material usable for manufacturing a nuclear explosive device. An acquisition strategy could include a diversion strategy (see No. 3.7) and could involve the use of an undeclared facility (see No. 2.6) or undeclared nuclear material (see No. 2.5). Acquisition strategies are postulated for purposes of developing State level safeguards approaches (see No. 3.4).

**3.9. Concealment methods** — actions taken within a given diversion strategy (see No. 3.7) or a given acquisition strategy (see No. 3.8) to reduce the probability of detection by IAEA safeguards activities. Such actions may begin before the removal of material and may be continued over a considerable time. Examples would include:

- Tampering with IAEA containment and surveillance measures (see No. 8.6) or with nuclear material accounting activities (see No. 6.2);
- Falsifying records, reports and other documents by overstating decreases to inventory (e.g. shipments, measured discards) or by understating increases to inventory (e.g. receipts or production) (see No. 6.14), or by presenting false facility operational data;
- For bulk handling facilities, diversion into MUF (material unaccounted for), diversion into SRD (shipper/receiver difference) or diversion into D (operator–inspector difference) (see Nos 10.4, 10.5 and 10.6, respectively);
- Borrowing nuclear material from other facilities in the State to replace the diverted nuclear material for the duration of an IAEA inspection;
- Replacing diverted nuclear material or other missing items with material or items of lower strategic value (e.g. dummy fuel assemblies or elements);
- Creating obstacles to access by IAEA inspectors so as to reduce the possibility of their detecting a diversion of nuclear material.

**3.10. Diversion rate** — the amount of nuclear material which could be diverted in a given unit of time. If the amount diverted is 1 SQ or more (see No. 3.14) of nuclear material in a short time (i.e. within a period that is less than the material balance period (see No. 6.47)), it is referred to as an ‘abrupt’ diversion. If the diversion of 1 SQ or more occurs gradually over a material balance period, with only small amounts removed at any one time, it is referred to as a ‘protracted’ diversion.

**3.11. Diversion path analysis** — the analysis of all possible diversion paths or diversion strategies for nuclear material at a facility (see No. 3.7). A diversion path analysis may be part of the development of a model safeguards approach for a

common facility type (see No. 3.2), and may also be carried out for a specific facility. The purpose of a diversion path analysis is to determine whether a proposed set of safeguards measures (see No. 3.6) would provide sufficient detection capability with respect to a specific diversion path or diversion strategy.

**3.12. Acquisition path analysis** — the analysis of all plausible acquisition paths or acquisition strategies for a State (see No. 3.8) to acquire nuclear material usable for the manufacture of a nuclear explosive device. An acquisition path analysis may be part of the development of a State level safeguards approach (see No. 3.4). The purpose of an acquisition path analysis is to determine whether a proposed set of safeguards measures (see No. 3.6) would provide sufficient detection capability with respect to a specific acquisition path or acquisition strategy.

**3.13. Conversion time** — the time required to convert different forms of nuclear material to the metallic components of a nuclear explosive device. Conversion time does not include the time required to transport diverted material to the conversion facility or to assemble the device, or any subsequent period. The diversion activity is assumed to be part of a planned sequence of actions chosen to give a high probability of success in manufacturing one or more nuclear explosive devices with minimal risk of discovery until at least one such device is manufactured. The conversion time estimates applicable at present under these assumptions are provided in Table I.

TABLE I. ESTIMATED MATERIAL CONVERSION TIMES FOR FINISHED Pu OR U METAL COMPONENTS

Beginning material form	Conversion time
Pu, HEU or $^{233}\text{U}$ metal	Order of days (7–10)
$\text{PuO}_2$ , $\text{Pu}(\text{NO}_3)_4$ or other pure Pu compounds; HEU or $^{233}\text{U}$ oxide or other pure U compounds; MOX or other non-irradiated pure mixtures containing Pu, U ( $^{233}\text{U} + ^{235}\text{U} \geq 20\%$ ); Pu, HEU and/or $^{233}\text{U}$ in scrap or other miscellaneous impure compounds	Order of weeks (1–3) <sup>a</sup>
Pu, HEU or $^{233}\text{U}$ in irradiated fuel	Order of months (1–3)
U containing $<20\%$ $^{235}\text{U}$ and $^{233}\text{U}$ ; Th	Order of months (3–12)

<sup>a</sup> This range is not determined by any single factor but the pure Pu and U compounds will tend to be at the lower end of the range and the mixtures and scrap at the higher end.

TABLE II. SIGNIFICANT QUANTITIES

Material	SQ
<i>Direct use nuclear material</i>	
Pu <sup>a</sup>	8 kg Pu
<sup>233</sup> U	8 kg <sup>233</sup> U
HEU ( <sup>235</sup> U ≥ 20%)	25 kg <sup>235</sup> U
<i>Indirect use nuclear material</i>	
U ( <sup>235</sup> U < 20%) <sup>b</sup>	75 kg <sup>235</sup> U (or 10 t natural U or 20 t depleted U)
Th	20 t Th

<sup>a</sup> For Pu containing less than 80% <sup>238</sup>Pu.

<sup>b</sup> Including low enriched, natural and depleted uranium.

**3.14. Significant quantity (SQ)** — the approximate amount of nuclear material for which the possibility of manufacturing a nuclear explosive device cannot be excluded. Significant quantities take into account unavoidable losses due to conversion and manufacturing processes and should not be confused with critical masses. Significant quantities are used in establishing the quantity component of the IAEA inspection goal (see No. 3.23). Significant quantity values currently in use are given in Table II.

**3.15. Detection time** — the maximum time that may elapse between diversion of a given amount of nuclear material and detection of that diversion by IAEA safeguards activities. Where there is no additional protocol in force or where the IAEA has not drawn a conclusion of the absence of undeclared nuclear material and activities in a State (see No. 12.25), it is assumed: (a) that all facilities needed to clandestinely convert the diverted material into components of a nuclear explosive device exist in a State; (b) that processes have been tested (e.g. by manufacturing dummy components using appropriate surrogate materials); and (c) that non-nuclear components of the device have been manufactured, assembled and tested. Under these circumstances, detection time should correspond approximately to estimated conversion times (see No. 3.13). Longer detection times may be acceptable in a State where the IAEA has drawn and maintained a conclusion of the



absence of undeclared nuclear material and activities. Detection time is one factor used to establish the timeliness component of the IAEA inspection goal (see No. 3.24).

**3.16. Detection probability** — the probability, if diversion of a given amount of nuclear material has occurred, that IAEA safeguards activities will lead to detection. The detection probability is usually denoted as  $1 - \beta$ , with  $\beta$  being the non-detection probability (see No. 10.28). The detection probability for safeguards activities involving nuclear material accountancy can be quantified, and the accountancy detection probability  $1 - \beta_a$  is preselected as an input parameter for establishing sampling plans. The values of  $1 - \beta_a$  currently in use are 90% for ‘high’ and 20% for ‘low’ probability levels.

**3.17. False alarm probability** — the probability,  $\alpha$ , that statistical analysis of accountancy verification data would indicate that an amount of nuclear material is missing when, in fact, no diversion has occurred (see No. 10.27). For nuclear material accountancy purposes,  $\alpha$  (or the associated critical region (see No. 10.32)) is preselected as one of the input parameters for designing sampling plans and performing statistical tests. It is usually set at 0.05 or less, in order to minimize the number of discrepancies (see No. 3.25) or false anomalies (see No. 3.26) that must be investigated.

**3.18. Inventory** — the amount of nuclear material present at a facility or a location outside facilities (LOF). In the context of IAEA safeguards, the term ‘inventory’ is defined as the larger of: the maximum (running) inventory calculated from State reports (see Nos 12.5–12.8); or throughput, which is the estimated amount of material processed during the material balance period. This inventory is used for establishing the frequency and intensity of routine inspections for a facility or an LOF (see No. 11.16), as provided for in paras 79 and 80 of [153].

**3.19. Annual throughput** — “the amount of nuclear material transferred annually out of a facility working at nominal capacity” [153, para. 99]. Paragraph 84 of [66] defines throughput as “the rate at which nuclear material is introduced into a facility operating at full capacity”.

**3.20. IAEA timeliness detection goal** — the target detection times applicable to specific nuclear material categories (see No. 4.24). These goals are used for establishing the frequency of inspections (see No. 11.16) and safeguards activities at a facility or a location outside facilities during a calendar year, in order to verify that no abrupt diversion (see No. 3.10) has occurred. Where there is no additional protocol in force or where the IAEA has not drawn and maintained a conclusion of the absence

of undeclared nuclear material and activities in a State (see No. 12.25), the detection goals are as follows:

- One month for unirradiated direct use material,
- Three months for irradiated direct use material,
- One year for indirect use material.

Longer timeliness detection goals may be applied in a State where the IAEA has drawn and maintained a conclusion of the absence of undeclared nuclear material and activities in that State.

**3.21. Safeguards Criteria** — as currently defined, the set of nuclear material verification activities considered by the IAEA as necessary for fulfilling its responsibilities under safeguards agreements. The Criteria are established for each facility type and location outside facilities (LOF), and specify the scope, the normal frequency and the extent of the verification activities required to meet the quantity and the timeliness components of the inspection goal at facilities and LOFs (see Nos 3.23 and 3.24). In addition, the Criteria specify verification activities to be carried out in a co-ordinated manner across a State. The Criteria are used both for planning the implementation of verification activities and for evaluating the results therefrom (see Nos 12.20 and 12.23).

**3.22. IAEA inspection goal** — performance targets specified for IAEA verification activities at a given facility as required to implement the facility safeguards approach (see No. 3.3). The inspection goal for a facility consists of a quantity component (see No. 3.23) and a timeliness component (see No. 3.24). These components are regarded as fully attained if all the Safeguards Criteria (see No. 3.21) relevant to the material types (see No. 4.23) and material categories (see No. 4.24) present at the facility have been satisfied and all anomalies involving 1 SQ or more of nuclear material have been resolved in a timely manner (see No. 3.26). (See also Nos 12.23 and 12.25.)

**3.23. Quantity component of the IAEA inspection goal** — relates to the scope of the inspection activities at a facility that are necessary for the IAEA to be able to draw the conclusion that there has been no diversion of 1 SQ or more of nuclear material over a material balance period and that there has been no undeclared production or separation of direct use material at the facility over that period.

**3.24. Timeliness component of the IAEA inspection goal** — relates to the periodic activities that are necessary for the IAEA to be able to draw the conclusion that there has been no abrupt diversion (see No. 3.10) of 1 SQ or more at a facility during a calendar year.

**3.25. Discrepancy** — an inconsistency found in the facility operator’s records, or between facility records and State reports (see No. 6.48), or between these records and inspector observations or indications resulting from containment and surveillance measures (see No. 8.6). Discrepancies that cannot be resolved (i.e. ascribed to innocent causes or otherwise satisfactorily explained) may lead to the determination that declared nuclear material is unaccountably missing. A discrepancy involving 1 SQ or more of nuclear material is classified as a possible anomaly (see No. 3.26).

**3.26. Anomaly** — an unusual observable condition which might result from diversion of nuclear material (see No. 2.3) or misuse of safeguarded items (see No. 2.4), or which frustrates or restricts the ability of the IAEA to draw the conclusion that diversion or misuse has not occurred (see No. 12.25). Examples of possible anomalies would be:

- Denial or restriction of IAEA inspector access for inspection (see No. 11.14);
- Unreported safeguards significant changes to facility design or operating conditions (see No. 3.28);
- A discrepancy involving 1 SQ or more of nuclear material (see No. 3.25);
- A significant departure from the agreed recording and reporting system (see No. 6.1);
- Failure of the facility operator to comply with agreed measurement standards or sampling methods (see No. 6.1);
- (For bulk handling facilities) a negative conclusion resulting from the evaluation of MUF (material unaccounted for), SRD (shipper/receiver difference) or other statistics (see No. 10.1);
- IAEA seals on equipment detached by non-IAEA staff, lost or showing signs of tampering (see Nos 8.5 and 8.12);
- Evidence of tampering with IAEA equipment (see No. 8.12).

**3.27. Facility practices** — a set of “prudent management practices required for the economic and safe performance of nuclear activities” [153, para. 4(c)] as applied by the facility operator. These practices include features which are relevant for the implementation of the facility safeguards approach (see No. 3.3), such as material identification and measurement procedures, record keeping, inventory taking frequencies and procedures, designation of measurement points and storage arrangements.

**3.28. Design information** — “information concerning nuclear material subject to safeguards under the agreement and the features of facilities relevant to safeguarding such material” [153, para. 8]; similarly in [66, para. 32]. Design information includes the facility description; the form, quantity, location and flow of nuclear material being used; facility layout and containment features; and procedures for nuclear material

accountancy and control. This information is used by the IAEA, inter alia: to design the facility safeguards approach (see No. 3.3), to determine material balance areas (see No. 6.4) and select key measurement points and other strategic points (see No. 6.5), to develop the design information verification plan (see No. 3.31) and to establish the essential equipment list (see No. 3.32). Design information for existing facilities should be provided by the State during discussion of the Subsidiary Arrangements (see No. 1.26); in the case of new facilities, such information is to be provided by the State as early as possible before nuclear material is introduced into a new facility. Further, the State is to provide preliminary information on any new nuclear facility as soon as the decision is taken to construct, or to authorize the construction of, the facility, and to provide further information on the safeguards relevant features of facility design early in the stages of project definition, preliminary design, construction and commissioning. Facility design information is to be provided for any safeguards relevant changes in operating conditions throughout the facility life cycle (see No. 5.29). Under an INFCIRC/66-type safeguards agreement, the State is to provide design information on principal nuclear facilities to enable the IAEA to perform the design review at as early a stage as possible [66, para. 31]. Design information is submitted to the IAEA by the State using the IAEA design information questionnaire (DIQ).

**3.29. Design information examination (DIE)** — activities carried out by the IAEA to determine that the State has provided all relevant descriptive and technical information needed, inter alia, to design a safeguards approach for a specific facility (see No. 3.3).

**3.30. Design information verification (DIV)** — activities carried out by the IAEA at a facility to verify the correctness and completeness of the design information provided by the State (see No. 3.28). An initial DIV is performed on a newly built facility to confirm that the as-built facility is as declared. A DIV is performed periodically on existing facilities to confirm the continued validity of the design information and of the safeguards approach. The IAEA's authority for performing a DIV is a continuing right throughout all phases of a facility's life cycle until the facility has been decommissioned for safeguards purposes (see Nos 5.29 and 5.30).

**3.31. Design information verification plan (DIVP)** — a document prepared by the IAEA identifying the design information verification activities (see No. 3.30) required for each phase of a facility's life cycle (see No. 5.29).

**3.32. Essential equipment list (EEL)** — a list of equipment, systems and structures essential for the declared operation of a facility. The EEL is facility specific and is established during the design information examination (see No. 3.29); it identifies those items that may influence the facility's operational status, function, capabilities

and inventory. The list is maintained and updated as part of the design information verification plan (DIVP) implementation (see No. 3.31).

**3.33. State system of accounting for and control of nuclear material (SSAC)** — organizational arrangements at the national level which may have both a national objective to account for and control nuclear material in the State and an international objective to provide the basis for the application of IAEA safeguards under an agreement between the State and the IAEA (see No. 6.1). Under a comprehensive safeguards agreement, the State is required to establish and maintain a system of accounting for and control of nuclear material subject to safeguards under the agreement. The system “shall be based on a structure of material balance areas, and shall make provision...for the establishment of such measures as:

- (a) A measurement system for the determination of the quantities of nuclear material received, produced, shipped, lost or otherwise removed from inventory, and the quantities on inventory;
- (b) The evaluation of precision and accuracy of measurements and the estimation of measurement uncertainty;
- (c) Procedures for identifying, reviewing and evaluating differences in shipper/receiver measurements;
- (d) Procedures for taking a physical inventory;
- (e) Procedures for the evaluation of accumulations of unmeasured inventory and unmeasured losses;
- (f) A system of records and reports showing, for each material balance area, the inventory of nuclear material and the changes in that inventory including receipts into and transfers out of the material balance area;
- (g) Provisions to ensure that the accounting procedures and arrangements are being operated correctly; and
- (h) Procedures for the provisions of reports to the Agency” [153, para. 32].

INFCIRC/66-type safeguards agreements do not explicitly call for States to establish and maintain a system of accounting for and control of nuclear material, but the fact that [66] calls for agreement between the IAEA and the State on a “system of records” and a “system of reports” implies the need for an appropriate organizational arrangement at the State level.

**3.34. Regional system of accounting for and control of nuclear material (RSAC)** — organizational arrangements that are made by a number of States in a region to institute a regional authority that fulfils for each of the States the functions that otherwise need to be performed by an SSAC for a single State (see No. 3.33).

**3.35. New partnership approach (NPA)** — an approach for implementing safeguards in the non-nuclear-weapon States members of Euratom, agreed between the IAEA and Euratom in 1992. The approach provides for common use of safeguards equipment, joint scheduling of inspections and special arrangements for inspection work and data sharing by the two organizations. The NPA enables the IAEA to economize on safeguards equipment and inspection efforts deployed in the relevant States while maintaining its ability to perform independent verification.

**3.36. Safeguards quality assurance** — in the context of IAEA safeguards, a management tool for ensuring a systematic approach to all of the activities affecting the quality of the safeguards implementation. To this end, the IAEA applies quality control techniques to, for example, the implementation of containment and surveillance measures, inspection documentation and safeguards information processing. In addition, quality audits are used to independently determine that each activity has been satisfactorily performed or that necessary corrective actions are being taken, and to identify opportunities for continuous improvement.

## 4. NUCLEAR AND NON-NUCLEAR MATERIAL

*Nuclear material is necessary for the production of nuclear weapons or other nuclear explosive devices. Under comprehensive safeguards agreements, the IAEA verifies that all nuclear material subject to safeguards has been declared and placed under safeguards. Certain non-nuclear materials are essential for the use or production of nuclear material and may also be subject to IAEA safeguards under certain agreements.*

**4.1. Nuclear material** — any source material (see No. 4.4) or special fissionable material (see No. 4.5) as defined in Article XX of [ST]. See also [153, para. 112], [66, para. 77] and [540, Article 18.h].

**4.2. Nuclide** — a species of atom characterized by the number of protons (atomic number) and the number of protons and neutrons together (mass number).

**4.3. Isotope** — one of two or more atoms of the same element that have the same number of protons in their nucleus but different numbers of neutrons. Isotopes have the same atomic number but different mass numbers. Isotopes of an element are denoted by indicating their mass numbers as superscripts to the element symbol, e.g.  $^{233}\text{U}$  or  $^{239}\text{Pu}$ , or as numbers following the name or symbol of the element, e.g. uranium-233 or Pu-239. Some isotopes are unstable to the extent that their decay needs to be considered for nuclear material accountancy purposes (e.g.  $^{241}\text{Pu}$  has a half-life of 14.35 years).

**4.4. Source material** — “uranium containing the mixture of isotopes occurring in nature; uranium depleted in the isotope 235; thorium; any of the foregoing in the form of metal, alloy, chemical compound, or concentrate; any other material containing one or more of the foregoing in such concentration as the Board of Governors shall from time to time determine; and such other material as the Board of Governors shall from time to time determine” [ST, Article XX.3]. According to para. 112 of [153], “the term source material shall not be interpreted as applying to ore or ore residue. Any determination by the Board under Article XX of the Statute of the Agency after the entry into force of this Agreement which adds to the materials considered to be source material or special fissionable material shall have effect under this Agreement only upon acceptance by the State”; see also [540, Article 18.h]. However, ore concentrate is considered to be source material. (See also No. 2.11.)

**4.5. Special fissionable material** — “plutonium-239; uranium-233; uranium enriched in the isotopes 235 or 233; any material containing one or more of the foregoing; and such other fissionable material as the Board of Governors shall from

time to time determine; but the term ‘special fissionable material’ does not include source material” [ST, Article XX.1]. See also [153, para. 112] and [540, Article 18.h]. (See also No. 4.4.)

**4.6. Fissionable material** — in general, an isotope or a mixture of isotopes capable of nuclear fission. Some fissionable materials are capable of fission only by sufficiently fast neutrons (e.g. neutrons of a kinetic energy above 1 MeV). Isotopes that undergo fission by neutrons of all energies, including slow (thermal) neutrons, are usually referred to as fissile materials or fissile isotopes. For example, isotopes  $^{233}\text{U}$ ,  $^{235}\text{U}$ ,  $^{239}\text{Pu}$  and  $^{241}\text{Pu}$  are referred to as both fissionable and fissile, while  $^{238}\text{U}$  and  $^{240}\text{Pu}$  are fissionable but not fissile.

**4.7. Fertile material** — a nuclear material which can be converted into a special fissionable material through capture of one neutron per nucleus. There are two naturally occurring fertile materials:  $^{238}\text{U}$  and  $^{232}\text{Th}$ . Through the capture of neutrons followed by two beta decays, these fertile materials are converted to fissionable  $^{239}\text{Pu}$  and  $^{233}\text{U}$ , respectively.

**4.8. Uranium** — a naturally occurring radioactive element with atomic number 92 and symbol U. Natural uranium contains isotopes 234, 235 and 238; uranium isotopes 232, 233 and 236 are produced by transmutation.

**4.9. Natural uranium** — uranium as it occurs in nature, having an atomic weight of approximately 238 and containing minute quantities of  $^{234}\text{U}$ , about 0.7%  $^{235}\text{U}$  and 99.3%  $^{238}\text{U}$ . Natural uranium is usually supplied in raw form by uranium mines and concentration (ore processing) plants as uranium ore concentrate, most commonly the concentrated crude oxide  $\text{U}_3\text{O}_8$ , often called yellow cake (see No. 5.16).

**4.10. Depleted uranium** — uranium in which the abundance of the isotope  $^{235}\text{U}$  is less than that occurring in natural uranium, e.g. uranium in spent fuel from natural uranium fuelled reactors and tails from uranium enrichment processes.

**4.11. Enriched uranium** — uranium having a higher abundance of fissile isotopes than natural uranium. Enriched uranium is considered a special fissionable material (see No. 4.5).

**4.12. Low enriched uranium (LEU)** — enriched uranium containing less than 20% of the isotope  $^{235}\text{U}$ . LEU is considered a special fissionable material (see No. 4.5) and an indirect use material (see No. 4.26).



**4.13. High enriched uranium (HEU)** — uranium containing 20% or more of the isotope  $^{235}\text{U}$ . HEU is considered a special fissionable material (see No. 4.5) and a direct use material (see No. 4.25).

**4.14. Uranium-233** — an isotope of uranium which is produced by transmutation of  $^{232}\text{Th}$  through irradiating thorium fuel in a reactor. Uranium-233 is considered a special fissionable material (see No. 4.5) and a direct use material (see No. 4.25).

**4.15. Plutonium** — a radioactive element which occurs only in trace amounts in nature, with atomic number 94 and symbol Pu. As produced by irradiating uranium fuels, plutonium contains varying percentages of the isotopes 238, 239, 240, 241 and 242. Plutonium containing any  $^{239}\text{Pu}$  is considered a special fissionable material (see No. 4.5) and, except for plutonium containing 80% or more of  $^{238}\text{Pu}$ , a direct use material (see No. 4.25).

**4.16. Mixed oxide (MOX)** — a mixture of the oxides of uranium and plutonium used as reactor fuel for the recycling of plutonium in thermal nuclear reactors ('thermal recycling') and for fast reactors. MOX is considered a special fissionable material (see No. 4.5) and a direct use material (see No. 4.25).

**4.17. Thorium** — a radioactive element with atomic number 90 and symbol Th. Naturally occurring thorium consists only of the fertile isotope  $^{232}\text{Th}$ , which through transmutation becomes the fissionable  $^{233}\text{U}$ .

**4.18. Americium** — a radioactive element with atomic number 95 and symbol Am. Isotopes of americium, which are formed by neutron capture or by the decay of  $^{241}\text{Pu}$ , are fissionable and may have the potential to be used in a nuclear explosive device. While not defined under the IAEA Statute [ST] as source material or special fissionable material (see Nos 4.4 and 4.5), information on separated americium is collected by the IAEA under voluntary arrangements with relevant States. Americium has sometimes been referred to as an 'alternative nuclear material.'

**4.19. Neptunium** — a radioactive element with atomic number 93 and symbol Np. The isotope  $^{237}\text{Np}$  is both fissionable and fissile; it is formed during the irradiation of fuel in reactors and may be separated from high level waste and reprocessing streams. While not defined under the IAEA Statute [ST] as source material or special fissionable material (see Nos 4.4 and 4.5), separated neptunium is monitored by the IAEA under voluntary arrangements with relevant States. Neptunium has sometimes been referred to as an 'alternative nuclear material.'

**4.20. Enrichment** — “the ratio of the combined weight of the isotopes uranium-233 and uranium-235 to that of the total uranium in question” [153, para. 105], [66, para. 73], usually stated as a percentage. Although this definition deals with the combined weight of the two fissile uranium isotopes, in practice they are rarely mixed and are normally accounted for separately. The term ‘enrichment’ is also used in relation to an isotope separation process by which the abundance of a specified isotope in an element is increased, such as the production of enriched uranium or heavy water, or of plutonium with an increase in the fissile isotope.

**4.21. Depletion** — any process by which the abundance of a specified isotope (e.g. a fissile isotope) in an element is reduced, such as the stripping process in an enrichment plant, the burnup of nuclear fuel in a reactor or radioactive decay (e.g. the decay of  $^{241}\text{Pu}$  contained in spent fuel).

**4.22. Transmutation** — the conversion of one nuclide into another through one or more nuclear reactions, and more specifically, the conversion of an isotope of one element into an isotope of another element through one or more nuclear reactions. For example,  $^{238}\text{U}$  is converted into  $^{239}\text{Pu}$  by neutron capture followed by the emission of two beta particles.

**4.23. Material type** — classification of nuclear material according to the element contained and, for uranium, the degree of enrichment. The types are: plutonium; high enriched uranium;  $^{233}\text{U}$ ; depleted, natural and low enriched uranium; and thorium.

**4.24. Material category** — categorization of nuclear material according to its irradiation status and suitability for conversion into components of nuclear explosive devices. The categories are: unirradiated direct use material, irradiated direct use material and indirect use material.

**4.25. Direct use material** — nuclear material that can be used for the manufacture of nuclear explosive devices without transmutation or further enrichment. It includes plutonium containing less than 80%  $^{238}\text{Pu}$ , high enriched uranium and  $^{233}\text{U}$ . Chemical compounds, mixtures of direct use materials (e.g. mixed oxide (MOX)), and plutonium in spent reactor fuel fall into this category. Unirradiated direct use material is direct use material which does not contain substantial amounts of fission products; it would require less time and effort to be converted to components of nuclear explosive devices than irradiated direct use material (e.g. plutonium in spent reactor fuel) that contains substantial amounts of fission products.

**4.26. Indirect use material** — all nuclear material except direct use material. It includes: depleted, natural and low enriched uranium, and thorium, all of which must be further processed in order to produce direct use material.

**4.27. Material form** — classification of nuclear material according to its physical form; material can be either in item form or in bulk form. Material is in item form as long as it consists of individually identifiable units (e.g. fuel assembly, bundle, pin, plate or coupon) that are kept intact during their stay in a material balance area. Bulk material is material in loose form, such as liquid, gas or powder, or in a large number of small units (e.g. pellets or pebbles) that are not each individually identified for nuclear material accountancy purposes.

**4.28. Improved nuclear material** — as defined in para. 74 of [66], nuclear material that has been altered in such a way that “either:

- (a) The concentration of fissionable isotopes in it has been increased; or
- (b) The amount of chemically separable fissionable isotopes in it has been increased; or
- (c) Its chemical or physical form has been changed so as to facilitate further use or processing”.

**4.29. Strategic value** — a relative measure of the suitability of a nuclear material for conversion into components of nuclear explosive devices. (See also Nos 4.25 and 4.26.)

**4.30. Effective kilogram (ekg)** — a special unit used in the safeguarding of nuclear material. As defined in para. 104 of [153] and para. 72 of [66], the quantity of nuclear material in effective kilograms is obtained by taking:

- (a) For plutonium, its weight in kilograms;
- (b) For uranium with an enrichment of 0.01 (1%) and above, its weight in kilograms multiplied by the square of its enrichment;
- (c) For uranium with an enrichment below 0.01 (1%) and above 0.005 (0.5%), its weight in kilograms multiplied by 0.0001;
- (d) For depleted uranium with an enrichment of 0.005 (0.5%) or below, and for thorium, its weight in kilograms multiplied by 0.00005.

**4.31. Feed material** — nuclear material introduced at the start of a process operation, e.g.  $UF_6$  as the feed to an enrichment process or to a  $UO_2$  conversion process, or  $UO_2$  as the feed to a fuel fabrication operation.

**4.32. Intermediate product** — nuclear material in an intermediate process stage, e.g. green (unsintered) pellets in a fuel fabrication operation.

**4.33. Product** — nuclear material processed to the point of being ready for shipment from a facility, e.g.  $UF_6$  from an enrichment plant or fuel assemblies from a fuel fabrication operation.

**4.34. Scrap** — rejected nuclear material removed from the process stream. Clean scrap comprises rejected process material that can be reintroduced into the process stream without the need for purification; dirty scrap requires separation of the nuclear material from contaminants, or chemical treatment to return the material to a state acceptable for subsequent processing.

**4.35. Waste** — nuclear material in concentrations or chemical forms which do not permit economic recovery and which is designated for disposal. Disposal methods depend on the radioactivity level of the waste and normally include conditioning of the waste into a suitable form, e.g. vitrification of high level liquid waste or mixing of hulls and medium level waste with cement. For safeguarded nuclear material contained in waste, arrangements for termination of safeguards (see No. 2.12) should be agreed between the State and the IAEA before disposal.

**4.36. Hold-up** — nuclear material deposits remaining after shutdown of a plant in and about process equipment, interconnecting piping, filters and adjacent work areas. For plants in operation, the hold-up is the amount of nuclear material contained in the process. It is also referred to as in-process inventory (see No. 6.56).

**4.37. Fuel element** (fuel assembly, fuel bundle) — a grouping of fuel rods, pins, plates or other fuel components held together by spacer grids and other structural components to form a complete fuel unit which is maintained intact during fuel transfer and irradiation operations in a reactor.

**4.38. Fuel component** — any of the components of fuel elements containing nuclear material sealed in metal cladding (e.g. subassemblies and fuel rods, pins or plates), as defined in the Subsidiary Arrangements for batch definition and reporting purposes.

**4.39. Pellet** — a cylindrical compact of nuclear material, generally oxide, highly compressed and subsequently sintered to a ceramic state. In reactor fuel fabrication, uranium oxide or mixed oxide pellets are normally loaded into Zircaloy tubes to form a fuel rod.

**4.40. Specified non-nuclear material** — for safeguards purposes, non-nuclear material that can be used for the production of special fissionable material (see No. 4.5). Under Article 2.a.(ix) of [540], States are to provide the IAEA with certain information on exports and, when requested, with the confirmation of imports of such materials in quantities exceeding the limits indicated in the relevant items contained in the List of Specified Equipment and Non-nuclear Material for the Reporting of Exports and Imports according to Article 2.a.(ix) of [540, Annex II] (see No. 12.14). The non-nuclear materials specified include nuclear grade graphite, and deuterium and heavy water (see Nos 4.41 and 4.42). Similar information may be provided to the IAEA by States participating in the voluntary reporting scheme (see No. 1.27). Specified non-nuclear material may also be subject to IAEA safeguards under INFCIRC/66-type safeguards agreements.

**4.41. Nuclear grade graphite** — graphite having a purity level better than 5 parts per million boron equivalent and with a density greater than  $1.5 \text{ g/cm}^3$  for use in a nuclear reactor in quantities exceeding  $3 \times 10^4 \text{ kg}$  (30 metric tonnes) for any one recipient country in any period of 12 months. Such graphite is listed in Annex II of [540]. (See also No. 4.40.)

*Note:* Boron equivalent (BE) for graphite expresses the quality of the graphite as a neutron moderator in terms of a concentration of naturally occurring boron that corresponds to the same capture level for thermal neutrons as the combined impurities in the graphite.

**4.42. Deuterium and heavy water** — the isotope of hydrogen with mass number 2,  $^2\text{H}$ , is commonly called deuterium (symbol D); it occurs naturally with an abundance in water of about 150 parts per million. The highly enriched form of water (heavy water, more than 99.5%  $\text{D}_2\text{O}$ ) is used as a moderator in natural uranium fuelled reactors. Deuterium, heavy water and any other deuterium compound in which the ratio of deuterium to hydrogen atoms exceeds 1:5000 for use in a nuclear reactor in quantities exceeding 200 kg of deuterium atoms for any one recipient country in any period of 12 months are listed in Annex II of [540]. (See also No. 4.40.)

**4.43. Zircaloy** — alloy consisting of zirconium and small amounts of other metals (Sn, Fe, Cr, Ni), used as a cladding material for reactor fuel, especially in light water reactors. Zirconium metal and alloys in the form of tubes or assemblies of tubes, and in quantities exceeding 500 kg in any period of 12 months, especially designed or prepared for use in a nuclear reactor and in which the relation of hafnium to zirconium is less than 1:500 parts by weight are listed in Annex II of [540]. (See also Nos 4.40 and 5.33.)

## 5. NUCLEAR AND NUCLEAR RELATED ACTIVITIES AND INSTALLATIONS

*Safeguards agreements between a State (or States) and the IAEA define conditions under which safeguards will be applied at nuclear installations in the State (or States). In addition, States may have arrangements with the IAEA requiring the submission to the IAEA of information on nuclear related activities and on the export and/or import of specified equipment.*

**5.1. Nuclear fuel cycle** — a system of nuclear installations and activities interconnected by streams of nuclear material. The characteristics of the fuel cycle may vary widely from State to State, from a single reactor supplied from abroad with fuel, to a fully developed system. Such a system may consist of uranium mines and concentration (ore processing) plants, thorium concentration plants, conversion plants, enrichment (isotope separation) plants, fuel fabrication plants, reactors, spent fuel reprocessing plants and associated storage installations. The fuel cycle can be ‘closed’ in various ways, for example by the recycling of enriched uranium and plutonium through thermal reactors (thermal recycle), by the re-enrichment of the uranium recovered as a result of spent fuel reprocessing or by the use of plutonium in a fast breeder reactor.

**5.2. Nuclear fuel cycle related research and development activities** — “those activities which are specifically related to any process or system development aspect of any of the following: conversion of nuclear material, enrichment of nuclear material, nuclear fuel fabrication, reactors, critical facilities, reprocessing of nuclear fuel, processing (not including repackaging or conditioning not involving the separation of elements, for storage or disposal) of intermediate or high level waste containing plutonium, high enriched uranium or uranium-233, but do not include activities related to theoretical or basic scientific research or to research and development on industrial radioisotope applications, medical, hydrological and agricultural applications, health and environmental effects and improved maintenance” [540, Article 18.a]. (See also No. 12.14.)

**5.3. Installation** — a facility or location outside facilities (LOF) under [153] and [540] (or ‘other location’ under [66]). For IAEA planning and reporting of safeguards implementation, each installation is uniquely identified by a corresponding installation code, which is used, inter alia, to identify separately each of the installations in a group covered by the same Facility Attachment or the same LOF Attachment (see No. 1.26).

**5.4. Categorization of installations** — a classification of nuclear and non-nuclear installations used for IAEA planning and reporting of safeguards implementation. The categories are as follows:

- A: Power reactors,
- B: Research reactors and critical assemblies,
- C: Conversion plants,
- D: Fuel fabrication plants,
- E: Reprocessing plants,
- F: Enrichment (isotope separation) plants,
- G: Separate storage facilities,
- H: Other facilities,
- I: Locations outside facilities,
- J: Non-nuclear facilities or locations (for INFCIRC/66-type safeguards agreements only).

**5.5. Reactor** — “any device in which a controlled, self-sustaining fission chain reaction can be maintained” [66, para. 80]. Reactors are the most numerous type of nuclear facility where safeguards are applied. Depending on their power level and purpose, reactors are subdivided into power reactors, research reactors and critical assemblies (see Nos 5.6–5.15).

**5.6. Power reactor** — a reactor intended to produce electrical power, power for propulsion, or power for district heating, desalination or industrial purposes. The design of IAEA safeguards approaches for power reactors depends considerably on whether they are refuelled during shutdown or during operation.

**5.7. Off-load refuelled power reactor** — a reactor refuelled while it is shut down, the facility’s generators are disconnected from the electric grid and/or no heat is produced for utilization. Periods when off-load refuelled reactors are shut down for refuelling usually provide an opportunity for the IAEA to verify fuel in the reactor cores.

**5.8. Light water reactor (LWR)** — an off-load refuelled power reactor which is both moderated and cooled by ordinary (light) water. LWR fuel assemblies usually consist of Zircaloy clad fuel rods containing uranium oxide pellets of low enrichment, generally less than 5%  $^{235}\text{U}$ , or mixed oxide (MOX) having a low plutonium content, generally less than 5%. There are two types of LWR: boiling water reactors (BWRs) and pressurized water reactors (PWRs). In a BWR, the heat generated is extracted by allowing the water to boil as it passes through the reactor core, the steam raised being passed directly to the turbine. In a PWR, the reactor vessel is operated at a pressure sufficient to suppress the boiling of the water; the steam required for the turbine is produced in the secondary circuit by passing the primary coolant water through heat exchangers (steam generators).

**5.9. On-load refuelled power reactor (OLR)** — a reactor that does not have to be shut down for refuelling and is refuelled while producing power for electricity generation and/or heat utilization. Refuelling on-load influences the design of IAEA safeguards approaches for OLR facilities in respect of core fuel verification.

**5.10. Heavy water reactor (HWR)** — a reactor using heavy water as the moderator. A prominent example is the Canadian deuterium uranium (CANDU) type reactor, which is moderated and cooled by heavy water and is fuelled with natural uranium. The fuel bundles, located in horizontal pressure tubes, consist of Zircaloy tubes filled with uranium oxide pellets. CANDU reactors are refuelled on-load and, for safeguards purposes, are treated as item facilities (see No. 5.27). There are also HWRs that operate with a pressure vessel (similar to LWRs (see No. 5.8)) and those where light water is used as coolant.

**5.11. Graphite moderated reactor** — a reactor using nuclear grade graphite as the moderator and gas or light water as the coolant. Magnox type power reactors are carbon dioxide cooled and natural uranium fuelled, with the fuel cladding of a magnesium alloy (hence the name Magnox). Advanced gas cooled reactors (AGRs) are cooled with carbon dioxide and fuelled with low enriched uranium oxide, clad in stainless steel. Reactors of the RBMK type (the acronym in Russian for ‘reactor of high power, boiling’) are power reactors that use graphite as the moderator and boiling light water as the coolant. The fuel is low enriched uranium oxide, clad in Zircaloy and contained in vertical pressure tubes. Magnox type power reactors, AGRs and RBMK type reactors are treated, for safeguards purposes, as item facilities (see No. 5.27). In high temperature gas cooled reactors (HTGRs), fuel can be in the form of pebbles made of oxide or carbide nuclear material particles embedded in a matrix of graphite; reactors with pebble type fuel are treated, for safeguards purposes, as bulk handling facilities (see No. 5.28).

**5.12. Fast reactor** — a reactor that, unlike thermal reactors, operates mainly with fast neutrons (neutrons in the energy range above 0.1 MeV) and does not need a moderator. Fast reactors are generally designed to use plutonium fuels and can produce, through transmutation of  $^{238}\text{U}$ , more plutonium than they consume, i.e. they can be operated as breeder reactors with a conversion ratio greater than unity.

**5.13. Research reactor** — a reactor used as a research tool for basic or applied research or for training. Some reactors are used for radioisotope production. The fission heat is generally removed by the coolant at low temperature and is usually not used. A wide variety of research reactors exist, such as swimming pool reactors and high flux reactors. Most research reactors are treated, for safeguards purposes, as item facilities (see No. 5.27). Examples are:



- (a) Materials testing reactor (MTR) — a high enriched uranium fuelled and water cooled thermal reactor used to produce a neutron flux for testing material properties and other applications. The fuel assemblies usually consist of an array of aluminium clad plates containing a uranium–aluminium alloy.
- (b) TRIGA reactor — a water cooled research reactor normally fuelled with uranium enriched to just less than 20%  $^{235}\text{U}$  in a uranium–zirconium hydride mixture to form a solid, homogeneous fuel rod, clad in Zircaloy.

**5.14. Critical assembly** — an installation used for research and consisting of a configuration of nuclear material which, by means of appropriate controls, can sustain a chain reaction. It is distinguishable from a research reactor or a power reactor in that it normally has no special provisions for cooling, is not shielded for high power operation, has a core designed for flexibility of arrangement, and uses fuel in a readily accessible form which is frequently repositioned and varied to investigate various reactor concepts. Depending on fuel design, a critical assembly may be classified, for safeguards purposes, as an item facility (see No. 5.27) or as a bulk handling facility (see No. 5.28).

**5.15. Subcritical assembly** — an installation similar to a critical assembly but physically incapable of sustaining a chain reaction because of the limited mass of nuclear material and limitations on its distribution or configuration. Subcritical assemblies are used in reactor physics research and for training.

**5.16. Uranium mine and concentration (ore processing) plant** — installations, respectively, for mining uranium ore and for refining it to produce uranium ore concentrate, most commonly into concentrated crude oxide,  $\text{U}_3\text{O}_8$  (often called yellow cake). According to paras 34(a) and 34(b) of [153], uranium mining and ore processing are activities which are not required to be declared, although certain imports and exports of ore concentrate are required to be reported to the IAEA. However, according to Article 2.a.(v) of [540], the State shall provide the IAEA with information specifying the location, the operational status and the estimated annual production capacity of uranium mines and concentration plants and thorium concentration plants, and the current annual production of such mines and concentration plants for the State as a whole. Further, the State shall provide, upon request by the IAEA, the current annual production of an individual mine or concentration plant. The provision of this information does not require detailed nuclear material accountancy.

**5.17. Conversion plant** — an installation for converting the chemical composition of nuclear material so as to facilitate its further use or processing, in particular to provide feed material for isotope separation and/or reactor fuel fabrication. To produce

material for isotope separation, natural uranium ore concentrates or uranium oxides from reprocessing are converted into uranium hexafluoride ( $\text{UF}_6$ ). To produce material for fuel fabrication, the following conversions are carried out:  $\text{U}_3\text{O}_8$  or  $\text{UF}_6$  to uranium dioxide ( $\text{UO}_2$ ); U or Pu nitrate to oxide; and U or Pu oxides to metal. Operations to convert  $\text{UF}_6$  to  $\text{UO}_2$  normally are performed in conversion sections of uranium fuel fabrication plants, while conversions of U or Pu nitrates to oxides normally are performed in conversion sections of reprocessing plants or in mixed oxide (MOX) fuel fabrication plants.

**5.18. Fuel fabrication plant** — an installation for manufacturing fuel elements or other reactor components containing nuclear material. The associated conversion, storage and analytical sections are usually included as parts of the fabrication plant. For safeguards purposes, fuel fabrication plants are further categorized according to the nuclear material handled: natural uranium, depleted uranium, low enriched uranium (LEU), high enriched uranium (HEU), thorium, mixed plutonium–uranium oxide (MOX) and plutonium.

**5.19. Scrap recovery plant** — an installation in which scrap consisting of or containing nuclear material is treated by separating unwanted material and converting the nuclear material to forms usable for processing, usually by dissolution, solvent extraction and precipitation of the material. Scrap recovery sections of other installations, especially fuel fabrication plants, are treated as parts of those installations.

**5.20. Enrichment plant (or isotope separation plant)** — an installation for the separation of isotopes of uranium to increase the abundance of  $^{235}\text{U}$ . The main isotope separation processes used in enrichment plants are gas centrifuge or gaseous diffusion processes operating with uranium hexafluoride ( $\text{UF}_6$ ) (which is also the feed material for aerodynamic and molecular laser processes). Other isotope separation processes include electromagnetic, chemical exchange, ion exchange, and atomic vapour laser and plasma processes.

**5.21. Reprocessing plant** — an installation for the chemical separation of nuclear material from fission products, following dissolution of spent fuel. The installation may also include the associated storage, head-end (cutting and dissolution) operations, conversion and analytical sections, a waste treatment facility, and liquid and solid waste storage. Reprocessing involves the following steps: fuel receipt and storage, fuel decladding and dissolution, separation of uranium and plutonium and possibly other actinides (e.g. americium and neptunium) from fission products, separation of uranium from plutonium, and purification of uranium and plutonium. Once purified, uranium nitrate and plutonium nitrate may be converted, respectively, to  $\text{UO}_2$  and  $\text{PuO}_2$  powder at the reprocessing plant.

**5.22. Storage facility** — an installation designed to store nuclear material.

**5.23. Heavy water production plant** — a non-nuclear installation for the production of heavy water (deuterium oxide). Heavy water production plants, and equipment especially designed or prepared therefor, can be subject to safeguards under INFCIRC/66-type safeguards agreements. Under [540], the production or upgrading of heavy water or deuterium, and the export of such specified non-nuclear material and the equipment for its production, are to be declared to the IAEA. (See also Nos 4.42 and 5.33.)

**5.24. Facility** — “a reactor, a critical facility, a conversion plant, a fabrication plant, a reprocessing plant, an isotope separation plant or a separate storage installation; or any location where nuclear material in amounts greater than one effective kilogram is customarily used” [153, para. 106], [540, Article 18.j]. Under [66], two kinds of facility are defined (in paras 78 and 81, respectively).

**5.25. Location outside facilities (LOF)** — “any installation or location, which is not a facility, where nuclear material is customarily used in amounts of one effective kilogram or less” [540, Article 18.j]. This term also applies under para. 49 of [153], where LOF is described as a location containing “nuclear material customarily used outside facilities”. The corresponding term under para. 66 of [66] is ‘other locations’, which is used in INFCIRC/66-type safeguards agreements to refer to installations where nuclear material outside of principal nuclear facilities is held, e.g. source material stored elsewhere than in a sealed storage facility.

**5.26. Facility type** — used as the basis for IAEA planning and reporting of safeguards implementation. A facility type may consist of one or more installations, with the main category of installations (see No. 5.4) defining the facility type.

**5.27. Item facility** — a facility where all nuclear material is kept in item form and the integrity of the item remains unaltered during its residence at the facility. In such cases, IAEA safeguards are based on item accountancy procedures (e.g. item counting and identification, non-destructive measurements of nuclear material and the verification of the continued integrity of the items). Examples of item facilities are most reactors and critical assemblies (critical facilities), and storage installations for reactor fuel.

**5.28. Bulk handling facility** — a facility where nuclear material is held, processed or used in bulk form. Where appropriate, bulk handling facilities may be organized for safeguards purposes into multiple material balance areas (MBAs), for instance by separating activities relating only to the storage and assembly of discrete fuel items

from those involving storage or processing of bulk material. In a bulk MBA, flow and inventory values declared by the facility operator are verified by the IAEA through independent measurements and observation. Examples of bulk handling facilities are plants for conversion, enrichment (or isotope separation), fuel fabrication and spent fuel reprocessing, and storage facilities for bulk material.

**5.29. Facility life cycle** — for safeguards purposes, a set of phases over the lifetime of a nuclear facility, starting with the decision to construct, or authorize the construction of, the facility and ending when the IAEA and the State agree that the facility is decommissioned (see No. 5.31). The following comprise the facility life cycle phases: pre-construction, construction, commissioning, operating, maintenance or modification, shut down, closed down (see No. 5.30) and decommissioned. It is possible for parts of a facility to be in different life cycle phases.

**5.30. Closed-down facility (or closed-down location outside facilities)** — “an installation or location where operations have been stopped and the nuclear material removed but which has not been decommissioned” [540, Article 18.d].

**5.31. Decommissioned facility (or decommissioned location outside facilities)** — “an installation or location at which residual structures and equipment essential for its use have been removed or rendered inoperable so that it is not used to store and can no longer be used to handle, process or utilize nuclear material” [540, Article 18.c].

**5.32. Geological repository** — underground installation for the disposal of nuclear material, such as spent fuel, usually located more than several hundred metres below ground level in a stable geological formation that ensures long term isolation of radionuclides from the biosphere. In the operating phase the repository will include a reception area which may be above or below ground, as well as container handling and emplacement areas underground. After the final closure, the backfilling of all emplacement areas in the repository will have been completed and all surface activities ceased.

**5.33. Specified equipment** — under Article 2.a.(ix) of [540], States are to provide the IAEA with certain information on exports and, when requested, with the confirmation of imports of equipment and non-nuclear material specified in the List of Specified Equipment and Non-nuclear Material for the Reporting of Exports and Imports According to Article 2.a.(ix) [540, Annex II] (see No. 12.14). The list identifies such items that are especially designed or prepared for use in nuclear installations or for the production of heavy water. Similar information may be provided to the IAEA by States participating in a voluntary reporting scheme (see

No. 1.27). Specified equipment may be subject to IAEA safeguards under INFCIRC/66-type safeguards agreements.

**5.34. Nuclear related dual use item** — an item which has a technical use in both nuclear and non-nuclear applications, and is subject to certain conditions of supply because such items could make a major contribution to a nuclear explosive activity. Dual use items are recognized as possible process indicators in the evaluation of the nuclear related significance of information on a State's activities (see No. 12.20). A list of nuclear related dual use items, including equipment, materials and related technology, is incorporated in the Nuclear Suppliers' Group Guidelines (see No. 1.29) and is published in [254, Part 2].

## 6. NUCLEAR MATERIAL ACCOUNTANCY

*Nuclear material accountancy within the framework of IAEA safeguards begins with the nuclear material accounting activities by facility operators and the State system of accounting for and control of nuclear material (SSAC), implemented in accordance with the provisions of the safeguards agreement between the IAEA and the State (or group of States). The IAEA applies nuclear material accountancy, complemented by containment and surveillance (C/S) measures, to independently verify the correctness of the accounting information generated by these activities.*

**6.1. Nuclear material accountancy** — the practice of nuclear material accounting as implemented by the facility operator and the State system of accounting for and control of nuclear material (SSAC) (see No. 3.33), inter alia, to satisfy the requirements in the safeguards agreement between the IAEA and the State (or group of States); and as implemented by the IAEA, inter alia, to independently verify the correctness of the nuclear material accounting information in the facility records and the reports provided by the SSAC to the IAEA. Nuclear material accountancy may include the following:

### *Facility level*

- (a) Dividing operations involving nuclear material into material balance areas (MBAs) (see No. 6.4);
- (b) Maintaining records on the quantities of nuclear material held within each MBA;
- (c) Measuring and recording all transfers of nuclear material from one MBA to another or changes in the amount of nuclear material within MBAs due to, for example, nuclear production (see No. 6.17) or nuclear loss (see No. 6.22);
- (d) Determining periodically the quantities of nuclear material present within each MBA through the taking of the physical inventory (see No. 6.41);
- (e) Closing the material balance over the period between two successive physical inventory takings and computing the material unaccounted for (MUF) (see No. 6.43) for that period;
- (f) Providing for a measurement control programme to determine the accuracy of calibrations and measurements (see No. 6.33) and the correctness of recorded source data (see No. 6.9) and batch data (see No. 6.8);
- (g) Testing the computed MUF against its limits of error for indications of any unrecorded nuclear loss or accidental gain (see Nos 6.22 and 6.18);
- (h) Analysing the accounting information to determine the cause and magnitude of mistakes in recording unmeasured losses, accidental losses and unmeasured inventory (hold-up) (see No. 4.36).

### *State Authority level*

- (a) Preparing and submitting nuclear material accounting reports to the IAEA, as appropriate (see, for example, Nos 12.4–12.8);
- (b) Ensuring that nuclear material accounting procedures and arrangements are adhered to;
- (c) Providing for IAEA inspector access and co-ordination arrangements, as necessary, to enable the IAEA to carry out its verification activities;
- (d) Verifying facility operators' nuclear material accountancy performance, as provided for in the SSAC regulations.

### *IAEA level*

- (a) Independently verifying nuclear material accounting information in facility records and State reports, and conducting activities as provided for in the safeguards agreement (see, for example, Nos 6.48–6.55);
- (b) Determining the effectiveness of the SSAC (see No. 3.33);
- (c) Providing statements to the State on the IAEA's verification activities (see, for example, Nos 13.2–13.8).

**6.2. Nuclear material accounting** — activities carried out to establish the quantities of nuclear material present within defined areas and the changes in those quantities within defined periods. Elements of nuclear material accounting include: establishment of accounting areas, record keeping, nuclear material measurement, preparation and submission of accounting reports, and verification of the correctness of the nuclear material accounting information.

**6.3. Near real time accountancy (NRTA)** — a form of nuclear material accountancy for bulk handling material balance areas in which itemized inventory and inventory change data are maintained by the facility operator and made available to the IAEA on a near real time basis so that inventory verification can be carried out and material balances can be closed more frequently than, for example, at the time of an annual physical inventory taking by the facility operator (see No. 6.41). When the in-process inventory (see No. 4.36) cannot be determined by measurement, NRTA requires that an estimate, including its uncertainty, be made of the inventory in each equipment item, on the basis of adequately documented techniques.

**6.4. Material balance area (MBA)** — as defined in para. 110 of [153], “an area in or outside of a facility such that:

- (a) The quantity of nuclear material in each transfer into or out of each ‘material balance area’ can be determined; and
- (b) The physical inventory of nuclear material in each ‘material balance area’ can be determined when necessary, in accordance with specified procedures, in order that the material balance for Agency safeguards purposes can be established”.

Paragraph 46(b) of [153] provides that design information made available to the IAEA shall be used: “To determine material balance areas to be used for Agency accounting purposes and to select those strategic points which are key measurement points and which will be used to determine the nuclear material flows and inventories; in determining such material balance areas the Agency shall, inter alia, use the following criteria:

- (i) The size of the material balance area should be related to the accuracy with which the material balance can be established;
- (ii) In determining the material balance area advantage should be taken of any opportunity to use containment and surveillance to help ensure the completeness of flow measurements and thereby simplify the application of safeguards and concentrate measurement efforts at key measurement points;
- (iii) A number of material balance areas in use at a facility or at distinct sites may be combined into one material balance area to be used for Agency accounting purposes when the Agency determines that this is consistent with its verification requirements; and
- (iv) If the State so requests, a special material balance area around a process step involving commercially sensitive information may be established”.

**6.5. Strategic point** — “a location selected during examination of design information where, under normal conditions and when combined with the information from all ‘strategic points’ taken together, the information necessary and sufficient for the implementation of safeguards measures is obtained and verified; a ‘strategic point’ may include any location where key measurements related to material balance accountancy are made and where containment and surveillance measures are executed” [153, para. 116].

**6.6. Key measurement point (KMP)** — “a location where nuclear material appears in such a form that it may be measured to determine material flow or inventory. ‘Key measurement points’ thus include, but are not limited to, the inputs and outputs (including measured discards) and storages in material balance areas” [153, para. 108].



**6.7. Batch** — “a portion of nuclear material handled as a unit for accounting purposes at a key measurement point and for which the composition and quantity are defined by a single set of specifications or measurements. The nuclear material may be in bulk form or contained in a number of separate items” [153, para. 100]. Examples are: a fuel assembly, a cylinder with UF<sub>6</sub>, several drums of UO<sub>2</sub> powder from the same production run and a number of fuel rods with the same specifications. Items included in the same batch are items containing nuclear material of the same element concentration and enrichment. Definitions of items and batches handled at a facility are included in the Subsidiary Arrangements (see No. 1.26).

**6.8. Batch data** — “the total weight of each element of nuclear material and, in the case of plutonium and uranium, the isotopic composition when appropriate. The units of account shall be as follows:

- (a) Grams of contained plutonium;
- (b) Grams of total uranium and grams of contained uranium-235 plus uranium-233 for uranium enriched in these isotopes; and
- (c) Kilograms of contained thorium, natural uranium or depleted uranium.

For reporting purposes the weights of individual items in the batch shall be added together before rounding to the nearest unit” [153, para. 101].

**6.9. Source data** — “those data, recorded during measurement or calibration or used to derive empirical relationships, which identify nuclear material and provide batch data. ‘Source data’ may include, for example, weight of compounds, conversion factors to determine weight of element, specific gravity, element concentration, isotopic ratios, relationship between volume and manometer readings and relationship between plutonium produced and power generated” [153, para. 115].

**6.10. Identity data (or identification data)** — those data needed to uniquely characterize an item, batch (see No. 6.7) or stratum (see No. 6.37). Examples are a material balance area (see No. 6.4), nuclear material type (see No. 4.23), batch identification, material description (see No. 6.13), and type and date of an inventory change (see No. 6.14).

**6.11. Element code** — a single-letter code used in fixed format (i.e. column delimited) for accounting reports, under an INFCIRC/153-type safeguards agreement, to characterize the relevant nuclear material (e.g. natural uranium (see No. 4.9), depleted uranium (see No. 4.10), enriched uranium (see No. 4.11) and unified uranium (see No. 6.12)).

**6.12. Unified uranium** — a category of uranium, used for nuclear material accounting and reporting purposes under INFCIRC/153-type safeguards agreements, where all uranium (natural, depleted and enriched) is included in a single (unified) account. The material balance area and the SSAC must account for and report grams of total uranium and grams of contained  $^{235}\text{U}$  plus  $^{233}\text{U}$  regardless of the enrichment for the batch of nuclear material. The use of a unified uranium account is a point of negotiation in the Subsidiary Arrangements (see No. 1.26).

**6.13. Material description** — description of a nuclear material batch in an accounting report under an INFCIRC/153-type safeguards agreement (see No. 12.4). Nuclear material batches are described by four parameters: physical form, chemical composition, containment or type of container, and irradiation status and quality.

**6.14. Inventory change** — “an increase or decrease, in terms of batches, of nuclear material in a material balance area” [153, para. 107]. Such a change shall involve one of the following:

- (a) Increases: import (see No. 6.15), domestic receipt (see No. 6.16), nuclear production (see No. 6.17), accidental gain (see No. 6.18), retransfer from retained waste (see No. 6.20) and de-exemption of nuclear material from IAEA safeguards (see No. 6.19);
- (b) Decreases: export (see No. 6.15), domestic shipment (see No. 6.21), nuclear loss (see No. 6.22), other loss (see No. 6.26), measured discard (see No. 6.23), transfer to retained waste (see No. 6.20), exemption of nuclear material from IAEA safeguards (see Nos 6.24 and 2.13), and termination of IAEA safeguards on nuclear material transferred to non-nuclear use (see Nos 6.25 and 2.12).

According to para. 39(a) of [66], an inventory change is any receipt, transfer out or use of all safeguarded nuclear material.

**6.15. Import and export** — international transfer of nuclear material subject to IAEA safeguards into and out of a State. The responsibility for material which is transferred internationally is defined under para. 91 of [153] and the requirements for notification of the IAEA by the responsible States are provided under paras 92–96 of [153].

**6.16. Domestic receipt** — according to para. 107 of [153], the receipt from other material balance areas within a State, receipt from a non-safeguarded (non-peaceful) activity or receipt at the starting point of safeguards (see No. 2.11).

**6.17. Nuclear production** — according to para. 107 of [153], the generation of special fissionable material through irradiation of fertile material in a reactor. (See also No. 4.5.)

**6.18. Accidental gain** — unforeseen nuclear material that is present in a material balance area, except when detected in the course of a physical inventory taking by the facility operator (see No. 6.41).

**6.19. De-exemption** — “reapplication of safeguards on nuclear material previously exempted therefrom on account of its use or quantity” [153, para. 107].

**6.20. Retained waste** — “nuclear material generated from processing or from an operational accident, which is deemed to be unrecoverable for the time being but which is stored” [153, para. 107]. This wording defines the nuclear material considered as retained waste; the actual inventory change used in accounting records and reports is termed ‘transfer to retained waste’ (see No. 6.14). Material transferred to retained waste is stored at the material balance area (MBA) and continues to be subject to IAEA safeguards, but is not included in the inventory of the MBA.

**6.21. Domestic shipment** — “shipments to other material balance areas or shipments for a non-safeguarded (non-peaceful) activity” within a State [153, para. 107].

**6.22. Nuclear loss** — “loss of nuclear material due to its transformation into other element(s) or isotope(s) as a result of nuclear reactions” [153, para. 107]. Nuclear loss also includes burnup of nuclear material in a reactor and decay (e.g. of  $^{241}\text{Pu}$ ) during storage.

**6.23. Measured discard** — “nuclear material which has been measured, or estimated on the basis of measurements, and disposed of in such a way that it is not suitable for further nuclear use” [153, para. 107].

**6.24. Exemption (of nuclear material)** — “exemption of nuclear material from safeguards on account of its use or quantity” [153, para. 107]. (See also No. 2.13.)

**6.25. Termination (of IAEA safeguards)** — termination of safeguards on nuclear material pursuant to para. 35 of [153]. (See also No. 2.12.)

**6.26. Other loss** — “for example, accidental loss (that is, irretrievable and inadvertent loss of nuclear material as the result of an operational accident) or theft” [153, para. 107].

**6.27. Arithmetical correctness** — absence of arithmetical mistakes, inter alia: the absence of errors of addition, subtraction, multiplication and division, and in recording the determination of batch results from source data; and the absence of errors in the summation and recording of item quantities to obtain batch, stratum and account totals.

**6.28. Adjustment** — “an entry into an accounting record or a report showing a shipper/receiver difference or material unaccounted for” [153, para. 98]. The scope of this term has been extended to include rounding adjustments.

**6.29. Correction** — “an entry into an accounting record or a report to rectify an identified mistake or to reflect an improved measurement of a quantity previously entered into the record or report. Each correction must identify the entry to which it pertains” [153, para. 103].

**6.30. Accounting records** — a set of data kept at each facility or location outside facilities (LOF) showing the quantity of each type of nuclear material present, its distribution within the facility (or LOF) and any changes affecting it. Accounting records contain “in respect of each material balance area:

- (a) All inventory changes, so as to permit a determination of the book inventory at any time;
- (b) All measurement results that are used for determination of the physical inventory; and
- (c) All adjustments and corrections that have been made in respect of inventory changes, book inventories and physical inventories” [153, para. 56]. See also [153, para. 57].

**6.31. Operating records** — a set of data kept at each facility on the operation of the facility in connection with the use or handling of nuclear material. The operating records of a reactor show, for example, the integrated thermal power produced by the reactor for a given period and the associated data of the reactor operation for that period as needed to determine the nuclear production and nuclear loss, and the location of each fuel element at any time. Operating records contain “in respect of each material balance area:

- (a) Those operating data which are used to establish changes in the quantities and composition of nuclear material;
- (b) The data obtained from the calibration of tanks and instruments and from sampling and analyses, the procedures to control the quality of measurements and the derived estimates of random and systematic error;

- (c) A description of the sequence of the actions taken in preparing for, and in taking, a physical inventory, in order to ensure that it is correct and complete; and
- (d) A description of the actions taken in order to ascertain the cause and magnitude of any accidental or unmeasured loss that might occur” [153, para. 58].

**6.32. Supporting document** — a record containing identity data (see No. 6.10), source data (see No. 6.9) and batch data (see No. 6.8) for each accounting transaction, such as shipping documents, weight (volume) records, laboratory records, charge/discharge records and power production records.

**6.33. Measurement system** — procedures, personnel and equipment used for determining the quantities of nuclear material received, produced, shipped, lost or otherwise removed from inventory, and the quantities on inventory, as provided for in paras 32(a) and 32(b) of [153]. This system should provide for:

- (a) Identification of key measurement points (see No. 6.6) and the characteristics of the nuclear material to be measured,
- (b) Specification of the measurement performance desired,
- (c) Specification of the measurement technique(s) employed,
- (d) Specifications for measurement equipment,
- (e) Equipment maintenance provisions and procedures,
- (f) Operator’s qualifications and provisions for training,
- (g) Calibration standards and procedures,
- (h) Routine measurement and data analysis procedures,
- (i) Procedures for controlling measurement quality and maintaining performance at the desired level,
- (j) Procedures for generating sample plans and obtaining representative samples,
- (k) Procedures for combining measurements and measurement uncertainties so as to calculate material unaccounted for (MUF) and MUF uncertainty ( $\sigma_{\text{MUF}}$ ) (see Nos 6.43 and 10.1).

Paragraph 55 of [153] provides that the system of measurements on which the facility records are based “shall either conform to the latest international standards or be equivalent in quality to such standards.”

**6.34. Traceability** — the ability to relate a measurement result or a standard value to stated reference standards, usually provided by a nationally or internationally recognized organization through an unbroken chain of comparisons. The associated uncertainties should be known and available.

TABLE III. EXPECTED MEASUREMENT UNCERTAINTY  $\delta_E$  (RELATIVE STANDARD DEVIATION) ASSOCIATED WITH CLOSING A MATERIAL BALANCE

Bulk handling facility type	$\delta_E$
Uranium enrichment	0.002
Uranium fabrication	0.003
Plutonium fabrication	0.005
Uranium reprocessing	0.008
Plutonium reprocessing	0.010
Separate scrap storage	0.04
Separate waste storage	0.25

**6.35. International standards of accountancy** — values of the measurement uncertainty  $\delta_E$  expected for closing a material balance. These values, which are based on operating experience at the various types of bulk handling facility, are considered achievable under the condition of normal operation. For calculating the international standard for the uncertainty of a material balance, the standard from Table III (expressed as a relative standard deviation) is multiplied by the throughput. The  $\delta_E$  values can be used along with the International Target Values (see No. 6.36) to determine whether a facility's measurement system meets international standards.

**6.36. International Target Values (ITV)** — target values for random and systematic measurement uncertainty components for destructive analysis (DA) (see No. 7.13) and non-destructive assay (NDA) (see No. 7.24) measurements performed on nuclear material. The values are expressed as per cent relative standard deviations, and are values for uncertainties associated with a single determination result; for example, this may be the result reported by one laboratory on one sample (independent of the analytical scheme applied internally in the laboratory), or the result of an NDA measurement performed on a single item. The values are based on actual practical measurement experiences and are intended to be used as a reference for routinely achievable measurement quality by facility operators, SSACs and the IAEA. The values are periodically updated to reflect currently achievable measurement capabilities and to incorporate newly developed measurement techniques and instruments. The currently used set of values (ITV 2000) was published as [STR-327].

**6.37. Stratum** — a grouping of items and/or batches having similar physical and chemical characteristics (e.g. isotopic composition) made for the purpose of facilitating statistical sampling. The desired end result of stratification is that the

items in a particular stratum are more like one another with respect to certain characteristics relevant for verification measurement and safeguards data analysis purposes than they are like the items in the other strata. In practice, a stratum may contain dissimilar materials as long as the facility operator used one method for measurement and the inspector used one method for verification (not necessarily the same). Stratification simplifies verification, making it possible to formulate the sampling plans needed to verify a material balance and to calculate its uncertainty ( $\sigma_{\text{MUF}}$ ) (see No. 6.43). The operator and the IAEA should co-operate in defining strata so that the purposes of stratification are met.

**6.38. Account** — a record of debit and credit entries chronologically posted to a ledger to cover transactions involving a particular type or stratum of nuclear material within a material balance area.

**6.39. Account balance** — determined for a particular type or stratum of nuclear material, e.g.  $\text{UF}_6$  cylinders or trays of pellets, and defined as the book inventory at any time, or the algebraic sum of the inventory at the beginning of a defined period and the inventory changes during the period, equalling the book inventory for that particular material at the end of the period.

**6.40. Book inventory (of a material balance area)** — “the algebraic sum of the most recent physical inventory of that material balance area and of all inventory changes that have occurred since that physical inventory was taken” [153, para. 102].

**6.41. Physical inventory** — “the sum of all the measured or derived estimates of batch quantities of nuclear material on hand at a given time within a material balance area, obtained in accordance with specified procedures” [153, para. 113]. The physical inventory is determined by the facility operator as a result of a physical inventory taking and is reported to the IAEA in the physical inventory listing (see No. 12.8). The physical inventory is verified by the IAEA during a physical inventory verification inspection (see No. 6.52). The ending physical inventory for a material balance period is also the beginning physical inventory for the next material balance period.

**6.42. Material balance component** — the combination of all strata in one term of the material balance equation, i.e. the MUF (material unaccounted for) equation (see No. 6.43). For example, arriving  $\text{UF}_6$  cylinders,  $\text{UO}_2$  powder in drums and any other increases in the inventory of the material balance area (MBA) (such as receipts of scrap for recovery from another MBA) are combined to form the component ‘increases’.

**6.43. Material unaccounted for (MUF)** — this is calculated for a material balance area (MBA) over a material balance period using the material balance equation, commonly written as:

$$\text{MUF} = (\text{PB} + \text{X} - \text{Y}) - \text{PE}$$

where

PB is the beginning physical inventory,  
X is the sum of increases to inventory,  
Y is the sum of decreases from inventory,  
PE is the ending physical inventory.

Because book inventory is the algebraic sum of PB, X and Y, MUF can be described as the difference between the book inventory and the physical inventory. For item MBAs, MUF should be zero, and a non-zero MUF is an indication of a problem (e.g. accounting mistakes) which should be investigated. For bulk handling MBAs, a non-zero MUF is expected because of measurement uncertainty and the nature of processing. The operator's measurement uncertainties associated with each of the four material balance components (see No. 6.42) are combined with the material quantities to determine the uncertainty of the material balance  $\sigma_{\text{MUF}}$ .

**6.44. Cumulative MUF** — the algebraic sum of the MUFs for a material balance area over time (see No. 6.43).

**6.45. Shipper/receiver difference (SRD)** — “the difference between the quantity of nuclear material in a batch as stated by the shipping material balance area and as measured at the receiving material balance area” [153, para. 114].

**6.46. Cumulative SRD** — the algebraic sum of the shipper/receiver differences for a material balance area over time (see No. 6.45).

**6.47. Material balance period (MBP)** — under an INFCIRC/153-type safeguards agreement, the term is used to refer to the time between two consecutive physical inventory takings (PITs) (see No. 6.41) as reflected in the State's material balance report (see No. 12.7). Under an INFCIRC/66-type safeguards agreement, the term is used to refer to what more accurately should be called the book balance period, since the beginning and the ending dates of the period are not necessarily linked to PITs.

**6.48. IAEA examination of records** — a set of inspection activities which under [153] are denoted as examination of records and under [66] as auditing activities.



Facility records are examined with the intent to establish a correct set of data upon which to base the verification of the flow and the inventory of nuclear material. Examination of records consists of all or some of the following activities: examination of accounting records, examination of operating records, reconciliation of accounting with operating records, updating of the book inventory (see No. 6.49), and comparison of facility records with State reports and/or notifications to the IAEA.

**6.49. IAEA updating of the book inventory** — an inspection activity through which the inspector establishes the book inventory of a material balance area (MBA), i.e. the amount of nuclear material that should be present in the MBA. The updating is based on the book inventory value established at the previous inspection and uses facility records and supporting documents covering the intervening period. The book inventory value is the basis for verification of the inventory of nuclear material actually present in the MBA as of the date to which the book inventory has been updated.

**6.50. IAEA inventory change verification** — an inspection activity carried out to verify a recorded increase or decrease of the inventory of nuclear material in a material balance area. Verification of inventory changes, as components of the material balance, is essential for the IAEA's verification of the overall material balance and the determination of the inspector's estimate of MUF (see No. 10.2). The verification is based on the inventory change data in the facility records and supporting documents, and involves the use of IAEA accountancy verification methods (see No. 6.56). It may include the use of containment and surveillance measures (see No. 8.6), for example in respect of receipts of material previously verified at the shipping facility and sealed by the IAEA. Under [153], the verification of inventory changes is performed at flow key measurement points (see No. 6.6).

**6.51. IAEA inventory verification** — an inspection activity carried out to confirm that the amount of nuclear material actually present at a given time within a material balance area (MBA) is in agreement with the operator's recorded book inventory of nuclear material for the MBA. Under [153], the verification of inventory is performed at inventory key measurement points (see No. 6.6). There are two types of inventory verification: physical inventory verification and interim inventory verification (see Nos 6.52 and 6.53, respectively).

**6.52. IAEA physical inventory verification (PIV)** — an inspection activity that follows closely, or coincides with, the physical inventory taking by the operator (see No. 6.41) and closes the material balance period. The basis for a PIV is the list of inventory items prepared by the operator. The data are correlated with the physical inventory listing reports submitted by the State to the IAEA (see No. 12.8).

**6.53. IAEA interim inventory verification** — an inspection activity that does not coincide with the ending date of a material balance period and does not necessarily have to include all nuclear material present in the material balance area. Under [153], verification is made for purposes of timely detection or, for example, for re-establishment of the inventory of nuclear material within an area covered by surveillance after a failure of surveillance.

**6.54. IAEA verification of nuclear material flows within an MBA** — an inspection activity carried out under [153] at strategic points other than key measurement points or at strategic points for containment and surveillance (see No. 6.5). Examples are the verification of the transfer of fresh mixed oxide fuel assemblies into the core of a light water reactor, and sampling of pellets at the rod loading stations of fuel fabrication plants for the purpose of bias defect verification (see No. 10.7).

**6.55. IAEA verification of operator's measurement system** — an inspection activity carried out to enable the IAEA to independently estimate the operator's measurement errors and thus determine whether the estimates are in agreement with the facility design information supplied to the IAEA (see No. 3.28) and conform to the international standards of accountancy (see No. 6.35). Methods used for this purpose include observation of the calibration of the operator's measuring equipment (see No. 7.1), observation of the operator's measurement of standards provided by the IAEA and the taking of samples for destructive analysis (see Nos 7.7 and 7.13).

**6.56. IAEA accountancy verification methods** — methods used by the IAEA to independently verify nuclear material accounting information. Examples are: identification, weighing, volume determination, sampling and analysis, variables test by non-destructive assay (NDA) (bias defects) (see, for example, Nos 7.24 and 10.7), variables test by NDA in the attributes mode (partial defects) (see, for example, Nos 7.24 and 10.7), criticality check for verification, and attributes test by NDA (gross defects) (see, for example, Nos 7.24 and 10.7). In addition, there are some facility specific methods (e.g. the method for in-process inventory verification in the case of near real time accountancy (see No. 6.3) and item counting (see No. 6.57)) that can be specified for use as verification methods.

**6.57. Item counting** — an IAEA verification activity involving the counting of items in a batch, stratum or material balance component for the purpose of verifying the correctness of the operator's records with respect to the number of items present.

## 7. NUCLEAR MATERIAL MEASUREMENT TECHNIQUES AND EQUIPMENT

*Nuclear material verification depends on techniques and equipment for sampling, measurement and analysis of nuclear material. Physical standards are required for calibration of measurement equipment and provide a basis for determining the accuracy of measurements. For more information on this subject see [IAEA/NVS/1].*

**7.1. Calibration** — the set of actions used during set-up and periodic validation of the performance of an instrument or measurement system, specifically to establish a correlation between instrument output and final (reportable) results. Through calibration, the systematic error (see No. 10.16) can be minimized and the accuracy of an instrument or measurement system established. Calibration is normally performed for an instrument on reference materials (see No. 7.2) so that the instrument can be properly tuned using well characterized material. The result of the calibration(s) may be recorded in a document, called a calibration certificate, and is sometimes expressed as a calibration factor or a set of calibration factors, for example in the form of a calibration curve. The calibration process should include an estimation of the associated uncertainty.

**7.2. Reference material** — a material or substance which is homogeneous and for which one or more values are well established. The material can be used for calibration of an apparatus, for assessment of a measurement method, or for assignment of values to materials. ‘Certified reference material’ is reference material accompanied by a certificate issued by a recognized organization and stating the value(s) and associated uncertainty.

**7.3. Primary standard** — a certified reference material that is designated or acknowledged to be of high metrological quality (i.e. traceable to a primary unit of measurement) and whose value is accepted without reference to other standards.

**7.4. Secondary standard** — a standard whose value is assigned by comparison with a primary standard of the same quantity. It may be a sample, selected from production material or artificially prepared to be similar to production material, which is characterized against primary standards and documented to be accurate to within a stated uncertainty in the parameters of interest. Such samples are used, for example, to check measurement reproducibility and accuracy under conditions as close as possible to those encountered with real production materials.

**7.5. Bulk measurement** — determination of the mass of material subject to IAEA safeguards verification, such as solid materials or solutions in containers and solutions in tanks. For materials where only volume measurement is possible, the mass can be calculated by using the measured density of the material. In the context of IAEA safeguards, bulk measurement is necessary in connection with sampling and is done just before samples are taken. The sample related bulk data collected on-site by the IAEA inspector concomitantly with the sampling include the mass (or volume and density) of the sampled items or batches as declared by the facility operator and verified by the inspector.

**7.6. Matrix** — the non-nuclear part of nuclear material. In some cases, the matrix material can influence considerably the response of the measuring equipment and therefore the measurement results. For example, the presence of hydrogen or fluorine in a matrix can impact on results obtained through the use of a neutron coincidence counting technique (see No. 7.30).

**7.7. Sample** — a part or quantity selected from a larger group of items or quantity of material for inspection or analysis. The term has two meanings:

- (a) In statistical sampling, a sample is a subset of items selected by some deliberate process from a defined group (population) of items and evaluated to gain information about the whole group (population).
- (b) In material sampling for analysis, a sample is a small quantity of material taken from one item or container for measurement. A composite sample is obtained by taking several quantities from one or more containers, mixing them together and then selecting one or more aliquots for measurement.

**7.8. Random sampling** — the process of selecting samples in such a manner that all items in a population have the same probability of being selected. The selections should be made by using random number lists or random number generators, not by haphazard or subjective means.

**7.9. Systematic sampling** — the process of selecting samples in a repeated pattern, such as every 11th item or at fixed time intervals, from a continuing process. The selection of the first item determines the selection of all other items; therefore the first item must be selected at random unless it is known that the variability from item to item is negligible. Systematic sampling can result in bias if the population characteristics vary systematically in the sequence or vary in a cyclic manner.

**7.10. Representative sample** — a sample which is typical in respect of certain specified characteristics of the population or material from which the sample is

collected. For example, in statistical sampling, selecting only large units from a mixed population of large and small units would give a sample that is typical of the large units; however, it would be a non-representative sample of the mixed population. To obtain a representative sample of this mixed population, the population should first be divided into two separate groups (strata) (see No. 6.37) of large and small items and these groups sampled separately. In material sampling, homogenization of material (e.g. solutions) prior to sampling may be required to obtain a representative sample.

**7.11. Calorimetry** — a method used for determining the amount of Pu in a sample by measuring its thermal power emission and converting this measurement to Pu quantity by using the abundances of Pu isotopes and of Am measured separately, and standard values of the thermal emission rates of the Pu isotopes and Am.

**7.12. Assay** — a measurement which establishes the quantity and composition of nuclear material present in the items being measured; the term is also used as a synonym of ‘analysis’. There are two methods used: destructive analysis (see No. 7.13) and non-destructive assay (see No. 7.24).

**7.13. Destructive analysis (DA)** — determination of nuclear material content and, if required, of the isotopic composition of chemical elements present in the sample. Destructive analysis normally involves destruction of the physical form of the sample. In the context of IAEA safeguards, determination of the nuclear material content of an item sampled usually involves:

- (a) Measurement of the mass of the sample;
- (b) The taking of a representative sample;
- (c) Sample conditioning (if necessary) prior to shipment to the Safeguards Analytical Laboratory for analysis (see No. 7.33);
- (d) Processing of the sample to the chemical state required for the analysis (e.g. dissolution in nitric acid);
- (e) Determination of the concentration of the nuclear material (U, Pu, Th) present in the sample (i.e. elemental analysis) using, inter alia, techniques described in Nos 7.14–7.18;
- (f) Determination of the isotopic abundance ratios of U or Pu isotopes (i.e. isotopic analysis) using, inter alia, techniques described in Nos 7.20–7.23.

**7.14. Chemical titration** — a method of chemical analysis whereby an unknown amount of an element or compound is made to react with an exactly measured amount of reagent of known composition, leading to the completion or characteristic end point of a well known stoichiometric chemical reaction. Titration methods are designated, inter alia, according to the mode of detection of the end point, e.g.

potentiometric and spectrophotometric titration. The Safeguards Analytical Laboratory uses potentiometric titration for the determination of U and Pu content in milligram to gram size samples of non-irradiated nuclear materials (see No. 7.33).

**7.15. Controlled potential coulometry** — an electrochemical method for measurement of element concentration whereby the element to be analysed is selectively oxidized or reduced at a metallic electrode maintained at a controlled potential. The number of electrons (coulombs) used in the electrolysis is measured. The method is used at the Safeguards Analytical Laboratory to determine Pu (see No. 7.33).

**7.16. Gravimetric analysis** — a technique whereby the element to be analysed is quantitatively separated and transformed to a well defined and very pure chemical compound which is accurately weighed and related to the stoichiometric quantity of the element to be analysed in the compound. At the Safeguards Analytical Laboratory, ignition gravimetry is used for determining U and Pu concentrations in oxides by converting them to stoichiometric  $U_3O_8$  for U and  $PuO_2$  for Pu (see No. 7.33).

**7.17. Isotope dilution mass spectrometry (IDMS)** — measurement of the total U or Pu in a sample by introducing a known quantity of a tracer isotope normally absent or of low abundance in the sample (e.g.  $^{233}U$  for U,  $^{242}Pu$  or  $^{244}Pu$  for Pu), measuring the abundances of all isotopes present in the sample with a mass spectrometer, and then determining the unknown by multiplying the isotope ratios observed by the quantity of tracer. This technique is generally used for highly radioactive reprocessing dissolver solutions.

**7.18. K-edge densitometry** — a technique for measuring the U or Pu concentration in solutions by determining the ratio of the transmission of photons whose energies closely bracket the K-electron absorption edge of the U or Pu. Hybrid instruments combining K-edge densitometry and X ray fluorescence analysis are used for determining U and Pu concentrations in mixed solutions, including highly radioactive spent fuel solutions.

**7.19. Resin bead technique** — used to selectively absorb (isolate from fission products) U and Pu onto a resin bead (or beads) in preparation for isotopic analysis by thermal ionization mass spectrometry: one resin bead containing nanogram amounts of U and Pu is placed on a metal filament for the analysis. This method is suited to the measurement of reprocessing dissolver or highly active waste solutions.

**7.20. Mass spectrometry** — a technique of isotopic analysis whereby small quantities of a sample are ionized, formed into a beam and passed through a strong magnetic field which deflects the ions according to their masses, thereby producing a mass spectrum on a fixed detector. The intensities of the deflected beams of ions of different masses are measured to yield the isotopic ratios (see Nos 7.21 and 7.22).

**7.21. Gas mass spectrometry** — a technique whereby gas samples (typically  $\text{UF}_6$ ) are introduced and multiple detectors are used to simultaneously collect ions of different masses and provide measurements of isotopic ratios with high precision.

**7.22. Thermal ionization mass spectrometry (TIMS)** — a technique (also called surface ionization mass spectrometry) whereby picogram to microgram quantities of a sample are deposited on a metallic filament which is then heated to 1600–2000°C in a high vacuum; this results in ionization of the sample. The ion beams from the different isotopes present in the sample are separated in a mass spectrometer and collected either sequentially in a single detector or simultaneously in a set of multiple detectors to yield isotopic ratios. The technique is extensively used at the Safeguards Analytical Laboratory (see No. 7.33). Highly accurate results require that sample cross-contamination be minimized.

**7.23. Alpha spectrometry** — measurement of the energy spectrum of alpha particles to determine the abundance of alpha emitting isotopes such as  $^{238}\text{Pu}$  in the material measured. At the Safeguards Analytical Laboratory, the technique is used in parallel with isotope dilution mass spectrometry for the analysis of spent fuel samples (see No. 7.33).

**7.24. Non-destructive assay (NDA)** — a measurement of the nuclear material content or of the element or isotopic concentration of an item without producing significant physical or chemical changes in the item. It is generally carried out by observing the radiometric emission or response from the item and by comparing that emission or response with a calibration based on essentially similar items whose contents have been determined through destructive analysis (see No. 7.13). There are two broad categories of NDA:

- (a) Passive analysis (assay), in which the measurement refers to spontaneous emissions of neutrons or gamma rays or to the total decay energy;
- (b) Active analysis (assay), in which the measurement refers to a stimulated emission (e.g. neutron or photon induced fission).

**7.25. Gamma ray spectrometry** — measurement of the energy spectrum and intensity of gamma rays incident upon a detector for the purpose of establishing the

total amount of the source isotopes in the item measured and the identity and abundance of the contributing isotopes; this is done by referencing the measured spectrum to those obtained from standards in known quantities under well defined geometrical configurations. The energy resolution of the method depends on the detector used: when a high resolution detector, such as a Ge detector, is used, neighbouring gamma ray energy lines are usually well separated. High resolution gamma ray spectrometry is essential for Pu isotopic analysis and analysis of the spectra of fission products in spent fuel, while gamma ray spectrometry measurements of U enrichment can normally be done with lower resolution, e.g. with sodium iodide (NaI) detectors. There are several types of portable multichannel analyser used by IAEA inspectors for gamma ray spectrometry measurements in the field, and the technique has also been adapted for use in verifying spent fuel in storage pools.

**7.26. Gamma ray scanning** — measurement of gamma ray emission as a function of position along an item, e.g. measurement of the gamma ray emission profile along a fuel rod to verify its loading with pellets.

**7.27. Scintillation detector** — a device which responds to incident gamma rays or neutrons by emitting light scintillations. The most common scintillator for gamma rays is sodium iodide (NaI); for neutrons, a variety of organic and inorganic liquid and solid scintillators can be employed.

**7.28. Semiconductor detector** — a device which detects gamma rays by means of the induced charge displacement in a semiconducting material, e.g. Ge, cadmium telluride (CdTe) or cadmium zinc telluride (CdZnTe). Semiconductor detectors are characterized by good energy resolution but some (e.g. Ge detectors) require cooling with liquid nitrogen.

**7.29. Neutron counting** — measurement of neutron emission from nuclear material, the emission being either spontaneous or induced by irradiation with neutron sources, in order to identify and measure the nuclear material. Detection of neutrons is normally accomplished by utilization of a neutron induced reaction (e.g. with  $^{10}\text{B}$  or  $^3\text{He}$ ), resulting in the production of a charged particle which can be detected by its ionizing effect. In an application to verify irradiated fuel assemblies in storage pools, a 'fork detector system' is used that combines neutron counting with gamma ray detection.

**7.30. Neutron coincidence counting** — a technique that detects prompt neutrons from spontaneous or induced fission in a sample and distinguishes them from neutrons from other sources (such as  $\alpha,n$  reactions) by separating detected events



that occur closely together in time (correlated events) from those that are randomly distributed in time. The correlated events are counted to produce a measurement result indicative of the amount of fissionable isotopes in the sample. The high level neutron coincidence counter (HLNCC) has been designed to handle high count rates and therefore large samples of Pu. The active well coincidence counter (AWCC) incorporates an isotopic source (e.g. AmLi) that randomly produces neutrons used to interrogate a fissionable sample. The prompt neutrons from the induced fission are then detected to verify large samples of U. The sensitivity of this active non-destructive assay device is higher than that of the passive HLNCC. Various instruments have been developed which incorporate this technology and are adapted for the verification of specific nuclear material items, such as light water reactor fuel assemblies or fast reactor fuel elements.

**7.31. Neutron multiplicity counter** — a variation on the coincidence counting technique described in No. 7.30. Coincidence counting involves measurement of the total number of neutrons detected (singles rate) and a statistical determination of the number of 2-fold coincidences (doubles rate) by analysing the time history of the detected neutrons. The measurement of large Pu or U samples with neutron coincidence counting requires additional assumptions and mathematical analysis to account for neutron multiplication and to accurately determine nuclear material mass. Multiplicity counting includes circuitry to determine higher order coincidences (e.g. triples rate); this allows the direct measurement of neutron multiplication without additional assumptions. This technique is useful to measure impure nuclear materials where the assumptions required for 2-fold coincidence counting are not met. Multiplicity counters usually have a very high efficiency (>60%) because this is needed to measure 3-fold, or higher order, coincidences with reasonable counting times.

**7.32. Cerenkov radiation detection** — a method for qualitative verification of irradiated nuclear fuel in storage pools. Irradiated fuel emits fast electrons that induce a characteristic blue glow in water. Electro-optical image intensifiers have been adapted to observe this glow from above a storage pool. They are optimized for ultraviolet radiation and are capable of operating with facility lights turned on. When aligned vertically above the tops of fuel assemblies, a Cerenkov viewing device can distinguish irradiated fuel items from non-fuel items.

**7.33. Safeguards Analytical Laboratory (SAL)** — the IAEA's laboratory, located in Seibersdorf, Austria, which is responsible for destructive analysis of nuclear material samples as well as for handling and analysis of environmental samples for safeguards purposes. (See also No. 9.12.) The SAL also provides support to both destructive analysis and environmental sampling programmes through the supply of sampling materials, quality assurance and training of IAEA inspectors.

**7.34. Network of Analytical Laboratories (NWAL)** — a group of laboratories in IAEA Member States that have been approved to analyse safeguards samples and to assist the Safeguards Analytical Laboratory in analysis of nuclear material and environmental samples (see Nos 7.33 and 9.13).

## 8. CONTAINMENT, SURVEILLANCE AND MONITORING

*The IAEA's safeguards approach for a facility is based on nuclear material accountancy as a safeguards measure of fundamental importance, complemented by containment and surveillance (C/S) measures and monitoring. The most desirable combination of C/S measures and monitoring is that which permits the safeguards objectives to be achieved at acceptable costs and with minimum intrusion into routine facility operations. Monitoring devices may perform C/S functions, verify the flow of nuclear material items by counting the items and measuring the amount of nuclear material in them, or use an attributes test with a 'yes/no' result to ensure that no movements of radioactive material occur. Monitors are used in an unattended mode and sometimes with remote data transmission. For more information on this subject see [IAEA/NVS/1].*

### CONTAINMENT AND SURVEILLANCE

**8.1. Containment** — structural features of a facility, containers or equipment which are used to establish the physical integrity of an area or items (including safeguards equipment or data) and to maintain the continuity of knowledge of the area or items by preventing undetected access to, or movement of, nuclear or other material, or interference with the items. Examples are the walls of a storage room or of a storage pool, transport flasks and storage containers. The continuing integrity of the containment itself is usually assured by seals or surveillance measures (especially for containment penetrations such as doors, vessel lids and water surfaces) and by periodic examination of the containment during inspection.

**8.2. Surveillance** — the collection of information through inspector and/or instrumental observation aimed at detecting movements of nuclear material or other items, and any interference with containment or tampering with IAEA equipment, samples and data. Surveillance may also be used for observing various operations or obtaining relevant operational data. IAEA inspectors may carry out surveillance assignments continuously or periodically at strategic points.

**8.3. Containment/surveillance device (C/S device)** — an item of equipment used to perform a C/S function and capable of providing its own C/S results (see No. 8.8).

**8.4. Optical surveillance device** — a device used to provide, for later review, a visual record of activities in a defined field of view; it is used to monitor movements of material or handling of equipment under surveillance during the absence of the inspector. Surveillance systems, often comprising several surveillance devices, are used

at spent fuel storage pools and storage areas and on a temporary basis during reactor refuelling. The frequency of recording images is set as needed for the activities of interest to be recorded. It is set in accordance with the estimated time required for the activities that are intended to be recorded by the system, while these activities are in the field of view of the system. The exchange of data storage media items (e.g. tapes or disks) and the evaluation of the recorded information are implemented in accordance with the capacity of the system and the timeliness requirements. Some surveillance systems are used in remote monitoring applications (see No. 8.16). Current surveillance systems use video equipment configured as single or multicamera systems, which provide for fixed interval, random or triggered picture taking, and involve digital data processing; some earlier systems were designed to use automatically triggered film cameras.

**8.5. Seal** — a tamper indicating device used to join movable segments of a containment in a manner such that access to its contents without opening the seal or breaking of the containment is difficult. A sealing system comprises the containment enclosing the material to be safeguarded, the means of applying the seal (e.g. a metal wire) and the seal itself. All three components must be examined in order to verify that the sealing system has fulfilled its function of ensuring continuity of knowledge of the identity and integrity of the material concerned. Seals in use by the IAEA include metal cap seals with tamper indicating features, as well as ultrasonic and electronic seals with fibre optic loops, and, for short time applications, tamper indicating paper tape seals. Sealing systems may be applied:

- (a) On safeguarded material or equipment to maintain the continuity of knowledge of the sealed contents between inventory verifications, and during shipment from one facility to another;
- (b) On the operator's equipment (e.g. a crane) to monitor any use that would make possible the undeclared removal of nuclear material;
- (c) On IAEA property (equipment, samples, standards, data, etc.) to prevent undetected tampering with it.

**8.6. Containment/surveillance measures (C/S measures)** — the application of containment and/or surveillance to complement nuclear material accountancy. The use of C/S measures is aimed at verifying information on movement of nuclear or other material, equipment and samples, or preservation of the integrity of safeguards relevant data. In many instances C/S measures cover the periods when the inspector is absent, thus ensuring the continuity of knowledge for the IAEA and contributing to cost effectiveness. Containment/surveillance measures are applied, for example:

- (a) During flow and inventory verification, to ensure that each item is verified without duplication and that the integrity of samples is preserved;
- (b) To confirm that there has been no change to the inventory previously verified and thus reduce the need for remeasurement;
- (c) To ensure that IAEA equipment, working papers and supplies have not been tampered with;
- (d) If necessary, to isolate ('freeze') nuclear material that has not been verified until it can be measured.

The indication of an anomaly (see No. 3.26) by C/S measures does not necessarily by itself indicate that material has been removed. The ultimate resolution of C/S anomalies is provided by nuclear material verification. If any C/S measure has been, or may have to be, compromised, the IAEA shall, unless agreed otherwise, be notified by the fastest means available. Examples of compromising might be seals which have been broken inadvertently or in an emergency, or seals of which the possibility of removal after advance notification to the IAEA has been agreed upon between the IAEA and the State.

**8.7. System of containment/surveillance measures (C/S system)** — a combination of containment and/or surveillance measures (see No. 8.6). Each C/S system is designed to meet a purpose specified in the IAEA's safeguards approach. To increase reliability, a C/S system can include one or several C/S devices (see No. 8.3). Containment/surveillance devices and containment may be used in such a way that each plausible diversion path (see No. 3.7) is covered by at least one device (single C/S). For redundancy purposes, C/S devices may be backed up (duplicated) by a similar device. In a dual C/S system, each plausible diversion path is covered by two C/S devices that are functionally independent and are not subject to a common tampering or failure mode (dual C/S), e.g. two different types of seal, or seals plus surveillance. Dual C/S is normally applied where the verification of nuclear material is difficult to perform, in order to increase confidence in the C/S results and reduce the requirements for periodic reverification.

**8.8. Containment/surveillance results (C/S results)** — the evaluation of the information provided by a C/S system (see No. 8.7). An 'acceptable' C/S result is obtained when the C/S device (see No. 8.3) has functioned as specified, its data confirm the validity of the operator's declarations and there is no evidence of tampering (see No. 8.12). Where a dual C/S system is used, an acceptable C/S result is obtained when both C/S devices function as specified, their data confirm the validity of the operator's declarations and there is no evidence of tampering. A C/S system may give a 'not acceptable' result caused, for example, by a broken seal or interruption in facility lighting. Such a case requires that follow-up actions be

implemented as established in the applicable IAEA safeguards approach (see No. 3.1). ‘Inconclusive’ C/S results may be caused by a normal operational activity that has been declared to the IAEA in advance by the operator.

**8.9. Containment/surveillance technical capability (C/S technical capability)** — the anticipated performance of C/S in a specific application; it involves consideration of:

- (a) The precise specification of the function of the C/S system (inter alia, which part of the operator’s data can be confirmed by the system);
- (b) The selection of C/S equipment with sensitivity, tamper resistance, data (image) quality and authentication, and reliability adequate to perform the intended function;
- (c) The installation and servicing of the C/S devices in a manner which will maintain their performance at the intended level;
- (d) The frequency of review of the C/S data;
- (e) Measures for the prevention of false alarms.

**8.10. Vulnerability assessment** — an assessment of a safeguards system to determine the degree of its vulnerability to attacks by potential adversaries attempting to alter, remove or replace the genuine data handled by the system, or to gain unauthorized access to the data. Vulnerability assessments for IAEA equipment systems operating in an unattended mode are often performed by third-party laboratories.

**8.11. Tampering** — interference in an unauthorized and undeclared manner to defeat the integrity of C/S or other safeguards equipment.

**8.12. Tamper indication** — physical evidence of tampering with C/S or other safeguards equipment.

**8.13. Tamper resistance** — features incorporated into a device (or procedures associated with its use) intended to make tampering more difficult or reduce the probability that tampering could take place without detectable tamper indications. IAEA C/S equipment is designed to have a high degree of tamper resistance. It is installed in sealable tamper indicating enclosures. The enclosure surfaces are coated with a tamper indicating material (e.g. anodized aluminium), the hinges are not accessible when the enclosure is closed, and the cable and ventilation entries are protected against probes or other unauthorized tool insertion.

**8.14. Surveillance review system** — equipment used to review surveillance data recorded by surveillance systems. Because of the high number (many thousands) of images to review, the review process is time consuming, and must be arranged so as not to miss any important data. Automatic review systems allow the inspector to define regions of interest in the recorded field of view, and the system then selects for the inspector's examination only those images where some movement is recorded within the defined regions. These review systems shorten the review time considerably and have been also shown to increase the technical capability of surveillance by identifying more reliably all images with safeguards relevant activities.

## MONITORING

**8.15. Unattended monitoring** — a special mode of application of non-destructive assay (see No. 7.24) or C/S measures (see No. 8.6), or a combination of these, that operates for extended periods without inspector intervention. The use of unattended safeguards instruments has long been a part of IAEA safeguards. Optical surveillance used to monitor an area for safeguards relevant activities over extended periods is unattended. Unattended radiation detection sensors are used to monitor the flow of nuclear material in a facility process area. For unattended monitoring, certain criteria must be met, including measures to ensure data authentication (see No. 8.22) and encryption (see No. 8.23).

**8.16. Remote monitoring** — a technique whereby safeguards data collected by unattended C/S, monitoring and measurement systems are transmitted off-site via communication networks (to IAEA Headquarters, a regional office or another IAEA location) for review and evaluation. The system's internal recording capability is used for backup purposes. Remote monitoring may provide better utilization of equipment, better planning of inspections and a reduction in the inspection effort needed to meet verification requirements. These systems transmit data ranging from equipment state of health data to verification data. The use of redundancy is particularly applicable for unattended C/S and monitoring devices. For data sent over unsecured transmission lines, authentication (see No. 8.22) and encryption (see No. 8.23) are required.

**8.17. Monitor** — a device used to provide information on the flow of nuclear or other material, or on the status of a nuclear facility or equipment. Examples of monitors are given in Nos 8.18–8.21.

**8.18. Core discharge monitor (CDM)** — a radiation monitoring system that monitors the charging and discharging of irradiated fuel bundles to and from the core of an on-load refuelled power reactor.

**8.19. Spent fuel bundle counter** — a radiation monitoring system that counts irradiated fuel bundles as they are discharged to the spent fuel storage bay of an on-load refuelled power reactor.

**8.20. Reactor power monitor** — neutron monitoring system placed outside the reactor biological shield to monitor the power level of the reactor.

**8.21. Radiation passage monitor** — a device used to detect, by the radiation emitted, the passage of nuclear material through openings in a containment. For example, dosimeters, such as thermoluminescent dosimeters, can be used as ‘yes/no monitors’ to confirm the absence of irradiated fuel removals.

**8.22. Authentication** — measures providing the assurance that genuine information has originated from a known source (sensor) and has not been altered, removed or replaced. In the case of digital data, the use of certified authentication algorithms contributes significantly to an adequate level of data authentication in unattended equipment systems.

**8.23. Encryption** — the rendering of information unintelligible by effecting a series of transformations to the normal representation of the information through the use of variable elements controlled by the application of an encryption key. The use of certified encryption algorithms, complemented by a rigorous enforcement of encryption key security procedures, is meant to provide an adequate level of information security.

**8.24. Equipment state of health data** — data on the operating status of equipment, especially information that provides an indication of any (potential) malfunction, limitation on the equipment capacity to operate as planned, or tampering. Receiving state of health data with a sufficient frequency makes it possible to detect failures of equipment or tampering early enough for remedial actions to be implemented to satisfy the timeliness requirements.



## 9. ENVIRONMENTAL SAMPLING

*Environmental sampling is one of the IAEA's safeguards measures which contributes to the assurance of the absence of undeclared nuclear material and activities. Collection of environmental samples combined with ultrasensitive analytical techniques, such as mass spectrometry methods, particle analysis and low level radiometric techniques, can reveal information about past and current activities related to the handling of nuclear material. For more information on this subject see [IAEA/NVS/1].*

**9.1. Environmental sampling (ES)** — in the context of IAEA safeguards, the collection of samples from the environment with a view to analysing them for traces of materials that can reveal information about nuclear material handled or activities conducted. The media sampled include various surfaces (e.g. of equipment and building structures), air, water, sediments, vegetation, soil and biota. The application of ES usually involves two stages: baseline sampling is performed to establish a reference 'environmental signature', and routine sampling is subsequently performed to obtain data that can be compared for consistency with the established baseline environmental signature and the declared operations. Under [540], provision is made for the collection of environmental samples by IAEA inspectors at locations beyond those to which inspectors have access for inspections and visits under safeguards agreements (see No. 11.14).

**9.2. Location specific environmental sampling** — “the collection of environmental samples (e.g. air, water, vegetation, soil, smears) at, and in the immediate vicinity of, a location specified by the Agency for the purpose of assisting the Agency to draw conclusions about the absence of undeclared nuclear material or nuclear activities at the specified location” [540, Article 18.f].

**9.3. Wide area environmental sampling** — “the collection of environmental samples (e.g. air, water, vegetation, soil, smears) at a set of locations specified by the Agency for the purpose of assisting the Agency to draw conclusions about the absence of undeclared nuclear material or nuclear activities over a wide area” [540, Article 18.g]. Article 9 of [540] provides that the IAEA shall not seek access to locations specified for wide area environmental sampling until the use of such sampling and the procedural arrangements therefor have been approved by the IAEA Board of Governors and following consultations between the IAEA and the State.

**9.4. Swipe sampling** — the collection of environmental samples by swiping a surface with a piece of ultraclean medium (such as cloth) to remove from the surface traces of materials present.

**9.5. Point sample** — an environmental sample taken in one particular area to characterize one source of released material which can be found in a contiguous area adjacent to a release point.

**9.6. Composite sample** — in environmental sampling, a sample taken in several areas to characterize multiple sources of a released material that is expected to be found in separate areas more than a few metres apart.

**9.7. Control sample** — a swipe sample taken from the surface of the collector's and assistant's hands which can be used to check for cross-contamination from the sampling team.

**9.8. Cross-contamination** — unintended introduction of material to the sample which could lead to false results. Possible sources of cross-contamination are the sampling medium itself, the sampling kit, another sample, the sampling team and/or post-sampling handling, including analysis.

**9.9. Baseline environmental signature** — data, derived from the analysis of environmental samples taken at, and in the vicinity of, a location, that characterize nuclear materials handled and activities conducted at that location. Any inconsistencies between the results of the analyses and the declared activities at the location are followed up with the SSAC and the facility operator concerned. The baseline environmental signature is used as a reference to evaluate the analytical results for environmental samples collected subsequently.

**9.10. Sampling team** — except for sampling inside hot cells, a team of at least two persons performing swipe sampling: a sampler (collector) and an assistant, working according to the procedures intended to keep the risk of cross-contamination during the sampling process as low as possible. The sampler comes into direct contact with the piece of cloth used to take swipe samples; the assistant does not, except when taking a control swipe sample. In the case of swipe sampling inside hot cells, the facility operator is responsible for the collection, handling and packaging of swipe samples under the direction of the IAEA inspector.

**9.11. Sampling kit** — a kit of items to be used for taking environmental samples, preassembled in a strictly controlled environment of a clean laboratory to guarantee the absence of unacceptable contamination. There are two types of kit used for swipe sampling:

- (a) A standard swipe sampling kit containing several pieces of cotton cloth or other sampling media, intended to be used for point or composite sampling;

- (b) A hot cell sampling kit with several sampling tools, intended for sampling inside hot cells.

**9.12. IAEA Clean Laboratory for Safeguards** — a unit of the Safeguards Analytical Laboratory (see No. 7.33) that provides analytical services to support the environmental sampling programme of the Department of Safeguards of the IAEA. The Clean Laboratory is responsible for the provision and certification of sampling kits and for the receipt, screening and distribution of environmental samples taken by IAEA inspectors. The facility maintains part of its laboratory space at ‘Class 100’ cleanliness level in order to reduce to an acceptable level the risk of cross-contamination that might lead to incorrect safeguards conclusions.

**9.13. Screening measurement** — measurement performed on each environmental sample received at the IAEA Clean Laboratory for Safeguards (see No. 9.12) to determine its radioactivity level and to detect the presence of any actinide elements (primarily uranium and plutonium) and fission or activation products. This is usually performed using the method of gamma ray spectrometry (see No. 7.25). Following the screening measurements, and depending on the sampling objective, samples are distributed to laboratories of the Network of Analytical Laboratories (see No. 7.34) for analyses in bulk and/or particle analysis modes, are subjected to further measurements in the IAEA Clean Laboratory for Safeguards or are archived.

**9.14. Bulk analysis** — analysis of environmental samples by methods that measure each sample as a whole, thus providing information about the average composition of the sample.

**9.15. Particle analysis** — analysis of environmental samples in which micrometre size particles are removed from the samples for analysis involving the measurement of the size and the morphology of the particles, and their elemental and isotopic composition.

**9.16. Fission track analysis** — a technique used to isolate particles from an environmental sample by removing particles from the sample, spreading them on a fission track detector material, irradiating the detector with thermal neutrons and etching the fission tracks to identify the location of particles containing fissile isotopes (e.g.  $^{239}\text{Pu}$  or  $^{235}\text{U}$ ). This method can be combined with thermal ionization mass spectrometry (TIMS) (see No. 7.22) to provide the isotopic composition of uranium and plutonium in individual particles.

**9.17. Scanning electron microscopy (SEM)** — a technique used to analyse particles from an environmental sample by depositing them on a conducting substrate and

examining them under high (1000–5000 ×) magnification. The backscattered electron signal can be used to locate particles containing heavy elements. The heavy element particles can subsequently be subjected to a semiquantitative elemental analysis by electron excited X ray fluorescence spectrometry.

**9.18. Secondary ion mass spectroscopy (SIMS)** — a technique for measuring the isotopic composition of nuclear material in micrometre size environmental particles by mounting them on a conducting substrate and bombarding them in vacuum with energetic ions. This results in the ejection of secondary ions which are analysed by a mass spectrometer to measure the isotopic composition of uranium and plutonium in the particle.

## 10. STATISTICAL CONCEPTS AND TECHNIQUES FOR NUCLEAR MATERIAL VERIFICATION

*Material balance accounting is an integral part of nuclear material verification. A requirement of material balance accounting is that the amounts of nuclear material in all components of the material balance equation are measured. The measurement results are subject to uncertainty due to errors that are inherent in all measurement systems. Statistical concepts and techniques are used to estimate the measurement uncertainty associated with nuclear material amounts and to establish and maintain control over the quality of measurements. They are further used in the formulation of sampling plans for nuclear material accountancy and verification, and as a basis for tests of statistical safeguards significance involved in the formulation of safeguards conclusions by the IAEA. For more information on this subject see [SCT].*

**10.1. Material balance evaluation** — performed whenever the material balance is closed to determine if any non-zero MUF (material unaccounted for) (see No. 6.43) can be explained by measurement uncertainty or reflects other causes. In the material balance evaluation as performed by a facility operator, the uncertainties associated with the measurement system used to determine the declared amounts of material, which make up each of the four components of the material balance equation (see Nos 6.42 and 6.43), are applied to the item or stratum amounts to determine the uncertainty of the material balance ( $\sigma_{\text{MUF}}$ ). The material balance evaluation as performed by the IAEA includes:

- (a) Evaluation of the operator's declared MUF and of the cumulative MUF (see Nos 6.43 and 6.44, respectively);
- (b) Evaluation of the operator–inspector difference (see No. 10.3) for strata verified by the IAEA and for the material balance;
- (c) Evaluation of the inspector's estimate of MUF (see No. 10.2);
- (d) Evaluation of the shipper/receiver difference (SRD) and of the cumulative SRD (see Nos 6.45 and 6.46, respectively);
- (e) Comparison of  $\sigma_{\text{MUF}}$  with the international standards of accountancy (see No. 6.35) to determine if the operator's measurement system is adequate for safeguards purposes.

*Note:* MUF evaluation applies only to bulk handling material balance areas; SRD evaluation applies only to facilities that declare SRDs.

**10.2. Inspector's estimate of MUF** — in theory, the algebraic sum of the inspector measured amounts of material in the strata that comprise the four

components of the material balance equation (see Nos 6.42 and 6.43). In practice, an inspector stratum amount is generally derived from measurement of a random sample of items (see No. 7.8) and is based on the operator stratum amount. For those strata that are not measured by the inspector, the operator's estimate of the stratum amount is accepted for calculation of the inspector's estimate of MUF. The inspector's estimate of MUF provides a higher probability of detecting diversion into D (see No. 10.6) than the 'D statistic' (see No. 10.3). When most of the major strata have been measured by the inspector, the statistic is capable of detecting both diversion into MUF (see No. 10.4) and diversion into D.  $MUF - D$ , the difference between the operator's estimate of MUF and the operator-inspector difference D, is an inspector's estimate of MUF.

**10.3. Operator-inspector difference** — the difference between the facility operator's declared value and the IAEA inspector's measured value for the quantity of nuclear material in an item, batch or stratum. The operator-inspector difference (i.e. the 'D statistic') can be calculated for a material balance by algebraically summing up all of the stratum differences relating to the four components of the material balance equation (see Nos 6.42 and 6.43). Statistically significant operator-inspector differences (see No. 10.26) are indicators of a possible diversion (diversion into D) (see No. 10.6) at both item material balance areas (MBAs) and bulk handling MBAs. They are evaluated at each level (item, batch, stratum and material balance) to determine if the difference can be explained by measurement uncertainty. When the difference cannot be explained by measurement uncertainty, further investigation is necessary to ensure that nuclear material has not been lost or diverted.

**10.4. Diversion into MUF** — a concealment method (see No. 3.9) in which an amount of declared material M is removed from a material balance area and the accounting records are adjusted to account for the amount M removed. Because the operator's accounting records reflect the removal of M, there is no falsification of these records. This diversion strategy causes an imbalance in the MUF equation, and the diversion amount M shows up as part of a non-zero MUF (see No. 10.1). The diverter assumes that the uncertainty of MUF ( $\delta_{MUF}$ ) (see No. 6.43) would be large enough to hide the removal. This type of diversion may be detected through observation of an unexpectedly large value of MUF. However, if  $\delta_{MUF}$  is large because measurement quality is poor or because there are large quantities of material accounted for improperly, then the diversion of M can be concealed.

**10.5. Diversion into SRD** — a concealment method (see No. 3.9) similar to diversion into MUF (see No. 10.4) but involving the transfer of nuclear material between safeguarded material balance areas. Diversion can be detected by statistical evaluation of the shipper/receiver difference (see No. 10.1).

**10.6. Diversion into D** — a concealment method (see No. 3.9) in which the diverter removes an amount of declared material  $M$  but does nothing to the operator's accounting records to hide the diversion. The accounting records are therefore now false (and have thus been falsified). The diversion causes a discrepancy (i.e. defect) (see No. 10.7) between the material declared to be present and the material actually present. The only way to detect the diversion is for the inspector to measure the container(s) from which  $M$  was removed and to compare the measured value with the operator's declared value. The scheme is referred to as diversion into  $D$  because it can be detected through observation of an unexpectedly large value of the  $D$  statistic. Diversion into  $D$  can be concealed if measurement quality is poor and the variance of  $D$  ( $\delta_D$ ) is large.

**10.7. Defect** — a difference between the declared amount of nuclear material and the material actually present. For IAEA verification purposes, three levels of defects are considered:

- (a) Gross defect refers to an item or a batch that has been falsified to the maximum extent possible so that all or most of the declared material is missing.
- (b) Partial defect refers to an item or a batch that has been falsified to such an extent that some fraction of the declared amount of material is actually present.
- (c) Bias defect refers to an item or a batch that has been slightly falsified so that only a small fraction of the declared amount of material is missing.

**10.8. Sample size** — the number of items to be verified in order to be able to draw conclusions about the population from which the sample is taken. In the context of IAEA safeguards the basic formula used for estimating the total number of samples ( $n$ ) to be selected in each stratum is:

$$n = N(1 - \beta^{1/d})$$

where

- $N$  is the number of items in the stratum,
- $\beta$  is the non-detection probability,
- $d$  is  $[M/x]$ , the number of defects in the stratum rounded up to the next integer,
- $M$  is the goal amount,
- $x$  is the average nuclear material weight of an item in the stratum.

This formula approximates the sample size that would result from application of the hypergeometric probability distribution (sampling without replacement). The total

sample size (n) may be allocated among several IAEA accountancy verification methods, specifically methods for detecting gross, partial and bias defects (see Nos 6.56 and 10.7). Allocation of the total sample size among several verification methods and other topics related to sample size are discussed in detail in [SCT, Ch. 6.4.2].

**10.9. Mean ( $\mu$ )** — a measure of where the centre of an ordered population or probability distribution tends to be located. The mean is defined in some statistics textbooks as a measure of central tendency.

**10.10. Sample mean ( $x_{av}$ )** — for a sample of n items (e.g. individual measurement observations), whose values are denoted by  $x_1, x_2, \dots, x_n$ , the sample mean is the average value

$$x_{av} = \sum_{i=1}^n x_i / n.$$

In the case of the normal distribution, this statistic is an unbiased estimate of the population mean ( $\mu$ ).

**10.11. Variance ( $\sigma^2$ )** — a measure of the dispersion or variability of a population or probability distribution. The variance is the second moment about the mean.

**10.12. Sample variance ( $s^2$ )** — a measure of the dispersion or variability of a sample, calculated as

$$s^2 = \sum_{i=1}^n (x_i - x_{av})^2 / (n - 1).$$

The sample variance  $s^2$  is usually taken as an estimate of  $\sigma^2$ , the variance of the population from which the sample has been drawn.

**10.13. Standard deviation ( $\sigma$ )** — the positive square root of the variance. The standard deviation is expressed in the same units as the mean value for the population or probability distribution. The relative standard deviation, or coefficient of variation, is defined as  $\delta = \sigma/\mu$ , where  $\mu$  is the mean of the population or distribution.

**10.14. Error** — in general, the amount by which the measured value differs from the ‘true’ value; it is also referred to as uncertainty. All measurements are subject to error. Sources of measurement error include sampling (selecting a limited number of items from a population, or a small amount of material from a container (see Nos 7.8 and 7.9), weighing, volume determination, the analytical technique, instrument calibration (see No. 7.1) and environmental conditions (such as moisture) or



background in the case of non-destructive assay measurement (see No. 7.24). In nuclear material accountancy terminology, estimates of error include only those uncertainties attributable to the measurement process, and do not include mistakes (e.g. transcription mistakes). (See also Nos 10.15 and 10.16.)

**10.15. Random error** — a component of measurement error which occurs, in the course of a number of measurements of the same quantity, in a random way according to some probability distribution, with both positive and negative deviations from the ‘true’ value. As the number of measurements increases, the mean of these random deviations approaches zero; consequently, the effect of random error can be reduced by repeating measurements. Random error is sometimes referred to as measurement precision: the higher the precision, the smaller the random error.

**10.16. Systematic error (bias)** — a component of measurement error which remains constant over a series of replicate measurements. The mean of the systematic deviations from the ‘true’ value is some value other than zero; consequently, the effect of systematic error cannot be reduced by repeating measurements. Systematic error is sometimes referred to as measurement accuracy because it characterizes how close the measurement is to the ‘true’ value: the higher the accuracy, the smaller the systematic error. Systematic error is often estimated by measuring standards. Sometimes a bias correction is made to adjust for systematic error.

**10.17. Residual bias** — an unknown systematic error that remains after a bias correction has been applied, i.e. after the measured values have been corrected for the part of the systematic error that can be estimated by calibration or by measuring standards.

**10.18. Error propagation** — “the determination of the value to be assigned as the uncertainty of a given quantity, using mathematical formulae for the combination of measurement errors. Error propagation involves many considerations and the choice of formula for computing the uncertainty depends on the functional relations of the measurement parameters involved” (from document WASH-1173, Brookhaven National Laboratory, in [SCT, Ch. 5.1]). For example, the uncertainty ( $\sigma_{\text{MUF}}$ ) of MUF resulting from closing a material balance (see No. 6.43) can be calculated by the application of the error propagation formulas that combine the errors of the individual material balance components (see No. 6.42). The standard deviation of the calculated variance of MUF (or  $\sigma_{\text{MUF}}$ ) is used to evaluate the statistical significance of MUF (see No. 10. 26).

**10.19. Limits of error** — limits set around a measured value using estimates of random and systematic measurement uncertainty which have been calculated from

data acquired over a long period of time. These limits are the upper and lower bounds of a confidence interval. They are intended to have the same meaning as the ‘limits of accuracy’ mentioned in para. 30 of [153].

**10.20. Confidence interval** — an estimate of a statistical parameter presented as an interval along the number line within which the ‘true’ value of the parameter lies with a specified probability. In the case of the normal distribution, the end points of the confidence interval are the same as the confidence limits.

**10.21. Confidence limits** — limits set around a measured value or estimate that express a degree of confidence with regard to the ‘true’ value of the measured or the estimated amount. For example, a confidence interval can be established for a MUF value (see No. 6.43) by setting the upper limit at  $MUF + 3\sigma_{MUF}$  and the lower limit at  $MUF - 3\sigma_{MUF}$ , corresponding to the claim that with 99.73% confidence the ‘true’ value of MUF lies within this interval. Confidence limits of the interval  $MUF \pm 2\sigma_{MUF}$  correspond to 95.45% confidence that the ‘true’ value lies within the calculated interval.

**10.22. Confidence level** — denotes the percentage of instances in which the confidence interval would contain the ‘true’ value of a statistical parameter if a large number of intervals were to be constructed on the basis of repeated sampling from the population. For example, if the level selected for establishing the confidence intervals were 95%, then 95% of the calculated intervals would be expected to contain the ‘true’ value. The probability chosen for the confidence level need not be the same as the detection probability.

**10.23. Outlier** — an observed or measured value that is unusually large or unusually small when compared with a range of values expected under similar conditions. Because a suspected outlier may or may not be representative of the population from which it came, it is prudent to examine the circumstances surrounding the alleged outlier before rejecting it. For example, a mistake might have been made in recording the data. Statistical analytical methods exist for identifying outliers and for treating them for the purposes of data evaluation [SCT, Ch. 4.6.3.7]. One is cautioned that discarding outliers can result in underestimation of variability within the population.

**10.24. Performance values** — estimates of measurement error derived by the IAEA from a statistical analysis of historical measurement data, specifically the paired operator–inspector difference data (see No. 10.3) accumulated over a large number of inspections. The estimates are apportioned between the operator and the inspector and are separated into random error (see No. 10.15) and systematic error (see No. 10.16) components. Performance values are established on a facility, stratum and

measurement method basis and are used for planning safeguards implementation and for safeguards statistical data evaluation purposes.

**10.25. Test of hypothesis** — a test to determine whether or not an assumed (or hypothetical) parameter value is reasonable. In general, a hypothesis may refer to a characteristic, such as element concentration, or to a statistic, such as the operator's declared MUF (see No. 6.43) or the operator–inspector difference (see No. 10.3). The test may involve either a two-sided interval or a one-sided interval (e.g. testing only for understatements). A hypothesis may also take the form of a statement, e.g. whether or not the population sampled fits a normal distribution. For example, suppose the hypothesis to be tested (called the null hypothesis) is that the mean value of element concentration of a batch of  $\text{UO}_2$  powder is 82.2%, while the alternative hypothesis is that the mean value is either greater or smaller than 82.2%. For this test, limits of error (see No. 10.19) must be set on both sides of the parameter to establish an interval for testing; the areas beyond the interval are called the critical region. One or more samples from the batch in question are analysed for element concentration. If the measured concentration were to lie within the established interval, the null hypothesis would be accepted; if the measured concentration were to lie in the critical region (see No. 10.32), the null hypothesis would be rejected.

**10.26. Statistically significant** — describes a conclusion drawn when the null hypothesis is rejected. Safeguards relevant statistics tested include: operator's declared MUF (see No. 6.43), inspector's estimate of MUF (see No. 10.2), operator–inspector difference (see No. 10.3) and shipper/receiver difference (see No. 6.45). For example, suppose the null hypothesis is that the expected value of MUF is zero. An interval is established around the declared MUF value for a given level of confidence and an estimated  $\sigma_{\text{MUF}}$ . If zero were to lie within the interval, there would be no reason to reject the null hypothesis that MUF is zero; thus MUF would not be considered statistically significant. However, if zero were to lie outside the interval, there would be sufficient evidence to reject the null hypothesis and to conclude that MUF is not zero; thus MUF would be considered statistically significant.

**10.27. Type I error** — in a test of hypothesis (see No. 10.25), rejecting a null hypothesis when the null hypothesis is in fact true. The probability  $\alpha$  of committing a type I error is called the significance level of the test. Since rejecting a null hypothesis is equivalent to concluding that the hypothesis is false,  $\alpha$  is also referred to as the false alarm probability (see No. 3.17). A type I error in the context of IAEA safeguards might result in falsely concluding that nuclear material has been lost when in fact no material has been lost. Therefore the value of  $\alpha$  chosen is very small (e.g. 1%).

**10.28. Type II error** — in a test of hypothesis (see No. 10.25), failing to reject a null hypothesis when the null hypothesis is in fact false; this is commonly designated as probability  $\beta$ . Since in the context of IAEA safeguards, failure to reject a null hypothesis is equivalent to a conclusion that diversion did not occur when in fact it did occur, the probability  $\beta$  of a type II error is commonly referred to as the non-detection probability (see No. 3.16).

**10.29. Power of a test** — in a test of hypothesis (see No. 10.25), the probability of correctly rejecting a false hypothesis. The power of the test is a function of the ‘true’ distribution of the population tested. If the overlap of the hypothetical distribution and the ‘true’ distribution were small, then the power of the test would be high. If the overlap of the two distributions were large, then the power of the test would be low. In the case of a large overlap, more data (i.e. a larger sample size) are required to reduce the overlap and thus increase the power of the test. The power of the test is one minus the probability  $\beta$  of a type II error (see No. 10.28); in the context of IAEA safeguards,  $1 - \beta$  is the detection probability (see No. 3.16).

**10.30. Attributes test** — a statistical test of a characteristic (or attribute) of an item to which the response is either ‘yes’ or ‘no’. For example, seal verification is an attributes test: the seal is inspected and the result should be either that it shows evidence of tampering or it does not. Verification of items by non-destructive assay for radiation emission is also an attributes test: a tested item either emits radiation within a specified range or it does not. A ‘no’ answer identifies a defect (see No. 10.7).

**10.31. Variables test** — a statistical test which consists of measuring, on a continuous scale, a quantitative characteristic of an item. Weighing an item and measuring its element concentration by the analysis of a representative sample are examples of variables tests. When the results of such a quantitative measurement are used only to decide whether or not the item measured meets a specified criterion, which is a ‘yes/no’ decision, the test is described as ‘variables in attributes mode’.

**10.32. Critical region** — the region outside the bound(s) established for a hypothesis test. If the test results were to lie inside the critical region (i.e. outside the bound(s)), the hypothesis would be rejected. The reject limit is the point(s) at which the critical region begins.

## 11. VISITS, INSPECTIONS AND COMPLEMENTARY ACCESS

*Safeguards visits and inspections are carried out by IAEA inspectors at facilities or locations outside facilities (LOFs), in accordance with the provisions of the relevant safeguards agreement. For a State that also has an additional protocol in force, the IAEA may also conduct complementary access in that State, as necessary.*

### VISITS AND INSPECTIONS

**11.1. Visit** — the presence of IAEA inspectors at a facility for purposes other than a safeguards inspection (see No. 11.2) or complementary access (see No. 11.25); examples of such purposes are the examination and verification of design information on a facility (see Nos 3.29 and 3.30), fact finding and technical discussions in connection with the development of safeguards approaches (see No. 3.1), and negotiations and discussions with facility and State authorities regarding safeguards implementation matters. Visits are not counted as person-days of inspection (see No. 11.20).

**11.2. Inspection** — under an INFCIRC/153-type safeguards agreement, a set of activities carried out by IAEA inspectors at a facility or a location outside facilities to verify that the nuclear material declared and placed under safeguards remains in peaceful nuclear activities or is otherwise adequately accounted for. Three types of inspection may be performed under these agreements: ad hoc, routine and special inspections (see Nos 11.4, 11.5 and 11.13, respectively). Under an INFCIRC/66-type safeguards agreement, inspections are performed to verify that the nuclear material declared and placed under safeguards remains in peaceful nuclear activities or is otherwise adequately accounted for and that the non-nuclear material, facilities, equipment, services and information specified and placed under safeguards are not used to further any proscribed purpose. Initial inspections, routine inspections and special inspections may be performed under such agreements (see Nos 11.3, 11.5 and 11.13, respectively).

**11.3. Initial inspection** — paragraph 51 of [66] provides that an initial inspection may be carried out, if so provided in a safeguards agreement, to verify that the construction of a principal nuclear facility is in accordance with the design reviewed by the IAEA. The initial inspection(s) may be carried out as soon as possible after the facility has come under IAEA safeguards, in the case of a facility already in operation; or before the facility starts to operate, in the other cases.

**11.4. Ad hoc inspection** — an inspection performed by IAEA inspectors at a facility or a location outside facilities before a Subsidiary Arrangement has entered into force (see No. 1.26). Paragraph 71 of [153] provides that the IAEA may make ad hoc inspections in order to:

- (a) Verify the information contained in the initial report on the nuclear material subject to safeguards under the agreement;
- (b) Identify and verify changes in the situation which have occurred since the date of the initial report;
- (c) Identify, and if possible verify the quantity and composition of, nuclear material before its transfer out of or upon its transfer into the State.

**11.5. Routine inspection** — paragraph 72 of [153] provides that the IAEA may perform routine inspections at a facility or a location outside facilities in order to:

- (a) Verify that reports are consistent with records;
- (b) Verify the location, identity, quantity and composition of all nuclear material subject to safeguards under the agreement;
- (c) Verify information on the possible causes of material unaccounted for, shipper/receiver differences and uncertainties in the book inventory.

According to para. 49 of [66], routine inspections may include, as appropriate:

- (a) Audit of records and reports;
- (b) Verification of the amount of safeguarded nuclear material by physical inspection, measurement and sampling;
- (c) Examination of principal nuclear facilities, including a check of their measuring instruments and operating characteristics;
- (d) Check of the operations carried out at principal nuclear facilities and at research and development facilities containing safeguarded nuclear material.

**11.6. Unannounced inspection** — an inspection performed at a facility or a location outside facilities for which no advance notice is provided by the IAEA to the State before the arrival of IAEA inspectors. Paragraph 84 of [153] provides that, “as a supplementary measure, the Agency may carry out without advance notification a portion of the routine inspections...in accordance with the principle of random sampling”. Paragraph 50 of [66] makes provision for the IAEA to carry out unannounced inspections.

**11.7. Short notice inspection** — an inspection performed at a facility or a location outside facilities for which less advance notice is provided by the IAEA to the State than that provided for under para. 83 of [153].

**11.8. Random inspection** — an inspection performed at a facility or a location outside facilities on a date chosen randomly.

**11.9. Short notice random inspection (SNRI)** — an inspection performed both on short notice (see No. 11.7) and randomly (see No. 11.8). SNRIs are part of a safeguards approach (see No. 3.3) developed for low enriched uranium fuel fabrication plants subject to safeguards, in order to provide improved coverage of domestic transfers of nuclear material. SNRIs may also be used at other facility types where the safeguards approach calls for unpredictably scheduled short notice inspections.

**11.10. Limited frequency unannounced access (LFUA)** — a part of a safeguards approach (see No. 3.3) developed for gas centrifuge uranium enrichment plants subject to safeguards under an INFCIRC/153-type safeguards agreement and operating at a stated uranium enrichment level of 5% or less. LFUA inspections to cascade areas are designed to permit, together with inspection activities outside cascade areas, the timely detection of diversion of one significant quantity (SQ) of uranium, including the production of one SQ of uranium at an enrichment level higher than that declared, while protecting the sensitive technical information related to the enrichment process. The LFUA regime, inter alia, secures access with short notice for IAEA inspectors to the cascade area of the plant concerned. Inspection activities to be implemented within the cascade area include visual observation, radiation monitoring and non-destructive assay measurements, sampling, and application and verification of seals. The activities to be performed and the frequency of access to the cascade area depend on the design and operation specifics of the plant.

**11.11. Simultaneous inspections** — inspections performed by IAEA inspectors simultaneously or within a short period of time at two or more facilities in a State in order to detect possible diversions arranged in collusion between facilities by, for example, the temporary transfer ('borrowing') of nuclear material between facilities so that the same material would be verified twice by the IAEA, once in each of the two facilities inspected. The facilities may be of the same type (e.g. light water reactors (LWRs) using fuel assemblies of the same kind), or they may be linked in the same nuclear fuel cycle (e.g. LWRs, fuel fabrication and reprocessing plants, and spent fuel storage areas).

**11.12. Continuous inspection** — an inspection regime intended to maintain continuity of knowledge concerning inventory and flow of nuclear material by witnessing key operations, recording measurement and operating data, and verifying the information in order to meet the safeguards objectives. The activities involved may or may not require the continuous presence of an IAEA inspector or inspectors within the facility. According to para. 80 of [153], for facilities handling large amounts of plutonium or high enriched uranium, the inspection effort foreseen may in practice allow for continuous inspection. Provisions for continuous inspections under INFCIRC/66-type safeguards agreements are given in Annexes I and II of [66].

**11.13. Special inspection** — an inspection is deemed to be special: when it either is additional to the routine inspection effort provided for in paras 78–82 of [153], or involves access to information or locations in addition to the access specified in para. 76 of [153] for ad hoc and routine inspections, or both. Paragraph 73 of [153] provides that the IAEA may make special inspections subject to the procedures for consultations between the State and the IAEA: in order to verify the information contained in special reports, or if the IAEA considers that information made available by the State, including explanations from the State and information obtained from routine inspections, is not adequate for the IAEA to fulfil its responsibilities under the agreement.

According to paras 53 and 54 of [66], the IAEA may carry out special inspections if: the study of a report indicates that such inspection is desirable, or any unforeseen circumstance requires immediate action. The IAEA may also carry out special inspections of substantial amounts of safeguarded nuclear material that are to be transferred outside the jurisdiction of the State in which it is being safeguarded, for which purpose the State shall give the IAEA sufficient advance notice of any such proposed transfer.

**11.14. Access for inspection** — paragraph 76 of [153] provides that IAEA inspectors have access as follows:

- (a) For the purposes specified in subparas 71(a) and (b) of [153] and until such time as the strategic points have been specified in the Subsidiary Arrangements, IAEA inspectors shall have access to any location where the initial report or any inspections carried out in connection with it indicate that nuclear material is present.
- (b) For the purposes specified in subpara. 71(c) of [153], IAEA inspectors shall have access to any location of which the IAEA has been notified in accordance with subparas 92(c) or 95(c) of [153].



- (c) For the purposes specified in para. 72 of [153], IAEA inspectors shall have access only to the strategic points specified in the Subsidiary Arrangements and to the records maintained pursuant to paras 51–58 of [153].
- (d) In the event of the State concluding that any unusual circumstances require extended limitations on access by the IAEA, the State and the IAEA shall promptly make arrangements with a view to enabling the IAEA to discharge its safeguards responsibilities in the light of these limitations. The IAEA Director General shall report each such arrangement to the IAEA Board of Governors.

According to para. 77 of [153], in circumstances which may lead to a special inspection (see No. 11.13), the State and the IAEA shall consult forthwith. As a result of such consultations, the IAEA may make inspections in addition to the routine inspection effort provided for under paras 78–82 of [153], and may obtain access in agreement with the State to information or locations in addition to the access specified under para. 76 of [153] for ad hoc and routine inspections.

Under INFCIRC/66-type safeguards agreements, para. 9 of [39] provides that IAEA inspectors shall have access to all materials, equipment and facilities to which safeguards are applied.

**11.15. Scope of inspection** — paragraph 74 of [153] provides that for purposes of ad hoc, routine and special inspections performed under INFCIRC/153-type agreements, “the Agency may:

- (a) Examine the records kept;
- (b) Make independent measurements of all nuclear material subject to safeguards under the agreement;
- (c) Verify the functioning and calibration of instruments and other measuring and control equipment;
- (d) Apply and make use of surveillance and containment measures; and
- (e) Use other objective methods which have been demonstrated to be technically feasible”.

Activities which the IAEA shall be enabled to perform within the scope of inspection are reflected in para. 75 of [153] and in the relevant Subsidiary Arrangements (see No. 1.26). The scope of a routine inspection under an INFCIRC/66-type agreement is described in para. 49 of [66].

**11.16. Frequency of inspection** — the number of times per year that a facility is to be inspected. Under an INFCIRC/153-type safeguards agreement, the frequency of routine inspections at facilities and locations outside facilities with a content or

annual throughput (whichever is greater) not exceeding 5 effective kilograms may not exceed one inspection per year [153, para. 79]. In all other cases, inspection frequency is related to the IAEA timeliness detection goals for the facility considered (see No. 3.20). For inspections under an INFCIRC/66-type safeguards agreement, see para. 57 and Annexes I and II of [66].

**11.17. Advance notice of inspections and visits** — provided by the IAEA to the State relative to inspections and visits as provided for under a safeguards agreement. Under an INFCIRC/153-type agreement, for example, advance notice for routine inspections is at least 24 hours for facilities involving plutonium or uranium enriched to more than 5%, and one week in all other cases [153, para. 83(c)]. However, according to para. 84 of [153], the IAEA may carry out without advance notice a portion of the routine inspections (see No. 11.6).

**11.18. Inspection activities** — verification activities performed by IAEA inspectors during and in connection with inspections at facilities (see No. 11.2). Under an INFCIRC/153-type safeguards agreement, activities may include nuclear material accounting activities (see, for example, Nos 6.48–6.55), the application of containment and surveillance measures (see No. 8.6), and other activities such as environmental sampling (see No. 9.1). While not an inspection activity, design information examination and verification for a facility (see Nos 3.29 and 3.30), normally performed during visits to the facility, may be performed during inspections.

**11.19. IAEA inspector** — an IAEA officer appointed by the IAEA Director General and approved by the IAEA Board of Governors to perform safeguards inspections. After approval by the Board, the inspector is proposed to the respective States in which he/she is expected to operate. If the State agrees, the IAEA effects the designation. Simplified designation procedures can be agreed upon by the State and the IAEA, as required under Article 11 of [540]. IAEA inspectors are granted privileges and immunities necessary for the performance of their functions, as foreseen under Articles VI and VII of [9]. (See also No. 1.16.)

**11.20. Person-day (man-day) of inspection (PDI)** — “a day during which a single inspector has access to a facility at any time for a total of not more than eight hours” [153, para. 109]. This legal definition does not necessarily coincide with a calendar day, and is used to calculate the total amount of inspection effort at facilities compared with the maximum routine inspection effort (see No. 11.24). Where inspection activities require only a small portion of a calendar day, this still constitutes one PDI.

**11.21. Person-year (man-year) of inspection** — according to para. 109 of [153], 300 person-days (man-days) of inspection. However, the term ‘inspector-year’ (365 minus weekend days and minus some allowance for leave) is used to reflect the average number of days in a calendar year during which an inspector is available for work.

**11.22. Actual routine inspection effort (ARIE)** — the estimated annual inspection effort for a facility under an INFCIRC/153-type safeguards agreement, expressed in person-days and included in the Subsidiary Arrangements (see No. 1.26). For estimating ARIE, it is assumed that the facility operates according to its design data. In accordance with para. 81 of [153], due consideration should be given to the following when the ARIE and other elements of a routine inspection at a facility are being established:

- (a) The form and accessibility of the nuclear material;
- (b) The effectiveness of the SSAC and the extent to which the operator is functionally independent of the SSAC;
- (c) The characteristics of the State’s nuclear fuel cycle, in particular the number and types of facilities and the characteristics of such facilities relevant to safeguards;
- (d) The international interdependence of nuclear activities involved and any relevant IAEA verification activities;
- (e) Technical developments in the field of safeguards.

The ARIE is an estimated guideline. Operational conditions and unforeseen situations may require certain deviations from the agreed estimate (see No. 11.23).

**11.23. Planned actual routine inspection effort (PLARIE)** — the estimated annual routine inspection effort which, in contrast to the ARIE, takes the expected operational status of the facility (e.g. extended shutdowns) into account. The PLARIE for a facility in most cases is smaller than the ARIE. The total PLARIE forecast for all facilities under IAEA safeguards, corrected by a factor that accounts for the total inspection resources available, serves as a basis for human resource allocation.

**11.24. Maximum routine inspection effort (MRIE)** — the maximum number of person-days of inspection (PDI) per annum allowable for a facility, as provided for under para. 80 of [153]. The limit depends on whichever is the larger of: the inventory, annual throughput or maximum potential annual production of nuclear material of the facility. This largest quantity (L) is measured in effective kilograms (ekg). For all types of nuclear installation with L less than 5 ekg, the limit is one routine inspection per annum. For other facilities, the inspection regime shall be no more intensive than

is necessary but shall be sufficient to maintain continuity of knowledge of the flow and inventory of nuclear material. For reactors and sealed stores, the limit is 50 PDI/a. In the case of facilities containing plutonium and uranium enriched to more than 5%, the equation  $\text{MRIE} = 30\sqrt{L}$  PDI/a applies, but the MRIE should not be less than 450 PDI/a. For all other cases, an MRIE equal to  $(100 + 0.4L)$  PDI/a is specified.

## COMPLEMENTARY ACCESS

**11.25. Complementary access** — access provided by the State to IAEA inspectors in accordance with the provisions of an additional protocol (see No. 1.22). According to Article 4 of [540], the IAEA shall not mechanistically or systematically seek to verify the information provided by the State under Article 2 of its additional protocol; however, the IAEA shall have complementary access for three purposes:

- To assure the absence of undeclared nuclear material and activities at sites, mines, concentration plants and other locations where nuclear material has been declared to be present;
- To resolve a question relating to the correctness and completeness of the information provided by the State pursuant to Article 2, or to resolve an inconsistency relating to that information;
- To confirm, for safeguards purposes, the declaration of the decommissioned status of a facility or a location outside facilities where nuclear material was customarily used.

Under Article 8 of [540], the State may offer the IAEA access to locations in addition to those referred to in Articles 5 and 9. Under Article 9, the State shall provide the IAEA with access to locations specified by the IAEA to carry out wide area environmental sampling (see No. 9.3). However, the IAEA shall not seek such access until the use of such wide area environmental sampling and the procedural arrangements therefor have been approved by the IAEA Board of Governors and following consultations between the IAEA and the State. In certain cases where the State is unable to provide the required access, it should make every reasonable effort to satisfy the IAEA's requirements through other means or at alternative locations [540, Articles 5.b, 5.c and 9].

**11.26. Managed access** — upon the request of the State, the IAEA and the State shall make arrangements for managed access, arranged in such a way as “to prevent the dissemination of proliferation sensitive information, to meet safety or physical protection requirements, or to protect proprietary or commercially sensitive information. Such arrangements shall not preclude the Agency from conducting

activities necessary to provide credible assurance of the absence of undeclared nuclear material and activities at the location in question, including the resolution of a question relating to the correctness and completeness of the information referred to in Article 2 or of an inconsistency relating to that information” [540, Article 7.a]. The State may, when providing information pursuant to Article 2, “inform the Agency of the places at a site or location to which managed access may be applicable” [540, Article 7.b].

**11.27. Location** — in the context of [540], the term ‘location’ usually means any geographical point or area described in the information supplied by a State or specified by the IAEA. (‘Location outside facilities’ and ‘other location’ have specialized meanings (see No. 5.25).)

**11.28. Site** — as defined in Article 18.b of [540], that area delimited by the State in the relevant design information for a facility, including a closed-down facility, and in the relevant information on a location outside facilities where nuclear material is customarily used, including a closed-down location outside facilities where nuclear material was customarily used (this is limited to locations with hot cells or where activities related to conversion, enrichment, fuel fabrication or reprocessing were carried out). It also includes all installations, collocated with the facility or location, for the provision or use of essential services, including: hot cells for processing irradiated materials not containing nuclear material; installations for the treatment, storage and disposal of waste; and buildings associated with specified activities identified by the State under Article 2.a(iv) of its additional protocol.

**11.29. Place (on a site or location)** — in the context of [540], the term ‘place’ usually means a smaller area or point on a site or location.

**11.30. Advance notice of complementary access** — given by the IAEA to the State as provided for in Articles 4.b and 4.c of [540] and in connection with the implementation of complementary access under Article 5 of [540]. Advance notice for complementary access is at least 24 hours; except that for access to any place on a site that is sought in conjunction with design information verification visits or ad hoc or routine inspections on that site, the period of advance notice shall, if the IAEA so requests, be at least two hours but, in exceptional circumstances, it may be less than two hours. Advance notice shall be in writing and shall specify the reasons for access and the activities to be carried out during such access.

**11.31. Complementary access activities** — according to Article 6 of [540], the activities the IAEA inspector(s) may perform for complementary access depend on the type of location and include the following: visual observation; collection of

environmental samples; utilization of radiation detection and measurement devices; application of seals and other identifying and tamper indicating devices specified in Subsidiary Arrangements; examination of records relevant to the quantities, origin and disposition of the material; collection of environmental samples; and other objective measures which have been demonstrated to be technically feasible and the use of which has been agreed by the IAEA Board of Governors and following consultations between the IAEA and the State.

## 12. SAFEGUARDS INFORMATION AND EVALUATION

*The IAEA has available a broad range of information about States' nuclear programmes which it uses to perform safeguards State evaluations. These evaluations, and the independent review of their findings, are a key element of planning safeguards activities in a State and are fundamental to the process of deriving safeguards conclusions about the non-diversion of nuclear material placed under safeguards and, where appropriate, about the absence of undeclared nuclear material and activities in a State.*

**12.1. Safeguards information** — information relevant to IAEA safeguards implementation available to the IAEA from the following major sources:

- (a) State supplied information, submitted pursuant to obligations under a safeguards agreement (e.g. nuclear material accounting reports (see No. 12.4) and design information (see No. 3.28)); under an additional protocol (e.g. declarations) (see No. 12.14); and on a voluntary basis (e.g. voluntary reports) (see No. 12.13).
- (b) Information obtained by the IAEA through its verification activities conducted under a safeguards agreement (e.g. inspection results, verification of design information) (see No. 3.30), and its activities conducted under an additional protocol (e.g. complementary access) (see No. 11.25).
- (c) Open source information (see No. 12.15) and other information available to the IAEA (e.g. through its activities in the areas of nuclear technology and applications such as databases on nuclear safety, nuclear waste and technical co-operation).
- (d) Information from third parties, such as voluntarily provided export data and other safeguards relevant information.

**12.2. Initial report** — under an INFCIRC/153-type safeguards agreement, an official statement by the State on all nuclear material subject to safeguards, which is to be provided to the IAEA within 30 days of the last day of the calendar month in which the agreement enters into force [153, para. 62]. From the initial report, the IAEA establishes a unified inventory of all nuclear material (irrespective of its origin) for the State and maintains this inventory on the basis of subsequent reports and its verification activities. Under an INFCIRC/66-type safeguards agreement, the first routine report (see No. 12.3) is considered equivalent to an initial report.

**12.3. Routine report** — under an INFCIRC/66-type safeguards agreement, the set of accounting reports and operating reports made by the State to the IAEA [66, para. 39]. In accordance with para. 40 of [66], the first routine report is to be submitted as

soon as there is any safeguarded nuclear material to be accounted for, or as soon as the nuclear facility to which it relates is in a condition to operate.

**12.4. Accounting report** — a report made by the State to the IAEA on the status of nuclear material subject to safeguards at a defined area and on the changes in that status since the previous report. Accounting reports are submitted by the State at times specified in the safeguards agreement or in the Subsidiary Arrangements (see No. 1.26). Under an INFCIRC/153-type safeguards agreement, reporting formats agreed between the State and the IAEA are described in Code 10 of the Subsidiary Arrangements. Such safeguards agreements provide for three types of accounting report: inventory change reports, material balance reports and physical inventory listings (see Nos 12.5, 12.7 and 12.8, respectively). Provision for accounting reports under an INFCIRC/66-type agreement is made in para. 39(a) of [66].

**12.5. Inventory change report (ICR)** — an accounting report provided by the State to the IAEA “showing changes in the inventory of nuclear material. The reports shall be dispatched as soon as possible and in any event within 30 days after the end of the month in which the inventory changes occurred or were established” [153, para. 63(a)]. Further, “inventory change reports shall specify identification and batch data for each batch of nuclear material, the date of the inventory change and, as appropriate, the originating material balance area and the receiving material balance area or the recipient. These reports shall be accompanied by concise notes” [153, para. 64]. (See also No. 12.6.)

**12.6. Concise notes** — according to para. 64 of [153], information supplied by the State to the IAEA and accompanying inventory change reports (see No. 12.5) for the purposes of explaining the inventory changes (on the basis of the operating data contained in the operating records) and of describing the anticipated operational programme, particularly the taking of a physical inventory (see No. 6.41).

**12.7. Material balance report (MBR)** — an accounting report provided by the State to the IAEA “showing the material balance based on a physical inventory of nuclear material actually present in the material balance area. The reports shall be dispatched as soon as possible and in any event within 30 days after the physical inventory has been taken” [153, para. 63(b)]. According to para. 67 of [153], “the material balance reports shall include the following entries, unless otherwise agreed by the Agency and the State:

- (a) Beginning physical inventory;
- (b) Inventory changes (first increases, then decreases);
- (c) Ending book inventory;



- (d) Shipper/receiver differences;
- (e) Adjusted ending book inventory;
- (f) Ending physical inventory; and
- (g) Material unaccounted for.”

An MBR must be submitted even where there was no nuclear material in the material balance area at the time of the physical inventory taking and where no inventory changes occurred during the relevant material balance period, as long as the material balance area continues to be subject to IAEA safeguards.

**12.8. Physical inventory listing (PIL)** — a report provided by the State to the IAEA in connection with a physical inventory taking by the operator (see No. 6.41), “listing all batches separately and specifying material identification and batch data for each batch” [153, para. 67]. Such listings are to be attached to each material balance report (see No. 12.7) even where there was no nuclear material in the material balance area at the time of the ending physical inventory taking.

**12.9. Operating report** — a report by the State to the IAEA on the operation of a facility in connection with the use and handling of nuclear material. Operating reports are submitted for facilities safeguarded under INFCIRC/66-type safeguards agreements; the requirement is provided in para. 39(b) of [66].

**12.10. Special report** — in accordance with para. 68 of [153], a report by the State to the IAEA on the loss of nuclear material exceeding specified limits or in the event that containment and surveillance measures have been unexpectedly changed from those specified in the Subsidiary Arrangements (see No. 1.26). INFCIRC/66-type safeguards agreements also require special reports to be submitted in the event that a transfer of nuclear material results in a significant change in the inventory of a facility; the requirement is reflected in paras 42 and 43 of [66].

**12.11. Notification of transfers** — under an INFCIRC/153-type safeguards agreement, a requirement for the State to inform the IAEA of international transfers of nuclear material, equipment and facilities. Paragraph 92 of [153] provides that any intended transfer out of the State of safeguarded nuclear material in an amount exceeding one effective kilogram, or by successive shipments to the same State within a period of three months each of less than one effective kilogram but exceeding in total one effective kilogram, shall be notified to the IAEA after the conclusion of the contractual arrangements leading to the transfer and normally at least two weeks before the nuclear material is to be prepared for shipping. The advance notification is to enable the IAEA, as necessary, to identify, and if possible to verify, nuclear material prior to the transfer. For transfers into the State, similar provisions for

notification are included in paras 95 and 96 of [153]. In addition, the five nuclear weapon States (as defined by Article IX.3 of the NPT) that have a voluntary offer agreement with the IAEA have agreed to provide the IAEA with advance notification of transfers of nuclear material to non-nuclear-weapon States, as indicated in para. 1 of [207]. In the case of an INFCIRC/66-type safeguards agreement, the State is required to inform the IAEA of transfers of safeguarded nuclear material, equipment or facilities within the State to a facility not previously subject to safeguards.

**12.12. Confirmation of transfers** — under an INFCIRC/153-type safeguards agreement, a requirement for the exporting State to make arrangements, if the nuclear material will not be subject to IAEA safeguards in the recipient State, for the IAEA to receive confirmation by the recipient State of the transfer [153, para. 94]. Further, the five nuclear weapon States (as defined by Article IX.3 of the NPT) that have a voluntary offer agreement with the IAEA have undertaken to provide the IAEA with such confirmations of transfers from non-nuclear-weapon States, as indicated in para. 2 of [207].

**12.13. Voluntary reports on nuclear material, specified equipment and non-nuclear material** — information provided voluntarily to the IAEA by States participating in the voluntary reporting scheme (see No. 1.27). The information includes information on nuclear material not otherwise required to be reported under safeguards agreements, and information on the export and import of specified equipment and non-nuclear material. The list of the specified equipment and non-nuclear material is incorporated in Annex II of [540].

**12.14. Declaration pursuant to an additional protocol** — information submitted to the IAEA by a State about its nuclear programme and related activities. Examples of such information are the research and development activities related to the State's nuclear fuel cycle (see No. 5.2), descriptions of buildings on sites, nuclear related manufacturing activities, and exports of specified equipment and non-nuclear material (see Nos 4.40 and 5.33).

**12.15. Open source information** — information generally available to the public from external sources, such as scientific literature; official information; information issued by public organizations, commercial companies and the news media; and commercial satellite images.

**12.16. Illicit Trafficking Database** — an international database maintained by the IAEA in co-operation with participating Member States; it reflects all reported incidents of illicit trafficking in nuclear material and other radioactive sources.

**12.17. IAEA Safeguards Information System (ISIS)** — a computerized system for processing information in support of safeguards implementation, such as nuclear material accounting information, design information, inspection reports, authority files (defining installations, facilities and material balance areas) and management information.

**12.18. IAEA confidentiality regime** — the regime for the protection against unauthorized disclosure of all confidential information that the IAEA acquires, including such information coming to the IAEA's knowledge in the implementation of safeguards agreements and of additional protocols. The regime reflects the requirements for the protection of confidential information as provided under Article 15 of [540].

**12.19. Safeguards State file** — a collection of safeguards relevant information for a State, kept regularly up to date and used by the IAEA for safeguards State evaluations (see No. 12.20).

**12.20. Safeguards State evaluation** — a continuous process of evaluating all information available to the IAEA about a State's nuclear programme and related activities for the purposes of planning safeguards activities in the State and of drawing conclusions about the non-diversion of nuclear material placed under safeguards and about the absence of undeclared nuclear material and activities in the State (see No. 12.25). Evaluation is performed in three stages.

The first stage involves an initial evaluation of the nuclear programme of a State with a safeguards agreement in force, using all available information, for the purpose of drawing the conclusion about the non-diversion of nuclear material placed under safeguards. This evaluation provides a baseline for subsequent evaluations. The second stage follows the implementation of an additional protocol by a State and the IAEA's receipt of the initial Article 2 declaration; this evaluation is essential for drawing, for the first time, the conclusion about the absence of undeclared nuclear material and activities in a State. The third stage involves the subsequent continuous evaluation (with periodic reports) of the State's nuclear programme, during which earlier evaluation results are reassessed on the basis of any new information received under declarations, from IAEA activities performed within the State and from external sources. This ongoing evaluation is critical for maintaining the IAEA's ability to regularly reaffirm the conclusions of the non-diversion of nuclear material placed under safeguards and of the absence of undeclared nuclear material and activities drawn for the State. In all stages, the evaluation process includes identifying and conducting follow-up activities to address any need for clarification or resolution of questions and inconsistencies.

**12.21. Physical model of a nuclear fuel cycle** — a detailed overview of the nuclear fuel cycle (see No. 5.1), identifying, describing and characterizing every known technical process for converting nuclear source material to weapon usable material, and identifying each process in terms of the equipment, nuclear material and non-nuclear material involved. The physical model is used by the IAEA, inter alia, for acquisition path analysis (see No. 3.12) and for safeguards State evaluations (see No. 12.20).

**12.22. Process indicator** — a detectable sign of the existence or development of a particular technical process for accomplishing a nuclear or nuclear related activity in the nuclear fuel cycle (see No. 5.1). Process indicators include specially designed or nuclear related dual use equipment, nuclear and non-nuclear materials, technology, training, research activities, by-products or effluents and other observable features, such as special safety measures. Used by the IAEA for acquisition path analysis (see No. 3.12) and for safeguards State evaluations (see No. 12.20), certain process indicators are sometimes referred to as proliferation indicators.

**12.23. Safeguards effectiveness evaluation** — a process of evaluating the extent to which the IAEA's implementation of safeguards is able to achieve the safeguards objectives (see No. 2.1). Among the factors considered are the quantitative findings from implementation of nuclear material verification activities, as prescribed by the Safeguards Criteria (see No. 3.21), and the degree to which the IAEA inspection goal has been attained (see No. 3.22). In addition, the evaluation takes into account more qualitative safeguards relevant information available about the State's nuclear and nuclear related activities, including facility design information (see No. 3.28) and IAEA knowledge of facility operations.

**12.24. Safeguards State evaluation report** — an internal report documenting periodically the findings of the IAEA's safeguards evaluations performed for a State (see No. 12.20). The findings, to be documented in a State evaluation report, are independently reviewed by an IAEA interdepartmental information review committee.

**12.25. Safeguards conclusions** — conclusions drawn by the IAEA on the basis of findings from its verification and evaluation activities (see No. 12.20). Safeguards conclusions are drawn for each State with a safeguards agreement in force, and, where appropriate, for a State with a comprehensive safeguards agreement (CSA) and an additional protocol based on [540] in force. These conclusions are reported collectively for States in the annual Safeguards Implementation Report (see No. 13.10).

For each State with a safeguards agreement in force, a conclusion is drawn relating to the non-diversion of nuclear material placed under safeguards (and, under an INFCIRC/66-type safeguards agreement, to the non-misuse of items specified and

placed under safeguards). The conclusion also relates to the absence of undeclared production or separation of direct use material at reactors, reprocessing facilities, hot cells and/or enrichment installations under safeguards. Where there is no indication of diversion of the nuclear material (or of misuse of specified items) placed under safeguards or of undeclared production or separation of direct use material at declared facilities, the conclusion is drawn for the year concerned that the nuclear material and other items placed under safeguards remained in peaceful nuclear activities or were otherwise adequately accounted for.

For each State with a CSA and an additional protocol based on [540] in force, a broader conclusion can be drawn for the year concerned that all of the nuclear material in the State had been placed under safeguards and remained in peaceful nuclear activities or was otherwise adequately accounted for. To be able to draw this conclusion, the IAEA must draw the conclusions of both the non-diversion of the nuclear material placed under safeguards (as described above) and the absence of undeclared nuclear material and activities for the State as a whole. The conclusion of the absence of undeclared nuclear material and activities is drawn when the activities performed under an additional protocol have been completed, when relevant questions and inconsistencies have been addressed, and when no indications have been found by the IAEA that, in its judgement, would constitute a safeguards concern.

*Note:* The term ‘safeguards conclusions’, as used here, refers exclusively to the two conclusions drawn annually for States, as described above. These conclusions differ from the technical safeguards conclusions, which, according to para. 90(b) of [153], are drawn by the IAEA from its nuclear material verification activities for each material balance area over a material balance period and reported to the State concerned in a Statement on Conclusions (90(b) Statement), as defined in No. 13.3.

## 13. REPORTING ON SAFEGUARDS IMPLEMENTATION

*The IAEA uses various mechanisms for reporting to the IAEA policy-making organs, individual Member States and the public on the implementation of safeguards activities pursuant to safeguards agreements and additional protocols.*

**13.1. Reporting on design information examination and verification** — under an INFCIRC/153-type safeguards agreement, the IAEA sends a formal letter to the State whenever the IAEA has performed design information examination and design information verification in that State (see Nos 3.29 and 3.30). The letter may include, if relevant, a request for any amplification, clarification or correction to the information submitted by the State. Under an INFCIRC/66-type safeguards agreement, para. 32 of [66] stipulates that the IAEA should complete its design review promptly and shall notify the State of its conclusions without delay.

**13.2. Statement on Inspection Results (90(a) Statement)** — paragraph 90(a) of [153] provides that the IAEA is obliged to report formally to the State at specified intervals (usually after each inspection) on the activities carried out at each facility and their results, including any discrepancies found and whether they have been resolved. This statement on inspection results, which is referred to as a 90(a) Statement, is provided to a State that has an INFCIRC/153-type safeguards agreement in force; it is of a preliminary nature because evaluation activities may not have been completed.

**13.3. Statement on Conclusions (90(b) Statement)** — paragraphs 30 and 90(b) of [153] provide that the IAEA is obliged to report formally to the State on the technical conclusions drawn from its nuclear material verification activities for each material balance area over a material balance period. This statement on conclusions, which is referred to as a 90(b) Statement, indicates, inter alia, the amount of material unaccounted for over a specific period, as verified by the IAEA (see No. 10.1). The statement is made as soon as possible after a physical inventory has been taken by the facility operator and verified by the IAEA and a material balance has been closed. If the issue of the statement is delayed because of a delay in receiving State reports or samples for destructive analysis, the IAEA notifies the State accordingly. This statement is provided to a State that has an INFCIRC/153-type safeguards agreement in force.

**13.4. Book inventory statement** — under para. 66 of [153], the IAEA is obliged to provide the State with a semi-annual statement of book inventory subject to IAEA safeguards, for each material balance area (MBA), as based on the inventory change reports (see No. 12.5) for the period covered by each such statement; this statement

is provided to a State that has an INFCIRC/153-type safeguards agreement in force. Under an INFCIRC/66-type safeguards agreement, the IAEA provides annual statements of inventory, reflecting the notifications and accounting reports received from the State. Book inventory statements do not imply verification by the IAEA of the data contained therein and are meant, inter alia, to be used by the SSAC to check for any differences with the accounting data maintained by the SSAC.

*Note:* Nuclear material transferred between two MBAs in the State continues to be listed by the IAEA, with respect to the shipping MBA, as ‘material in transit’ until it is reported to have been received in the receiving MBA.

**13.5. Communication on domestic and international transfers** — prepared and dispatched by the IAEA to a State that has an INFCIRC/153-type safeguards agreement in force, indicating any unmatched shipments and receipts of nuclear material. Issued on a quarterly basis, each ‘import communication’ contains a list of those shipments to the State (as reported by other States) or those receipts in the State (as reported by the State itself) for which no match has been established. Import communications are meant to facilitate the interaction between the IAEA and the State so as to promptly resolve any unmatched transfers. The IAEA has also established ‘de minimis quantities’, set at approximately 0.002 significant quantities for each material type, below which any unmatched nuclear material amounts are considered negligible for the purpose of transit matching.

**13.6. Statement on domestic and international transfers** — made semi-annually by the IAEA to a State that has an INFCIRC/153-type safeguards agreement in force. This statement covers, inter alia:

- (a) Domestic and foreign shipments reported by the State which the IAEA has been unable to match with information on receipts reported by the State (for domestic transfers) or by other States (for exports from the State);
- (b) Domestic receipts reported by the State and foreign receipts (imports) reported by other States which the IAEA has been unable to match with shipments reported by the State.

*Note:* Any nuclear material for which the IAEA has received a report from the shipping material balance area that the export of the material has occurred is placed on the ‘export account’ for the State until such time as the IAEA has received confirmation that the responsibility for the material has been assumed by the recipient State.

**13.7. Statement of timeliness in reporting** — the statement, which is also known as the statement on operation of report system, is provided by the IAEA semi-annually to each State that has an INFCIRC/153-type safeguards agreement in force, and includes information on any reporting delays. The statement is provided separately for each of the nuclear material accounting reports (i.e. inventory change report, material balance report and physical inventory listing) (see Nos 12.5, 12.7 and 12.8, respectively).

**13.8. Reporting on inspections under an INFCIRC/66-type safeguards agreement** — the IAEA provides a State with information, in the form of a letter, after each inspection carried out under an INFCIRC/66-type safeguards agreement. The letter informs the State of the results of the inspection, as foreseen under para. 12 of [39].

**13.9. Statements under an additional protocol** — under Article 10 of [540], for a State with an additional protocol in force, the IAEA is obliged to inform the State as follows:

- (a) To inform the State of the activities carried out under the additional protocol, including those in respect of any questions or inconsistencies the IAEA had brought to the attention of the State. This statement, which is referred to as a 10(a) Statement, is to be provided within 60 days of the activities being carried out [540, Article 10.a];
- (b) To inform the State of the results of activities in respect of any questions or inconsistencies previously brought to the attention of the State. This statement, which is referred to as a 10(b) Statement, is to be provided as soon as possible but in any case within 30 days of the results being established by the IAEA [540, Article 10.b];
- (c) To inform the State of the conclusions the IAEA has drawn from its activities under the additional protocol. This statement, which is referred to as a 10(c) Statement, is to be provided annually [540, Article 10.c].

**13.10. Safeguards Implementation Report (SIR)** — the main vehicle whereby the Director General of the IAEA reports to the IAEA Board of Governors on safeguards implementation in the preceding calendar year. The report includes, inter alia, the Safeguards Statement for the year concerned, in which the safeguards conclusions drawn for all States with safeguards agreements in force and, where applicable, additional protocols in force, are reported; where applicable, it also reports on any case of non-compliance of a State with its safeguards agreement.



**13.11. IAEA Annual Report** — the report submitted by the IAEA Board of Governors to the General Conference of the IAEA; it is available to the public. The report contains the Safeguards Statement for the year concerned (see No. 13.10), which has been approved by the IAEA Board of Governors; it also provides safeguards related reference material.

## TRANSLATIONS OF TERMS

1. **Legal Instruments and Other Documents Related to IAEA Safeguards**  
الصكوك القانونية وسائر الوثائق المتعلقة بضمانات الوكالة الدولية للطاقة  
الذرية  
与原子能机构保障有关的法律文书和其他文件  
Instruments juridiques et autres documents concernant les garanties  
de l'AIEA  
Международно-правовые и другие документы, относящиеся к  
гарантиям МАГАТЭ  
Instrumentos jurídicos y otros documentos relacionados con las  
salvaguardias del OIEA  
Gesetzliche Grundlage für die IAEO-Sicherungsmaßnahmen und andere  
sachbezogene Dokumente  
I A E A 保障措置に關連する法的文書及びその他の文書
- 1.1. **Statute of the International Atomic Energy Agency**  
النظام الأساسي للوكالة الدولية للطاقة الذرية  
国际原子能机构规约  
Statut de l'Agence internationale de l'énergie atomique  
Устав Международного агентства по атомной энергии  
Estatuto del Organismo Internacional de Energía Atómica  
Die Satzung der Internationalen Atomenergie-Organisation  
國際原子力機關憲章
- 1.2. **Treaty on the Non-Proliferation of Nuclear Weapons (Non-Proliferation Treaty, NPT)**  
معاهدة عدم انتشار الأسلحة النووية (معاهدة عدم الانتشار)  
不扩散核武器条约 (不扩散条约, NPT)  
Traité sur la non-prolifération des armes nucléaires (Traité sur la  
non-prolifération, TNP)  
Договор о нераспространении ядерного оружия (Договор о  
нераспространении, ДНЯО)  
Tratado sobre la no proliferación de las armas nucleares (Tratado sobre  
no proliferación, TNP)  
Vertrag über die Nichtverbreitung von Kernwaffen  
核兵器の不拡散に關する條約 (核不擴散條約、N P T)
- 1.3. **Treaty for the Prohibition of Nuclear Weapons in Latin America and the Caribbean (Tlatelolco Treaty)**  
معاهدة حظر الأسلحة النووية في أمريكا اللاتينية ومنطقة البحر الكاريبي (معاهدة  
تلاتيلولكو)  
拉丁美洲和加勒比地区禁止核武器条约 (特拉特洛尔科条约)

Traité visant l'interdiction des armes nucléaires en Amérique latine et dans les Caraïbes (Traité de Tlatelolco)

Договор о запрещении ядерного оружия в Латинской Америке и Карибском бассейне (Договор Тлателолко)

Tratado para la Proscripción de las Armas Nucleares en la América Latina y el Caribe (Tratado de Tlatelolco)

Vertrag von Tlatelolco über das Verbot von Kernwaffen in Lateinamerika und der Karibik

ラテンアメリカ及びカリブ諸国における核兵器禁止条約（トラテロルコ条約）

#### 1.4. **South Pacific Nuclear Free Zone Treaty (Rarotonga Treaty)**

معاهدة إنشاء منطقة خالية من الأسلحة النووية في جنوب المحيط الهادئ (معاهدة راروتونغا)

南太平洋无核武器区条约（拉罗汤加条约）

Traité sur la zone dénucléarisée du Pacifique Sud (Traité de Rarotonga)

Договор о безъядерной зоне в южной части Тихого океана (Договор Паротонга)

Tratado sobre la Zona Libre de Armas Nucleares del Pacífico Sur (Tratado de Rarotonga)

Vertrag von Rarotonga über die Kernwaffen-freie Zone im Süd-Pazifik

南太平洋非核兵器地带条约（ラロトンガ条約）

#### 1.5. **Treaty on the Southeast Asia Nuclear Weapon-Free Zone (Bangkok Treaty)**

معاهدة إنشاء منطقة خالية من الأسلحة النووية في جنوب شرق آسيا (معاهدة بانكوك)

东南亚无核武器区条约（曼谷条约）

Traité sur la zone exempte d'armes nucléaires de l'Asie du Sud-Est (Traité de Bangkok)

Договор о безъядерной зоне в Юго-Восточной Азии (Бангкокский договор)

Tratado sobre el establecimiento de una zona libre de armas nucleares en Asia sudoriental (Tratado de Bangkok)

Vertrag von Bangkok über die Kernwaffen-freie Zone in Südost-Asien

東南アジア非核兵器地带条约（バンコク条約）

#### 1.6. **African Nuclear-Weapon-Free Zone Treaty (Pelindaba Treaty)**

معاهدة إنشاء منطقة خالية من الأسلحة النووية في أفريقيا (معاهدة بيليندابا)

非洲无核武器区条约（佩林达巴条约）

Traité sur une zone exempte d'armes nucléaires en Afrique (Traité de Pelindaba)

Договор о создании зоны, свободной от ядерного оружия, в Африке (Пелиндабский договор)

Tratado sobre una zona libre de armas nucleares en África (Tratado de Pelindaba)

Vertrag von Pelindaba über die Kernwaffen-freie Zone in Afrika

アフリカ非核兵器地帯条約 (ペリンダバ条約)

**1.7. Agreement between the Republic of Argentina and the Federative Republic of Brazil for the Exclusively Peaceful Use of Nuclear Energy (Guadalajara Declaration)**

الاتفاق المبرم بين جمهورية الأرجنتين وجمهورية البرازيل الاتحادية من أجل قصر استخدام الطاقة النووية على الأغراض السلمية (إعلان غوادالاخارا)

阿根廷共和国和巴西联邦共和国关于核能仅用于和平利用的协定 (瓜达拉哈拉宣言)

Accord entre la République argentine et la République fédérative du Brésil pour l'utilisation exclusivement pacifique de l'énergie nucléaire (Déclaration de Guadalajara)

Соглашение между Аргентинской Республикой и Федеративной Республикой Бразилией об исключительно мирном использовании ядерной энергии (Гвадалахарская декларация)

Acuerdo entre la República Argentina y la República Federativa del Brasil para el uso exclusivamente pacífico de la energía nuclear (Declaración de Guadalajara)

Übereinkommen von Guadalajara zwischen Argentinien und Brasilien über die ausschließlich friedliche Nutzung (Anwendung) der Kernenergie

原子力の平和利用限定に関するアルゼンチン共和国及びブラジル連邦共和国との間の協定 (グアダラハラ宣言)

**1.8. Treaty Establishing the European Atomic Energy Community (Euratom Treaty)**

معاهدة إنشاء الجماعة الأوروبية للطاقة الذرية (معاهدة اليوراتوم)

欧洲原子能联营条约 (EURATOM 条约)

Traité instituant la Communauté européenne de l'énergie atomique (Traité Euratom)

Договор о создании Европейского сообщества по атомной энергии (Договор о Евратоме)

Tratado por el que se establece la Comunidad Europea de Energía Atómica (Tratado de la EURATOM)

Euratom-Vertrag (Vertrag zur Gründung der Europäischen Atomgemeinschaft)

欧洲原子力委员会设立条约 (ユーラトム条約)

**1.9. Bilateral co-operation agreement**

اتفاق تعاوني ثنائي

双边合作协定

Accord bilatéral de coopération

Двустороннее соглашение о сотрудничестве  
Acuerdo bilateral de cooperación  
Zweiseitiges Kooperationsabkommen  
二国間協力協定

**1.10. Project and supply agreement**

اتفاق مشاريع و امدادات  
项目和供应协定  
Accord de projet et de fourniture  
Соглашение о проекте и поставках  
Acuerdo de suministro y sobre el proyecto  
Vereinbarung über ein Projektvorhaben oder eine Lieferung  
プロジェクト及び供給協定

**1.11. Revised supplementary agreement relevant to safeguards**

اتفاق تكميلي منقح متعلق بالضمانات  
有关保障的修订补充协定  
Accord complémentaire révisé concernant les garanties  
Пересмотренное дополнительное соглашение, относящееся к  
гарантиям  
Acuerdo suplementario revisado sobre la aplicación de salvaguardias  
Zusatzabkommen über die Anwendung von Sicherungsmaßnahmen  
保障措置に関連する改訂補足協定

**1.12. The Agency's Inspectorate**

موظفو هيئة التفتيش التابعة للوكالة  
机构视察人员职责  
Corps des inspecteurs de l'Agence  
Инспекторат Агентства  
Personal de inspección del Organismo  
Das Inspektorat der IAEO  
機関（IAEA）査察当局

**1.13. The Agency's Safeguards System (1965, as Provisionally Extended in 1966 and 1968)**

نظام ضمانات الوكالة (1965، حسبما مدد مؤقتا في 1966 و 1968)  
机构的保障体系（1965年，1966年和1968年临时扩充）  
Le système de garanties de l'Agence (1965, provisoirement étendu en 1966 et 1968)  
Система гарантий Агентства (1965 год, с временным продлением в 1966 и 1968 годах)  
Sistema de salvaguardias del Organismo (1965, ampliado provisionalmente en 1966 y 1968)

Das (ursprüngliche) System der Sicherungsmaßnahmen der Internationalen Atomenergie-Organisation von 1965 (und dessen vorläufige Ergänzungen von 1966 und 1988)  
機関 ( I A E A ) 保障措置システム (1965 年、1966 年及び 1968 年に暫定的に拡張)

**1.14. The Structure and Content of Agreements between the Agency and States Required in Connection with the Treaty on the Non-Proliferation of Nuclear Weapons**

هيكل ومحتوى الاتفاقات المعقودة بين الوكالة والدول اللازمة في إطار معاهدة عدم انتشار الأسلحة النووية

根据《不扩散核武器条约》的要求机构与各国之间的协定的结构和内容

Structure et contenu des accords à conclure entre l'Agence et les États dans le cadre du Traité sur la non-prolifération des armes nucléaires

Структура и содержание соглашений между Агентством и государствами, требуемых в связи с Договором о нераспространении ядерного оружия

Estructura y contenido de los acuerdos entre Estados y el Organismo requeridos en relación con el Tratado sobre la no proliferación de las armas nucleares

Dokument über Struktur und Inhalt von Übereinkommen zwischen der IAEO und Staaten gemäß den Erfordernissen des Vertrags über die Nichtverbreitung von Kernwaffen

核兵器の不拡散に関する条約に関連して要求される機関 ( I A E A ) と各国との間の協定の構成及び内容

**1.15. Model Protocol Additional to the Agreement(s) between State(s) and the International Atomic Energy Agency for the Application of Safeguards**

نموذج بروتوكول إضافي للاتفاق (الاتفاقات) المعقود (المعقودة) بين الدولة (الدول) والوكالة الدولية للطاقة الذرية لتطبيق الضمانات

各国与国际原子能机构关于实施保障的协定的附加议定书范本

Modèle de protocole additionnel à l'accord (aux accords) entre un État (des États) et l'Agence internationale de l'énergie atomique relatif(s) à l'application de garanties

Типовой дополнительный протокол к соглашению(ям) между государством(ами) и Международным агентством по атомной энергии о применении гарантий

Modelo de Protocolo adicional al acuerdo de salvaguardias entre el (los) Estado(s) y el Organismo Internacional de Energía Atómica para la aplicación de salvaguardias

Modell des Zusatzprotokolls zum Übereinkommen zwischen der IAEO und Staaten zur Anwendung von Sicherungsmaßnahmen

保障措置の適用のための国と国際原子力機関との間の協定に追加するモデル議定書

- 1.16. Agreement on the Privileges and Immunities of the IAEA**  
اتفاق امتيازات وحصانات الوكالة الدولية للطاقة الذرية  
原子能机构特权和豁免协定  
Accord sur les privilèges et immunités de l’AIEA  
Соглашение о привилегиях и иммунитетах МАГАТЭ  
Acuerdo sobre Privilegios e Inmунidades del OIEA  
Vereinbarung über die Vorrechte und Befreiungen der IAEO  
I A E A（国際原子力機関）の特権及び免除に関する協定
- 1.17. Safeguards agreement**  
اتفاق ضمانات  
保障协定  
Accord de garanties  
Соглашение о гарантиях  
Acuerdo de salvaguardias  
(Sicherungsabkommen) Übereinkommen über Sicherungsmaßnahmen  
保障措置協定
- 1.18. INFCIRC/153-type safeguards agreement**  
اتفاق ضمانات من النوع INFCIRC/153  
INFCIRC/153 型保障协定  
Accord de garanties du type INFCIRC/153  
Соглашение о гарантиях на основе документа INFCIRC/153  
Acuerdo de salvaguardias tipo INFCIRC/153  
Übereinkommen über Sicherungsmaßnahmen nach dem  
INFCIRC/153-Modell  
I N F C I R C / 1 5 3 型保障措置協定
- 1.19. Comprehensive safeguards agreement (CSA)**  
اتفاق ضمانات شاملة  
全面保障协定（CSA）  
Accord de garanties généralisées (AGG)  
Соглашение о всеобъемлющих гарантиях (СВГ)  
Acuerdo de salvaguardias amplias (ASA)  
(Umfassendes Sicherheitsabkommen) Übereinkommen über umfassende  
Sicherungsmaßnahmen  
包括的保障措置協定（C S A）
- 1.20. INFCIRC/66-type safeguards agreement**  
اتفاق ضمانات من النوع INFCIRC/66

INFCIRC/66 型保障协定  
Accord de garanties du type INFCIRC/66  
Соглашение о гарантиях на основе документа INFCIRC/66  
Acuerdo de salvaguardias tipo INFCIRC/66  
Sicherungsabkommen nach dem INFCIRC/66-Modell  
I N F C I R C / 6 6 型保障措置協定

**1.21. Voluntary offer agreement**

اتفاق ضمانات طوعي  
自愿提交协定  
Accord de soumission volontaire  
Соглашение о добровольной постановке под гарантии  
Acuerdo de ofrecimiento voluntario  
Übereinkommen über die freiwillige Anwendung von  
Sicherungsmaßnahmen  
自發的提供協定

**1.22. Additional protocol**

بروتوكول اضافي  
附加议定书  
Protocole additionnel  
Дополнительный протокол  
Protocolo adicional  
Zusatzprotokoll zum Übereinkommen über Sicherungsmaßnahmen  
追加議定書

**1.23. Small quantities protocol (SQP)**

بروتوكول كميات صغيرة  
小数量议定书 (SQP)  
Protocole relatif aux petites quantités de matières (PPQM)  
Протокол о малых количествах (SQP)  
Protocolo sobre pequeñas cantidades (PPC)  
Protokoll betreffend geringe Mengen  
少量議定書 ( S Q P )

**1.24. Suspension protocol**

بروتوكول تعليق  
暂停实施议定书  
Protocole de suspension  
Протокол о приостановлении  
Protocolo de suspensión  
Protokoll über Bestimmungen zur Aufhebung eines Übereinkommens  
停止議定書



**1.25. Co-operation protocol**

بروتوكول تعاون  
合作议定书  
Protocole de coopération  
Протокол о сотрудничестве  
Protocolo de cooperación  
Protokoll über die Zusammenarbeit  
協力議定書

**1.26. Subsidiary Arrangements**

اتفاقات فرعية  
辅助安排  
Arrangements subsidiaires  
Дополнительные положения  
Arreglos subsidiarios  
Ergänzende Vereinbarungen  
補助取決め

**1.27. Voluntary reporting scheme on nuclear material and specified equipment and non-nuclear material**

نظام التبليغ الطوعي عن مواد نووية ومعدات محددة وعن مواد غير نووية  
关于核材料和规定设备及非核材料的自愿报告机制  
Dispositif de déclaration volontaire des matières nucléaires et des équipements et matières non nucléaires spécifiés  
Схема добровольной отчетности о ядерном материале и согласованном оборудовании и неядерном материале  
Mecanismo de notificación voluntaria de materiales nucleares y equipo y materiales no nucleares especificados  
Freiwillige Berichterstattung zu speziellen Ausrüstungen und nicht-nuklearen Materialien  
核物質並びに特定の機器及び非核物質に関する自発的報告スキーム  
(体制)

**1.28. Zangger Committee Export Guidelines**

المبادئ التوجيهية للتصدير الصادرة عن لجنة ترانغر  
桑戈委员会出口准则  
Directives du Comité Zangger sur les exportations  
Руководящие принципы Комитета Цангера по экспорту  
Directrices del Comité Zangger sobre exportaciones  
Ausfuhrrichtlinien des Zangger Komitees  
ザンガー委員会輸出ガイドライン

**1.29. Nuclear Suppliers' Group Guidelines**

المبادئ التوجيهية لمجموعة الموردين النوويين

核供应者集团准则  
Directives du Groupe des fournisseurs nucléaires  
Руководящие принципы Группы ядерных поставщиков  
Directrices del Grupo de Suministradores Nucleares  
Richtlinien der Nuklearlieferantengruppe  
原子力供給国グループガイドライン

### 1.30. **Guidelines for the Management of Plutonium**

المبادئ التوجيهية لإدارة البلوتونيوم  
钚管理准则  
Directives relatives à la gestion du plutonium  
Руководящие принципы по обращению с плутонием  
Directrices para la gestión del plutonio  
Richtlinien für die Handhabung von Plutonium  
プルトニウム管理ガイドライン

### 1.31. **Physical protection recommendations**

توصيات الحماية المادية  
实物保护建议  
Recommandations relatives à la protection physique  
Рекомендации по физической защите  
Recomendaciones sobre protección física  
Empfehlungen zum physischen Schutz  
核物質防護勧告

## 2. **IAEA Safeguards: Purpose, Objectives and Scope**

ضمانات الوكالة الدولية للطاقة الذرية: غرضها وغاياتها ونطاقها  
原子能机构保障：目的、目标和范围  
Garanties de l'AIEA: objet, objectifs et portée  
Гарантии МАГАТЭ: Политическая цель, технические цели и сфера охвата  
Salvaguardias del OIEA: Finalidad, objetivos y alcance  
IAEO-Sicherungsmaßnahmen: Zweck, Ziele und Anwendungsbereich  
I A E A 保障措置：目的、対象及び範囲

### 2.1. **Objectives of IAEA safeguards**

غايات ضمانات الوكالة الدولية للطاقة الذرية  
原子能机构保障的目标  
Objectifs des garanties de l'AIEA  
Цели гарантий МАГАТЭ  
Objetivos de las salvaguardias del OIEA  
Ziele der IAEO-Sicherungsmaßnahmen  
I A E A 保障措置の目的

- 2.2. Non-compliance**  
 عدم الامتثال  
 违约行为  
 Non-respect  
 Несоблюдение  
 Incumplimiento  
 Vertragsverletzung  
 違反
- 2.3. Diversion of nuclear material**  
 تحريف المواد النووية  
 核材料转用  
 Détournement de matières nucléaires  
 Переключение ядерного материала  
 Desviación de materiales nucleares  
 Abzweigung von Kernmaterial  
 核物質の転用
- 2.4. Misuse**  
 اساءة الاستخدام  
 濫用  
 Utilisation abusive  
 Использование не по назначению  
 Uso indebido  
 Mißbrauch  
 不正使用
- 2.5. Undeclared nuclear material and activities**  
 مواد وأنشطة نووية غير معلنة  
 未申报核材料和核活动  
 Matières et activités nucléaires non déclarées  
 Незаявленные ядерные материал и деятельность  
 Materiales y actividades nucleares no declarados  
 Nicht-deklariertes Kernmaterial und nicht-deklarierte Tätigkeiten  
 未申告の核物質及び原子力活動
- 2.6. Undeclared facility or location outside facilities (LOF)**  
 مرفق غير معطن أو موقع خارج المرافق غير معطن  
 未申报设施或设施外场所 (LOF)  
 Installation ou emplacement hors installation (EHI) non déclaré  
 Незаявленная установка или место нахождения вне установок (МВУ)  
 Instalación o lugar situado fuera de las instalaciones (LFI) no declarado

Nicht-deklarierte Anlage oder nicht-deklariertes Bereich außerhalb von Anlagen

未申告の施設または施設外の場所（L O F

**2.7. Deterrence of diversion**

ردع التحريف

遏制转用

Dissuasion de détournement

Сдерживание переключения

Disuasión de la desviación

Abschreckung der Abzweigung

転用の抑止

**2.8. Assurance of non-diversion of nuclear material**

توكيد عدم تحريف مواد نووية

核材料不被转用的保证

Assurance quant au non-détournement de matières nucléaires

Уверенность в непереключении ядерного материала

Garantía acerca de la no desviación de materiales nucleares

Bestätigung der Nicht-Abzweigung von Kernmaterial

核物質の転用がないことの保証

**2.9. Assurance of the absence of undeclared nuclear material and activities**

توكيد عدم وجود مواد وأنشطة نووية غير معلنة

不存在未申报核材料和核活动的保证

Assurance quant à l'absence de matières et d'activités nucléaires non déclarées

Уверенность в отсутствии незаявленных ядерных материала и деятельности

Garantía acerca de la ausencia de materiales y actividades nucleares no declarados

Bestätigung der Abwesenheit nicht-deklarierten nuklearen Kernmaterials und nicht-deklariertes Tätigkeiten

未申告の核物質及び原子力活動が存在しないことの保証

**2.10. Coverage of IAEA safeguards**

نطاق تطبيق ضمانات الوكالة الدولية للطاقة الذرية

原子能机构保障的范围

Portée des garanties de l'AIEA

Охват гарантиями МАГАТЭ

Alcance de las salvaguardias del OIEA

Anwendungsbereich von IAEO-Sicherungsmaßnahmen

I A E A 保障措置の範囲

- 2.11. Starting point of IAEA safeguards**  
نقطة بداية ضمانات الوكالة الدولية للطاقة الذرية  
原子能机构保障的起点  
Point de départ de l'application des garanties de l'AIEA  
Начальная точка применения гарантий МАГАТЭ  
Punto inicial de las salvaguardias del OIEA  
Startpunkt der IAEO-Sicherungsmaßnahmen  
I A E A 保障措置の開始点
- 2.12. Termination of IAEA safeguards**  
رفع ضمانات الوكالة الدولية للطاقة الذرية  
原子能机构保障的终止  
Levée des garanties de l'AIEA  
Прекращение гарантий МАГАТЭ  
Terminación de la aplicación de las salvaguardias del OIEA  
Beendigung der IAEO-Sicherungsmaßnahmen  
I A E A 保障措置の終了
- 2.13. Exemption from IAEA safeguards**  
الاعفاء من ضمانات الوكالة الدولية للطاقة الذرية  
原子能机构保障的免除  
Exemption des garanties de l'AIEA  
Освобождение от гарантий МАГАТЭ  
Exención de la aplicación de las salvaguardias del OIEA  
Befreiung von den IAEO-Sicherungsmaßnahmen  
I A E A 保障措置の免除
- 2.14. Non-application of IAEA safeguards**  
عدم تطبيق ضمانات الوكالة الدولية للطاقة الذرية  
不实施原子能机构的保障  
Non-application des garanties de l'AIEA  
Неприменение гарантий МАГАТЭ  
No aplicación de las salvaguardias del OIEA  
Nichtanwendung der IAEO-Sicherungsmaßnahmen  
I A E A 保障措置の適用除外
- 2.15. Suspension of IAEA safeguards**  
تعليق ضمانات الوكالة الدولية للطاقة الذرية  
原子能机构保障的中止  
Suspension des garanties de l'AIEA  
Приостановление гарантий МАГАТЭ  
Suspensión de la aplicación de las salvaguardias del OIEA  
Suspendierung (Aussetzung) der IAEO-Sicherungsmaßnahmen  
I A E A 保障措置の停止

## 2.16. Substitution

الاحلال

替代

Substitution

Замещение

Sustitución

Substituierung (Ersetzung)

置換

## 3. Safeguards Approaches, Concepts and Measures

النهج والمفاهيم والتدابير الرقابية

保障方案、概念和措施

Méthodes de contrôle, concepts et mesures

Подходы к применению, концепции и меры гарантий

Enfoques, conceptos y medidas de salvaguardias

Sicherungsmaßnahmen: Konzepte, Ansätze, Einzelmaßnahmen

保障措置アプローチ、概念及び手段

### 3.1. Safeguards approach

النهج الرقابي

保障方案

Méthode de contrôle

Подход к применению гарантий

Enfoque de salvaguardias

Konzept für Sicherungsmaßnahmen

保障措置アプローチ

### 3.2. Model (generic) facility safeguards approach

نموذج (عام) للنهج الرقابي الخاص بنوع معين من المرافق

标准的（通用）设施保障方案

Méthode type (générique) de contrôle d'installations

Модельный (обобщенный) подход к применению гарантий на установке

Enfoque modelo (genérico) de salvaguardias para instalaciones

Modell eines (grundlegenden) Konzepts für Sicherungsmaßnahmen in einem Anlagentyp

モデル（一般的）施設保障措置アプローチ

### 3.3. Facility safeguards approach

النهج الرقابي الخاص بمرفق معين

设施的保障方案

Méthode de contrôle d'une installation

Подход к применению гарантий на [конкретной] установке

Enfoque de salvaguardias para instalaciones  
Anlagenspezifisches Konzept für Sicherungsmaßnahmen  
施設保障措置アプローチ

**3.4. State level safeguards approach**

النهج الرقابي الخاص بدولة معينة  
国家一级保障方案  
Méthode de contrôle au niveau de l'État  
Подход к применению гарантий на уровне государства  
Enfoque de salvaguardias a nivel de los Estados  
Konzept für Sicherungsmaßnahmen auf Staatsebene  
国レベル保障措置アプローチ

**3.5. Integrated safeguards**

الضمانات المتكاملة  
一体化保障  
Garanties intégrées  
Комплексные гарантии  
Salvaguardias integradas  
Integriertes System von Sicherungsmaßnahmen  
統合保障措置

**3.6. Safeguards measures**

التدابير الرقابية  
保障措施  
Mesures de contrôle  
Меры гарантий  
Medidas de salvaguardias  
Sicherungsmaßnahmen  
保障措置手段

**3.7. Diversion strategy (diversion path)**

استراتيجية التحريف (مسار التحريف)  
转用策略（转用途径）  
Stratégie de détournement (voie de détournement)  
Стратегия переключения (путь переключения)  
Estrategia de desviación (ruta de desviación)  
Abzweigungsstrategie (Abzweigungspfad)  
転用戦略（転用経路）

**3.8. Acquisition strategy (acquisition path)**

استراتيجية الاقتناء (مسار الاقتناء)  
获取策略（获取途径）  
Stratégie d'acquisition (voie d'acquisition)

Стратегия приобретения (путь приобретения)  
Estrategia de adquisición (ruta de adquisición)  
Beschaffungsstrategie (Beschaffungspfad)  
入手戦略 (入手経路)

**3.9. Concealment methods**

أساليب الاخفاء  
弄虛作假的方法  
Méthodes de dissimulation  
Методы сокрытия  
Métodos de encubrimiento  
Verschleierungsmethoden  
隠ぺい手段

**3.10. Diversion rate**

معدل التحريف  
转用速度  
Quantité détournée par unité de temps  
Интенсивность переключения  
Tasa de desviación  
Abzweigungsrate  
転用速度

**3.11. Diversion path analysis**

تحليل مسار التحريف  
转用途径分析  
Analyse des voies de détournement  
Анализ путей переключения  
Análisis de las rutas de desviación  
Abzweigungspfad-Analyse  
転用経路分析

**3.12. Acquisition path analysis**

تحليل مسار الاقتناء  
获取途径分析  
Analyse des voies d'acquisition  
Анализ путей приобретения  
Análisis de las rutas de adquisición  
Beschaffungspfad-Analyse  
入手経路分析

**3.13. Conversion time**

زمن التحويل  
转化时间



Délai de conversion  
Время конверсии  
Tiempo de conversión  
Konversionszeit  
轉換時間

**3.14. Significant quantity (SQ)**

كمية معنوية  
重要量 (SQ)  
Quantité significative (QS)  
Значимое количество (ЗК)  
Cantidad significativa (CS)  
Signifikante Menge  
有意量 (S Q)

**3.15. Detection time**

زمن الكشف  
探知時間  
Délai de détection  
Время обнаружения  
Tiempo de detección  
Entdeckungszeit  
探知 (檢知) 時間

**3.16. Detection probability**

احتمال الكشف  
探知概率  
Probabilité de détection  
Вероятность обнаружения  
Probabilidad de detección  
Entdeckungswahrscheinlichkeit  
探知 (檢知) 確率

**3.17. False alarm probability**

احتمال الإنذار الكاذب  
假報警概率  
Probabilité de fausse alerte  
Вероятность ложного сигнала  
Probabilidad de falsa alarma  
Fehlalarm-Wahrscheinlichkeit  
誤警報確率

**3.18. Inventory**

الرصيد

存量清单  
Stock  
Инвентарное количество  
Inventario  
Bestand  
在庫

**3.19. Annual throughput**

الخرج السنوي  
年通过量  
Débit annuel  
Годовая производительность  
Caudal anual de material (nuclear)  
Jährlicher Durchsatz  
年間移転（処理）量

**3.20. IAEA timeliness detection goal**

زمن الكشف المستهدف طبقا للوكالة الدولية للطاقة الذرية  
原子能机构探知及时性指标  
Objectif de l'AIEA pour les délais de détection  
Цель своевременности обнаружения МАГАТЭ  
Meta de oportunidad del OIEA respecto de la detección  
IAEO-Ziel für Rechtzeitigkeit der Entdeckung  
I A E A 適時性探知（検知）目標

**3.21. Safeguards Criteria**

المعايير الرقابية  
保障标准  
Critères des garanties  
Критерии гарантий  
Criterios de salvaguardias  
Kriterien für Sicherungsmaßnahmen  
保障措置クライテリア

**3.22. IAEA inspection goal**

هدف التفتيش طبقا للوكالة الدولية للطاقة الذرية  
原子能机构视察指标  
Objectif des inspections de l'AIEA  
Цель инспекций МАГАТЭ  
Meta de inspección del OIEA  
Inspektionsziel der IAEO  
I A E A 查察目標

- 3.23. Quantity component of the IAEA inspection goal**  
 مكون الكمية في هدف التفتيش طبقا للوكالة الدولية للطاقة الذرية  
 原子能机构视察指标的数量部分  
 Composante quantitative de l'objectif des inspections de l'AIEA  
 Количественный компонент цели инспекций МАГАТЭ  
 Componente de cantidad de la meta de inspección del OIEA  
 Mengenenkomponente des IAEO-Inspektionszieles  
 I A E A 査察目標の量的要素
- 3.24. Timeliness component of the IAEA inspection goal**  
 مكون التوقيت في هدف التفتيش طبقا للوكالة الدولية للطاقة الذرية  
 原子能机构视察指标的及时性部分  
 Composante temporelle de l'objectif des inspections  
 Компонент своевременности цели инспекций МАГАТЭ  
 Componente de oportunidad de la meta de inspección del OIEA  
 Rechtzeitigkeitskomponente des IAEO-Inspektionszieles  
 I A E A 査察目標の適時性要素
- 3.25. Discrepancy**  
 حالة تضارب  
 不符合  
 Écart  
 Расхождение  
 Discrepancia  
 Diskrepanz  
 不一致
- 3.26. Anomaly**  
 حالة شاذة  
 异常  
 Anomalie  
 Аномалия  
 Anomalía  
 Anomalie  
 異常
- 3.27. Facility practices**  
 الممارسات الخاصة بالمرفق  
 设施运营者的习惯做法  
 Pratiques de l'installation  
 Практика работы на установке  
 Prácticas de gestión de las instalaciones  
 Betriebspraxis  
 施設の慣行（実務）

- 3.28. Design information**  
المعلومات التصميمية  
设计资料  
Renseignements descriptifs  
Информация о конструкции  
Información sobre el diseño  
Grundlegende technische Merkmale  
設計情報
- 3.29. Design information examination (DIE)**  
فحص المعلومات التصميمية  
设计资料的审查 (DIE)  
Examen des renseignements descriptifs  
Изучение информации о конструкции (DIE)  
Examen de la información sobre el diseño (EID)  
Prüfung der grundlegenden technischen Merkmale  
設計情報検査 ( D I E )
- 3.30. Design information verification (DIV)**  
التحقق من المعلومات التصميمية  
设计资料的核实 (DIV)  
Vérification des renseignements descriptifs  
Проверка информации о конструкции (DIV)  
Verificación de la información sobre el diseño (VID)  
Verifikation (Nachprüfung) der grundlegenden technischen Merkmale  
設計情報檢認 ( D I V )
- 3.31. Design information verification plan (DIVP)**  
خطة التحقق من المعلومات التصميمية  
设计资料核实计划 (DIVP)  
Plan de vérification des renseignements descriptifs  
План проверки информации о конструкции (DIVP)  
Plan de verificaciones de la información sobre el diseño (PVID)  
Plan zur Verifikation (Nachprüfung) der grundlegenden technischen Merkmale  
設計情報檢認計画 ( D I V P )
- 3.32. Essential equipment list (EEL)**  
قائمة المعدات الأساسية  
重要设备清单 (EEL)  
Liste des équipements essentiels  
Список ключевого оборудования (EEL)  
Lista de equipo esencial (LEE)

Liste der wesentlichen Ausrüstungen  
必須機器リスト (EEL)

**3.33. State system of accounting for and control of nuclear material (SSAC)**

النظام الحكومي لحصر ومراقبة المواد النووية

国家核材料衡算和控制系统 (SSAC)

Système national de comptabilité et de contrôle des matières nucléaires  
(SNCC)

Государственная система учета и контроля ядерного материала  
(ГСУК)

Sistema nacional de contabilidad y control de materiales nucleares (SNCC)

Nationales Buchführungs- und Kontrollsystem für Kernmaterial (SSAC)

国内核物質計量管理制度 (システム) (SSAC)

**3.34. Regional system of accounting for and control of nuclear material  
(RSAC)**

النظام الاقليمي لحصر ومراقبة المواد النووية

地区核材料衡算和控制系统 (RSAC)

Système régional de comptabilité et de contrôle des matières nucléaires  
(SRCC)

Региональная система учета и контроля ядерного материала (РСУК)

Sistema regional de contabilidad y control de materiales nucleares (SRCC)

Regionales Buchführungs- und Kontrollsystem für Kernmaterial (RSAC)

地域核物質計量管理制度 (システム) (RSAC)

**3.35. New partnership approach (NPA)**

نهج الشراكة الجديدة

新伙伴关系方案 (NPA)

Nouvelle formule de partenariat (NFP)

Новый принцип партнерства (НПП)

Nuevo enfoque de cooperación (NEC)

Neuer Partnerschaftlicher Ansatz

ニュー パートナーシップ アプローチ (NPA)

**3.36. Safeguards quality assurance**

توكيد جودة الضمانات

保障的质量保证

Assurance de la qualité des garanties

Обеспечение качества гарантий

Garantía de calidad de las salvaguardias

Qualitätssicherung bei Sicherungsmaßnahmen

保障措置品質保証

- 4. Nuclear and Non-Nuclear Material**  
المواد النووية وغير النووية  
核材料和非核材料  
Matières nucléaires et non nucléaires  
Ядерный и неядерный материал  
Materiales nucleares y no nucleares  
Nukleares und nicht-nukleares Material  
核物質及<sup>ν</sup>非核物質
- 4.1. Nuclear material**  
مادة نووية  
核材料  
Matière nucléaire  
Ядерный материал  
Materiales nucleares  
Kernmaterial (nukleares Material)  
核物質
- 4.2. Nuclide**  
نويذة  
核素  
Nucléide  
Нуклид  
Nucleido  
Nuklid  
核種
- 4.3. Isotope**  
نظير  
同位素  
Isotope  
Изотоп  
Isótopo  
Isotop  
同位体
- 4.4. Source material**  
مادة مصدرية  
源材料  
Matière brute  
Исходный материал  
Material básico  
Ausgangsmaterial  
原料物質

- 4.5. Special fissionable material**  
مادة انشطارية خاصة  
特种可裂变材料  
Produit fissile spécial  
Специальный расщепляющийся материал  
Material fisionable especial  
Besonderes spaltbares Material  
特殊核分裂性物質
- 4.6. Fissionable material**  
مادة انشطارية  
可裂变材料  
Matière fissile  
Расщепляющийся материал  
Material fisionable  
Spaltbares Material  
核分裂性物質
- 4.7. Fertile material**  
مادة خصبة  
可转换材料  
Matière fertile  
Материал для воспроизводства  
Material fétil  
Brutmaterial  
親物質
- 4.8. Uranium**  
يورانيوم  
铀  
Uranium  
Уран  
Uranio  
Uran  
ウラン
- 4.9. Natural uranium**  
يورانيوم طبيعي  
天然铀  
Uranium naturel  
Природный уран  
Uranio natural  
Natururan  
天然ウラン

- 4.10. Depleted uranium**  
يورانيوم مستنفد  
贫化铀  
Uranium appauvri  
Обедненный уран  
Uranio empobrecido  
Abgereichertes Uran  
劣化ウラン
- 4.11. Enriched uranium**  
يورانيوم مثرى  
浓缩铀  
Uranium enrichi  
Обогащенный уран  
Uranio enriquecido  
Angereichertes Uran  
濃縮ウラン
- 4.12. Low enriched uranium (LEU)**  
يورانيوم ضعيف الاثراء  
低浓铀 (LEU)  
Uranium faiblement enrichi (UFE)  
Низкообогащенный уран (НОУ)  
Uranio poco enriquecido (UPE)  
Niedrig angereichertes Uran  
低濃縮ウラン (L E U)
- 4.13. High enriched uranium (HEU)**  
يورانيوم شديد الاثراء  
高浓铀 (HEU)  
Uranium hautement enrichi (UHE)  
Высокообогащенный уран (ВОУ)  
Uranio muy enriquecido (UME)  
Hoch angereichertes Uran  
高濃縮ウラン (H E U)
- 4.14. Uranium-233**  
يورانيوم-233  
铀-233  
Uranium 233  
Уран-233  
Uranio 233



Uran-233  
ウラン-233

**4.15. Plutonium**

بلوتونيوم  
钚  
Plutonium  
Плутоний  
Plutonio  
Plutonium  
プルトニウム

**4.16. Mixed oxide (MOX)**

خليط الأكسيدين (موكس)  
混合氧化物 (MOX)  
Mélange d'oxydes (d'uranium et de plutonium) (MOX)  
Смешанное оксидное топливо (MOX)  
Mezcla de óxidos (MOX)  
Mischoxid  
混合酸化物 (MOX)

**4.17. Thorium**

ثوريوم  
钍  
Thorium  
Торий  
Torio  
Thorium  
トリウム

**4.18. Americium**

أميريشيوم  
镅  
Américium  
Америций  
Americio  
Americium  
アメリカシウム

**4.19. Neptunium**

نبتونيوم  
镎  
Neptunium

Нептуний  
Neptunio  
Neptunium  
ネプツニウム

**4.20. Enrichment**

اثرءاء  
浓缩度  
Enrichissement  
Обогашение  
Enriquecimiento  
Anreicherung  
濃縮度（濃縮）

**4.21. Depletion**

استفءاء  
贫化  
Appauvrissement  
Обеднение  
Empobrecimiento  
Abreicherung  
減損（劣化）

**4.22. Transmutation**

ءءءءءء  
嬗变  
Transmutation  
Трансмутация  
Transmutación  
Umwandlung  
核变换

**4.23. Material type**

ءءءءءءءء  
材料类型  
Type de matières  
Тип материала  
Tipo de material  
Materialtyp  
物質タイプ

**4.24. Material category**

ءءءءءءءء  
材料类别

Catégorie de matières  
Категория материала  
Categoría de material  
Material-Kategorie  
物質区分

**4.25. Direct use material**

مادة صالحة للاستعمال المباشر  
直接使用材料  
Matière d'emploi direct  
Материал прямого использования  
Material de uso directo  
Unmittelbar verwendbares Material, Material zum direkten Gebrauch  
直接利用(核)物質

**4.26. Indirect use material**

مادة صالحة للاستعمال غير المباشر  
非直接使用材料  
Matière d'emploi indirect  
Материал косвенного использования  
Material de uso indirecto  
Nicht unmittelbar (indirekt) verwendbares Material  
間接利用(核)物質

**4.27. Material form**

شكل المادة  
材料形态  
Forme des matières  
Форма материала  
Forma de material  
Materialbeschreibung  
物質形状

**4.28. Improved nuclear material**

مادة نووية محسنة  
改进的核材料  
Matière nucléaire améliorée  
Улучшенный ядерный материал  
Material nuclear mejorado  
Verbessertes Kernmaterial  
改良核物質

**4.29. Strategic value**

قيمة استراتيجية

战略价值  
Valeur stratégique  
Стратегическая ценность  
Valor estratégico  
Strategische Bedeutung (Strategischer Wert)  
枢要值

**4.30. Effective kilogram (ekg)**  
كيلو غرام فعال  
有效千克 (ekg)  
Kilogramme effectif  
Эффективный килограмм (эф. кг)  
Kilogramo efectivo (kge)  
Effektives Kilogramm  
実効キログラム ( e k g )

**4.31. Feed material**  
مادة تغذية  
供料  
Matière première  
Сырьевой материал  
Material de alimentación  
Einspeisematerial  
供給物質

**4.32. Intermediate product**  
نواتج وسيط  
中间产品  
Produit intermédiaire  
Промежуточный продукт  
Producto intermedio  
Zwischenprodukt  
中間製品

**4.33. Product**  
نواتج  
产品  
Produit  
Продукт  
Producto  
Produkt  
製品

- 4.34. Scrap**  
 خردة  
 废料  
 Rebut de fabrication  
 Скрап  
 Residuos  
 Schrott  
 スクラップ
- 4.35. Waste**  
 نفايات  
 废物  
 Déchets  
 Отходы  
 Desechos  
 Abfall  
 廃棄物
- 4.36. Hold-up**  
 مواد نووية مستبقاة خلال الاستخدام  
 滞留量  
 Matière retenue en cours de procédé  
 Остаточный материал  
 Material retenido  
 In der Anlage (Apparatur) zurückbleibendes Kernmaterial  
 ホールドアップ (滞留物)
- 4.37. Fuel element (fuel assembly, fuel bundle)**  
 عنصر وقود  
 燃料元件  
 Élément combustible  
 Тепловыделяющий [топливный] элемент  
 Elemento combustible  
 Brennelement  
 燃料要素
- 4.38. Fuel component**  
 مكون وقود  
 燃料部件  
 Composant du combustible  
 Компонент тепловыделяющего [топливного] элемента  
 Componente combustible  
 Brennelement-Komponente  
 燃料構成要素

- 4.39. Pellet**  
 قرص وقود  
 芯块  
 Pastille  
 Таблетка  
 Pastilla  
 Tablette (Brennstofftablette)  
 ペレット
- 4.40. Specified non-nuclear material**  
 مواد غير نووية محددة  
 规定的非核材料  
 Matière non nucléaire spécifiée  
 Согласованный неядерный материал  
 Materiales no nucleares especificados  
 Spezifiziertes nicht-nukleares Material  
 特定非核物質
- 4.41. Nuclear grade graphite**  
 غرافيت صالح للاستعمال في المفاعلات النووية  
 核级石墨  
 Graphite de pureté nucléaire  
 Ядерно-чистый графит  
 Grafito de pureza nuclear  
 Nuklear reiner Graphit  
 原子炉級黒鉛
- 4.42. Deuterium and heavy water**  
 الديوتيريوم والماء الثقيل  
 氘和重水  
 Deutérium et eau lourde  
 Дейтерий и тяжелая вода  
 Deuterio y agua pesada  
 Deuterium und Schwerwasser  
 重水素及<sup>2</sup>H<sub>2</sub>O
- 4.43. Zircaloy**  
 سبيكة زركونيوم  
 锆锡合金  
 Zircaloy  
 Циркалой  
 Zircaloy  
 Zirkaloy  
 ジルカロイ (ジルコニウム合金)

**5. Nuclear and Nuclear Related Activities and Installations**  
الأششطة والمنشآت النووية والمتصلة بالمجال النووي  
核及核相关活动与装置  
Activités et installations nucléaires et liées au nucléaire  
Ядерные и относящиеся к ним деятельность и установки  
Actividades e instalaciones nucleares y del ámbito nuclear  
Kerntechnische und Kerntechnik-bezogene Aktivitäten und Einrichtungen  
原子力及<sup>ひ</sup>原子力関連活動及<sup>ひ</sup>施設物

**5.1. Nuclear fuel cycle**  
دورة الوقود النووي  
核燃料循环  
Cycle du combustible nucléaire  
Ядерный топливный цикл  
Ciclo del combustible nuclear  
Kernbrennstoffkreislauf  
核燃料サイクル

**5.2. Nuclear fuel cycle related research and development activities**  
أنشطة البحث والتطوير ذات الصلة بدورة الوقود النووي  
与核燃料循环有关的研究与发展活动  
Activités de recherche-développement liées au cycle du combustible nucléaire  
Относящиеся к ядерному топливному циклу научно-исследовательские и опытно-конструкторские работы  
Actividades de investigación y desarrollo relacionadas con el ciclo del combustible nuclear  
Forschungs- und Entwicklungsarbeiten auf dem Gebiet des Kernbrennstoffkreislaufs  
核燃料サイクル関連研究開発活動

**5.3. Installation**  
منشأة  
装置  
Établissement  
Установка  
Instalación  
Anlage (Einrichtung)  
施設物

**5.4. Categorization of installations**  
تصنيف المنشآت  
装置类别  
Catégorisation des établissements

Категоризация установок  
Categorización de las instalaciones  
Kategorisierung von Anlagen (Einrichtungen)  
施設物の区分

**5.5. Reactor**

مفاعل  
反应堆  
Réacteur  
Реактор  
Reactor  
Reaktor  
原子炉

**5.6. Power reactor**

مفاعل قوى  
动力堆  
Réacteur de puissance  
Энергетический реактор  
Reactor de potencia  
Leistungsreaktor  
動力炉（発電炉）

**5.7. Off-load refuelled power reactor**

مفاعل قوى يعاد تزويده بالوقود أثناء ايقاف تشغيله  
停堆换料动力堆  
Réacteur de puissance à rechargement à l'arrêt  
Энергетический реактор, останавливаемый для перегрузки  
Reactor de potencia recargado fuera de servicio  
Leistungsreaktor mit Beladung bei Betriebsstillstand  
オフロード燃料交換動力炉（発電炉）

**5.8. Light water reactor (LWR)**

مفاعل ماء خفيف  
轻水堆（LWR）  
Réacteur à eau ordinaire (REO)  
Легководный реактор (ЛВР)  
Reactor de agua ligera (LWR)  
Leichtwasserreaktor  
輕水炉（LWR）

**5.9. On-load refuelled power reactor (OLR)**

مفاعل قوى يعاد تزويده بالوقود أثناء تشغيله  
不停堆换料动力堆（OLR）



Réacteur de puissance à rechargement en fonctionnement (RRF)  
Энергетический реактор с перегрузкой на мощности (OLR)  
Reactor de potencia recargado en servicio (OLR)  
Leistungsreaktor mit Beladung bei laufendem Betrieb  
オンロード燃料交換動力炉（発電炉）（OLR）

**5.10. Heavy water reactor (HWR)**

مفاعل ماء ثقيل  
重水堆（HWR）  
Réacteur à eau lourde (REL)  
Тяжеловодный реактор (HWR)  
Reactor de agua pesada (HWR)  
Schwerwasserreaktor  
重水炉（HWR）

**5.11. Graphite moderated reactor**

مفاعل مهدأ بالغرافيت  
石墨慢化堆  
Réacteur modéré au graphite  
Реактор с графитовым замедлителем  
Reactor moderado por grafito  
Graphitmoderierter Reaktor  
黒鉛減速炉

**5.12. Fast reactor**

مفاعل سريع  
快堆  
Réacteur à neutrons rapides  
Быстрый реактор  
Reactor rápido  
Schneller Reaktor  
高速炉

**5.13. Research reactor**

مفاعل بحوث  
研究堆  
Réacteur de recherche  
Исследовательский реактор  
Reactor de investigación  
Forschungsreaktor  
研究炉

**5.14. Critical assembly**

مجموعة حرجة

- 临界装置  
 Assemblage critique  
 Критическая сборка  
 Conjunto crítico  
 Kritische Anordnung (Kritische Anlage)  
 臨界集合体
- 5.15. Subcritical assembly**  
 مجمعة تحت الحرجة  
 次临界装置  
 Assemblage sous-critique  
 Подкритическая сборка  
 Conjunto subcrítico  
 Unterkritische Anordnung (Unterkritische Anlage)  
 未臨界集合体
- 5.16. Uranium mine and concentration (ore processing) plant**  
 مصنع لاستخراج اليورانيوم ومعالجة خاماته  
 铀矿开采和浓集（水冶）厂  
 Mine d'uranium et usine de concentration (de traitement) du minerai  
 Урановый рудник и завод по обогащению (обработке) руды  
 Planta de extracción y concentración (tratamiento del mineral)  
 de uranio  
 Uranabbau und Aufbereitungsanlage  
 ウラン鉱山及び選鉱（鉱石処理）工場
- 5.17. Conversion plant**  
 مصنع تحويل  
 转化厂  
 Usine de conversion  
 Завод по конверсии  
 Planta de conversión  
 Konversionsanlage  
 轉換工場
- 5.18. Fuel fabrication plant**  
 مصنع وقود  
 燃料制造厂  
 Usine de fabrication de combustible  
 Завод по изготовлению топлива  
 Planta de fabricación de combustible  
 Brennelementfabrik  
 燃料加工工場

**5.19. Scrap recovery plant**

مصنع لاستعادة الخردة

废料回收厂

Usine de récupération des rebuts de fabrication

Завод по регенерации скрапа

Planta de recuperación de residuos

Schrottaufarbeitungsanlage

スクラップ回収工場

**5.20. Enrichment plant (or isotope separation plant)**

مصنع اثراء (أو مصنع لفصل النظائر)

浓缩厂 (或同位素分离厂)

Usine d'enrichissement (ou usine de séparation isotopique)

Установка по обогащению (или установка по разделению изотопов)

Planta de enriquecimiento (o planta de separación de isótopos)

Anreicherungsanlage (Isotopentrennanlage)

濃縮工場 (または同位体分離工場)

**5.21. Reprocessing plant**

مصنع اعادة معالجة

后处理厂

Usine de retraitement

Перерабатывающий завод

Planta de reprocesamiento

Wiederaufarbeitungsanlage

再处理工場

**5.22. Storage facility**

مرفق خزن

贮存设施

Installation d'entreposage

Хранилище

Instalación de almacenamiento

Anlage zur Lagerung (von Kernmaterial)

貯蔵施設

**5.23. Heavy water production plant**

مصنع لانتاج الماء الثقيل

重水生产厂

Usine de production d'eau lourde

Завод по производству тяжелой воды

Planta de producción de agua pesada

Produktionsanlage für Schwerwasser

重水製造工場

**5.24. Facility**

مرفق

设施

Installation

Установка

Instalación

Anlage

施設

**5.25. Location outside facilities (LOF)**

مكان واقع خارج المرافق

设施外场所 (LOF)

Emplacement hors installation (EHI)

Место нахождения вне установок (МВУ)

Lugar situado fuera de las instalaciones (LFI)

Ort außerhalb von Anlagen

施設外の場所 ( L O F )

**5.26. Facility type**

نوع المرفق

设施类型

Type d'installation

Тип установки

Tipo de instalación

Anlagentyp

施設タイプ

**5.27. Item facility**

مرفق يحتوي على مواد في شكل مفردات

件料操作设施

Installation contenant des matières dénombrables

Установка с материалом в виде предметов [учетных единиц]

Instalación con material en forma de unidades

Anlage zur Handhabung von Kernmaterial in umschlossener Form

アイテム施設

**5.28. Bulk handling facility**

مرفق يحتوي على مواد في حالة سائبة

散料操作设施

Installation contenant des matières en vrac

Установка с материалом в балк-форме

Instalación de manipulación de materiales a granel

Anlage zur Handhabung von Kernmaterial in offener Form

バルク取扱施設

- 5.29. Facility life cycle**  
 دورة عمر المرفق  
 设施生命周期  
 Cycle de vie d'une installation  
 Жизненный цикл установки  
 Ciclo de la vida útil de la instalación  
 Lebenslauf einer Anlage  
 施設ライフサイクル（耐用年数）
- 5.30. Closed-down facility (or closed-down location outside facilities)**  
 مرفق مغلق (أو مكان خارج المرافق مغلق)  
 关闭设施（或关闭的设施外场所）  
 Installation mise à l'arrêt (ou emplacement hors installation mis à l'arrêt)  
 Остановленная установка (или закрытое место нахождения вне установок)  
 Instalación cerrada (o lugar fuera de las instalaciones cerrado)  
 Außer Betrieb genommene Anlage (oder außer Betrieb genommener Ort außerhalb von Anlagen)  
 閉鎖された施設（または、閉鎖された施設外の場所）
- 5.31. Decommissioned facility (or decommissioned location outside facilities)**  
 مرفق خرج من الخدمة (أو مكان خارج المرافق خرج من الخدمة)  
 退役设施（或退役的设施外场所）  
 Installation déclassée (ou emplacement hors installation déclassé)  
 Снятая с эксплуатации установка (или снятое с эксплуатации место нахождения вне установок)  
 Instalación clausurada (o lugar fuera de las instalaciones clausurado)  
 Stillgelegte Anlage (oder stillgelegter Ort außerhalb von Anlagen)  
 デコミッショニングされた施設（または、デコミッショニングされた施設外の場所）
- 5.32. Geological repository**  
 مستودع جيولوجي  
 地质处置库  
 Dépôt géologique  
 Геологическое хранилище  
 Repositorio geológico  
 Geologisches Endlager  
 地層処分場
- 5.33. Specified equipment**  
 معدات محددة  
 规定的设备  
 Équipement spécifique

Согласованное оборудование  
Equipo especificado  
Spezifizierte Ausrüstung  
特定設備 / 機器

**5.34. Nuclear related dual use item**

مفردات مزدوجة الاستخدام ذات صلة بالمجال النووي  
与核有关的两用物项  
Article à double usage dans le domaine nucléaire  
Относящийся к ядерной деятельности предмет двойного  
использования  
Elemento de doble uso del ámbito nuclear  
In der Kerntechnik genutzter Gegenstand (Ausrüstung) mit anderweitiger  
Verwendbarkeit  
原子力関連汎用アイテム

**6. Nuclear Material Accountancy**

ممارسة حصر المواد النووية  
核材料衡算  
Contrôle comptable des matières nucléaires  
Ведение учета ядерного материала  
Contabilidad de materiales nucleares  
Kernmaterial-Buchführung  
核物質の計量

**6.1. Nuclear material accountancy**

ممارسة حصر المواد النووية  
核材料衡算  
Contrôle comptable des matières nucléaires  
Ведение учета ядерного материала  
Contabilidad de materiales nucleares  
Buchführung von Kernmaterial  
核物質の計量

**6.2. Nuclear material accounting**

حصر المواد النووية  
核材料衡算活动  
Comptabilité des matières nucléaires  
Учет ядерного материала  
Recuento de materiales nucleares  
Bilanzieren von Kernmaterial  
核物質の計量活動

- 6.3. Near real time accountancy (NRTA)**  
 ممارسة الحصر في توقيت مقارب للتوقيت الحقيقي  
 近实时衡算 (NRTA)  
 Contrôle comptable en temps proche du temps réel  
 Учет в почти реальном масштабе времени (NRTA)  
 Contabilidad de materiales en tiempo casi real (NRTA)  
 Zeitnahe Kernmaterial-Buchführung  
 ニアリアルタイム計量 (NRTA)
- 6.4. Material balance area (MBA)**  
 منطقة لقياس المواد النووية  
 材料平衡区 (MBA)  
 Zone de bilan matières (ZBM)  
 Зона баланса материала (ЗБМ)  
 Zona de balance de materiales (MBA)  
 Materialbilanzzone (MBZ)  
 物質収支区域 (MBA)
- 6.5. Strategic point**  
 نقطة استراتيجية  
 战略点  
 Point stratégique  
 Ключевое место  
 Punto estratégico  
 Strategischer Punkt  
 枢要点 (枢要な箇所)
- 6.6. Key measurement point (KMP)**  
 نقطة قياس أساسية  
 关键测量点 (KMP)  
 Point de mesure principal (PMP)  
 Ключевая точка измерения (КТИ)  
 Punto clave de medición (KMP)  
 Schlüsselmeßpunkt  
 主要测定点 (KMP)
- 6.7. Batch**  
 دفعة  
 批  
 Lot  
 Партия  
 Lote  
 Charge  
 バッチ

- 6.8. Batch data**  
بيانات الدفعة  
批数据  
Données concernant le lot  
Данные партии  
Datos del lote  
Chargendaten  
バッチ データ
- 6.9. Source data**  
بيانات مصدرية  
原始数据  
Données de base  
Исходные данные  
Datos de origen  
Primärdaten  
ソース データ
- 6.10. Identity data (or identification data)**  
بيانات الهوية  
标识数据  
Éléments d'identification  
Идентификационные данные  
Datos de identificación  
Daten zur Identifizierung  
同定データ
- 6.11. Element code**  
رمز العنصر  
元素代码  
Code matière  
Код элемента  
Código del elemento  
Element-Code  
元素コード
- 6.12. Unified uranium**  
يورانيوم موحد  
合计铀  
Uranium unifié  
Унифицированный уран  
Uranio unificado  
Gesamt-Uran  
統一ウラン



- 6.13. Material description**  
وصف المادة  
材料说明  
Description des matières  
Описание материала  
Descripción del material  
Code zur Materialbeschreibung  
物質記述
- 6.14. Inventory change**  
تغير الرصيد  
存量变化  
Variation de stock  
Изменение инвентарного количества  
Cambio en el inventario  
Bestandsänderung  
在庫變動
- 6.15. Import and export**  
الاستيراد والتصدير  
进出口  
Importation et exportation  
Импорт и экспорт  
Importaciones y exportaciones  
Einfuhr und Ausfuhr  
輸入及輸出
- 6.16. Domestic receipt**  
تسلم محلي  
国内收货  
Arrivée en provenance de l'intérieur  
Внутригосударственное поступление  
Entrada nacional  
Zugang aus dem Inland  
国内受入
- 6.17. Nuclear production**  
الانتاج النووي  
核产出  
Production nucléaire  
Ядерное производство  
Producción nuclear  
Erzeugung durch Kernumwandlung  
核的生成

- 6.18. Accidental gain**  
زيادة عارضة  
意外收获  
Gain accidentel  
Случайное увеличение  
Ganancia accidental  
Zufälliger Zuwachs  
事故增加
- 6.19. De-exemption**  
رفع الاعفاء  
撤消免除  
Levée d'exemption  
Повторная постановка под гарантии  
Exención anulada  
Aufhebung der Befreiung (von der Überwachung)  
保障措置再適用
- 6.20. Retained waste**  
نفايات مستبقة  
存留废物  
Déchets conservés  
Сохраняемые отходы  
Desechos retenidos  
Zwischengelagerter Abfall  
保管廢棄（保管廢棄物）
- 6.21. Domestic shipment**  
شحن محلي  
国内运输  
Expédition à destination de l'intérieur  
Внутригосударственное отправление  
Salida nacional, expedición nacional, envío dentro del territorio nacional  
Versand im Inland  
国内払出
- 6.22. Nuclear loss**  
فقد نووي  
核損耗  
Perte de matières nucléaires par consommation  
Ядерные потери  
Pérdida nuclear  
Verlust durch Kernumwandlung  
核的損耗

- 6.23. Measured discard**  
مهمات مقاسة  
经测量的废弃物  
Rebuts mesurés  
Измеренные безвозвратные потери  
Descartes medidos  
Gemessener Abfall  
測定済廃棄
- 6.24. Exemption (of nuclear material)**  
اعفاء (مادة نووية)  
(核材料) 免除保障  
Exemption (de matières nucléaires)  
Освобождение от гарантий (ядерного материала)  
Exención de las salvaguardias (de los materiales nucleares)  
Befreiung des Kernmaterials von den IAEO-Sicherungsmaßnahmen  
(核物質の) 免除
- 6.25. Termination (of IAEA safeguards)**  
رفع (ضمانات الوكالة الدولية للطاقة الذرية)  
终止 (原子能机构保障)  
Levée (des garanties de l'AIEA)  
Прекращение (гарантий МАГАТЭ)  
Terminación (de la aplicación de las salvaguardias del OIEA)  
Beendigung der IAEO-Sicherungsmaßnahmen  
( I A E A 保障措置の ) 終了
- 6.26. Other loss**  
أشكال الفقد الأخرى  
其他损耗  
Autre perte  
Другие потери  
Otras pérdidas  
Andere Verluste  
その他の損耗
- 6.27. Arithmetical correctness**  
الصحة الحسابية  
运算正确性  
Exactitude arithmétique  
Арифметическая правильность  
Exactitud aritmética  
Rechnerische Richtigkeit  
算術的正確さ

- 6.28. Adjustment**  
تعديل  
調整  
Ajustement  
Уточнение  
Ajuste  
Angleichung, Rundung  
調整事項（調整）
- 6.29. Correction**  
تصويب  
校正  
Correction  
Исправление  
Corrección  
Berichtigung  
訂正事項（修正）
- 6.30. Accounting records**  
سجلات الحصر  
衡算记录  
Relevés comptables  
Учетная документация  
Registros contables  
Buchungsbelege  
計量記録
- 6.31. Operating records**  
سجلات التشغيل  
运行记录  
Relevés d'opérations  
Эксплуатационная документация  
Registros operacionales  
Betriebsprotokolle  
運転記録（操業記録）
- 6.32. Supporting document**  
وثيقة داعمة  
辅助性文件  
Pièce justificative  
Подтверждающий документ  
Documento de apoyo  
Ergänzende Unterlage  
関係書類（裏付け文書）

- 6.33. Measurement system**  
 نظام قياس  
 測量系統  
 Système de mesure  
 Система измерений  
 Sistema de mediciones  
 Meßsystem  
 測定システム
- 6.34. Traceability**  
 إقتفائية  
 可追溯性  
 Traçabilité  
 Сопоставимость [с эталонами]  
 Confirmabilidad  
 Rückverfolgbarkeit  
 トレーサビリティ
- 6.35. International standards of accountancy**  
 معايير الحصر الدولية  
 国际衡算标准  
 Normes internationales de contrôle comptable  
 Международные нормы ведения учета  
 Normas internacionales de contabilidad  
 Internationale Standards der Materialbilanzierung  
 計量に関する国際基準
- 6.36. International Target Values (ITV)**  
 القيم المستهدفة الدولية  
 国际目标值 (ITV)  
 Valeurs cibles internationales (VCI)  
 Международные целевые значения погрешностей (ITV)  
 Valores internacionales objetivo (ITV)  
 Internationale Richtwerte  
 国際標準値 ( I T V )
- 6.37. Stratum**  
 شريحة  
 材料组  
 Strate  
 Страта  
 Estrato  
 Stratum  
 ストラータ

- 6.38. Account**  
الحصر  
帐户  
Compte  
Учетная запись  
Cuenta  
Konto (Material)  
計量勘定
- 6.39. Account balance**  
محصلة الحصر  
帳面平衡  
Bilan comptable  
Учетный баланс  
Balance de cuenta  
Fortgeschriebener Buchbestand  
計量勘定収支
- 6.40. Book inventory (of a material balance area)**  
الرصيد الدفترى (لمنطقة لقياس المواد النووية)  
(材料平衡区) 帳面存量  
Stock comptable (d'une zone de bilan matières)  
Зарегистрированное инвентарное количество (в зоне баланса материала)  
Inventario contable (de una zona de balance de materiales)  
Buchbestand (über einen Materialbilanz-Zeitraum)  
(物質収支区域の) 帳簿在庫
- 6.41. Physical inventory**  
الرصيد المادي  
实物存量  
Stock physique  
Фактически наличное количество  
Inventario fisico  
Realer Bestand  
実在庫
- 6.42. Material balance component**  
مكون القياس المادي  
材料平衡方程分项  
Composante du bilan matières  
Компонент баланса материала  
Componente del balance de materiales

Komponente der Materialbilanz  
物質収支の構成要素

**6.43. Material unaccounted for (MUF)**

مادة غير محصورة

不明材料量 (MUF)

Différence d'inventaire (DI)

Количество неучтенного материала (KHM)

Material no contabilizado (MNC)

Nicht nachgewiesenes Material (MUF)

在庫差 (不明物質量または未計量物質) (M U F)

**6.44. Cumulative MUF**

محصلة المواد غير المحصورة

累计不明材料量

DI cumulée

Совокупное количество неучтенного материала

MNC acumulado

Aufsummiertes nicht nachgewiesenes Material

累積M U F

**6.45. Shipper/receiver difference (SRD)**

الفرق بين الشاحن والمتسلم

发货方 / 收货方差额 (SRD)

Écart expéditeur/destinataire (EED)

Расхождение в данных отправителя/получателя (SRD)

Diferencia remitente/destinatario (DRD)

Absender/Empfänger-Differenz

受払間差異 (S R D)

**6.46. Cumulative SRD**

محصلة الفروق بين الشاحن والمتسلم

累计发货方 / 收货方差额

EED cumulé

Совокупное расхождение в данных отправителя/получателя

DRD acumulada

Aufsummierte Absender/Empfänger-Differenzen

累積S R D

**6.47. Material balance period (MBP)**

زمن القياس المادي

材料平衡周期 (MBP)

Intervalle entre bilans matières (IBM)

Период баланса материала (MBP)

Periodo de balance de materiales (MBP)

Materialbilanz-Zeitraum

物質収支期間 ( M B P )

**6.48. IAEA examination of records**

فحص السجلات من جانب الوكالة الدولية للطاقة الذرية

原子能机构对记录的审查

Examen des relevés par l'AIEA

Изучение документации со стороны МАГАТЭ

Examen de los registros por el OIEA

Überprüfung der Buchungsunterlagen durch die IAEO

I A E A による記録の検査

**6.49. IAEA updating of the book inventory**

استيفاء الوكالة الدولية للطاقة الذرية للرصيد الدفترى

原子能机构对帐目存量的更正

Mise à jour du stock comptable par l'AIEA

Обновление зарегистрированного инвентарного количества со стороны МАГАТЭ

Actualización del inventario contable por el OIEA

Aktualisierung des Buchbestandes durch die IAEO

I A E A による帳簿在庫の更新

**6.50. IAEA inventory change verification**

تحقق الوكالة الدولية للطاقة الذرية من التغير في الرصيد

原子能机构对存量变化的核实

Vérification des variations de stock par l'AIEA

Проверка изменения инвентарного количества со стороны МАГАТЭ

Verificación de los cambios en el inventario por el OIEA

Nachprüfung der Bestandsänderungen durch die IAEO

I A E A による在庫変動の検認

**6.51. IAEA inventory verification**

تحقق الوكالة الدولية للطاقة الذرية من الرصيد

原子能机构对存量的核实

Vérification du stock par l'AIEA

Проверка инвентарного количества со стороны МАГАТЭ

Verificación del inventario por el OIEA

Nachprüfung des (Kernmaterial-) Bestandes durch die IAEO

I A E A による在庫検認

**6.52. IAEA physical inventory verification (PIV)**

تحقق الوكالة الدولية للطاقة الذرية من الرصيد المادي

原子能机构对实物存量的核实 (PIV)



Vérification du stock physique (VSP) par l'AIEA  
Проверка фактически наличного количества (PIV) со стороны  
МАГАТЭ

Verificación del inventario físico (VIF) por el OIEA  
Nachprüfung des realen Bestandes durch die IAEO  
I A E A による実在庫検認 ( P I V )

**6.53. IAEA interim inventory verification**

تحقق الوكالة الدولية للطاقة الذرية من الرصيد المؤقت  
原子能机构对中间存量的核实

Vérification intermédiaire du stock par l'AIEA  
Промежуточная проверка инвентарного количества со стороны  
МАГАТЭ

Verificación del inventario provisional por el OIEA  
Zwischenzeitliche Nachprüfung des (Kernmaterial-) Bestandes durch die  
IAEO

I A E A による中間在庫検認

**6.54. IAEA verification of nuclear material flows within an MBA**

تحقق الوكالة الدولية للطاقة الذرية من تدفقات المواد النووية داخل منطقة لقياس  
المواد النووية

原子能机构对材料平衡区内核材料流量的核实

Vérification par l'AIEA des flux de matières nucléaires dans une ZBM  
Проверка потоков ядерного материала в пределах ЗБМ со стороны  
МАГАТЭ

Verificación de los flujos de materiales nucleares en una MBA  
Nachprüfung des Kernmaterial-Flusses innerhalb einer Materialbilanzzone  
(MBZ)

I A E A による M B A 内の核物質の流れの検認

**6.55. IAEA verification of operator's measurement system**

تحقق الوكالة الدولية للطاقة الذرية من نظام القياس الذي يستخدمه المشغل  
原子能机构对运营者测量系统的核查

Vérification par l'AIEA du système de mesure de l'exploitant  
Проверка системы измерений оператора со стороны МАГАТЭ  
Verificación por el OIEA del sistema de mediciones del explotador

Nachprüfung des betriebseigenen Meßsystems durch die IAEO  
I A E A による施設者測定システムの検認

**6.56. IAEA accountancy verification methods**

الأساليب التي تستخدمها الوكالة الدولية للطاقة الذرية للتحقق من ممارسات  
الحصر

原子能机构的衡算核实方法

Méthodes de contrôle comptable de l'AIEA

Методы МАГАТЭ по проверке ведения учета  
Métodos de verificación contable del OIEA  
Methoden zur Nachprüfung der (Kernmaterial-) Buchführung durch die  
IAEO

I A E A の計量検認手法

**6.57. Item counting**

عدّ البنود

物件计数

Décompte des objets

Подсчет учетных единиц [предметов]

Recuento de partidas

Zählung von einzelnen (Material) Posten

員数勘定

**7. Nuclear Material Measurement Techniques and Equipment**

تقنيات ومعدات قياس المواد النووية

核材料测量技术和设备

Techniques et équipements de mesure des matières nucléaires

Методы измерений ядерного материала и оборудование для измерений

Equipo y técnicas de medición de materiales nucleares

Methoden und Ausrüstung zur Messung von Kernmaterial

核物質測定技術及び機器

**7.1. Calibration**

معايرة

校准

Étalonnage

Калибровка

Calibración

Eichung

較正

**7.2. Reference material**

مادة مرجعية

参考材料

Matière de référence

Эталонный материал

Material de referencia

Referenzmaterial

標準物質（基準物質）

**7.3. Primary standard**

معييار أولي

一级标准

Étalon primaire

Первичный эталон

Patrón primario

Primärstandard

一次標準

**7.4. Secondary standard**

معييار ثانوي

二级标准

Étalon secondaire

Вторичный эталон

Patrón secundario

Sekundärstandard

二次標準

**7.5. Bulk measurement**

قياس المواد السائبة

大批量測量

Mesure de la masse

Балк-измерение [измерение массы, объема]

Medición en masa

Massenmessung

バルク測定

**7.6. Matrix**

مصفوفة

基质

Matrice

Матрица

Matriz

Matrix

マトリックス

**7.7. Sample**

عينة

样品

Échantillon

Проба [образец]

Muestra

Probe

試料 (サンプル)

- 7.8. Random sampling**  
أخذ العينات  
随机取样  
Échantillonnage aléatoire  
Отбор проб на случайной основе  
Muestreo aleatorio  
Stichprobennahme  
ランダム サンプリング
- 7.9. Systematic sampling**  
أخذ العينات منهجياً  
系统取样  
Échantillonnage systématique  
Систематический отбор проб  
Muestreo sistemático  
Systematische Probennahme  
系統的サンプリング
- 7.10. Representative sample**  
عينة ممثلة  
代表性样品  
Échantillon représentatif  
Представительная проба  
Muestra representativa  
Repräsentative Probe  
代表サンプル
- 7.11. Calorimetry**  
قياس الحرارة  
量热法  
Calorimétrie  
Калориметрия  
Calorimetría  
Kalorimetrie  
熱量分析法 (カロリメトリー)
- 7.12. Assay**  
قياس  
分析  
Analyse  
Анализ  
Análisis  
Messung  
分析

**7.13. Destructive analysis (DA)**

قياس متلف  
破坏性分析 (DA)  
Analyse destructive (AD)  
Разрушающий анализ (PA)  
Análisis destructivo (AD)  
Zerstörende Analyse  
破壞分析 (DA)

**7.14. Chemical titration**

معايرة كيميائية  
化学滴定法  
Titrimétrie  
Химическое титрование  
Titulación química  
Chemische Titration  
化学滴定

**7.15. Controlled potential coulometry**

قياس الشحنة تحت جهد مضبوط  
控制电位库仑分析法  
Coulométrie à potentiel contrôlé  
Кулонометрия с контролируемым потенциалом  
Titulación potenciométrica  
Potentialkontrollierte Coulometrie  
定電位クーロメトリー

**7.16. Gravimetric analysis**

تحليل ثقالي  
重量分析  
Analyse gravimétrique  
Гравиметрический анализ  
Análisis gravimétrico  
Gravimetrische Analyse  
重量分析

**7.17. Isotope dilution mass spectrometry (IDMS)**

قياس الطيف الكتلي بطريقة التخفيف النظيري  
同位素稀释质谱测定法 (IDMS)  
Spectrométrie de masse à dilution isotopique  
Масс-спектрометрия с изотопным разбавлением (IDMS)  
Espectrometría de masas por dilución isotópica (IDMS)  
Isotopenverdünnungs-Massenspektrometrie  
同位体希釈質量スペクトロメトリー (分析法) (IDMS)

- 7.18. K-edge densitometry**  
قياس الكثافة بطريقة الحد ك  
K 电子吸收限密度计  
Densitométrie de discontinuité K  
Денситометрия с использованием эффекта К-полосы поглощения  
Densitometría de discontinuidad K  
K-Kanten Densitometrie  
K-エッジ デンシトメトリー
- 7.19. Resin bead technique**  
تقنية خرز الراتنج  
树脂颗粒法  
Technique des lits de résine  
Осаждение на ионообменную смолу и масс-спектрометрический анализ отдельных зерен смолы  
Técnica de perlas de resina  
Ionenaustauscher-Korn-Technik  
レジン ビーズ技術
- 7.20. Mass spectrometry**  
قياس الطيف الكتلي  
质谱测定法  
Spectrométrie de masse  
Масс-спектрометрия  
Espectrometría de masas  
Massenspektrometrie  
質量分析法（質量スペクトロメトリー）
- 7.21. Gas mass spectrometry**  
قياس الطيف الكتلي للغازات  
气相质谱测定法  
Spectrométrie de masse en phase gazeuse  
Газовая масс-спектрометрия  
Espectrometría de masas en fase gaseosa  
Gasmassenspektrometrie  
ガス質量分析（ガス質量スペクトロメトリー）
- 7.22. Thermal ionization mass spectrometry (TIMS)**  
قياس الطيف الكتلي بالتأين الحراري  
热电离质谱测定法（TIMS）  
Spectrométrie de masse à thermo-ionisation  
Масс-спектрометрия с термической ионизацией (TIMS)  
Espectrometría de masas de ionización térmica (TIMS)

Thermoionisations-Massenspektrometrie  
熱電離質量分析法（熱電離質量スペクトロメトリー）（TIMS）

- 7.23. Alpha spectrometry**  
قياس طيف أشعة الفا  
α能谱测定法  
Spectrométrie alpha  
Альфа-спектрометрия  
Espectrometría alfa  
Alpha-Spektrometrie  
アルファ線スペクトロメトリー
- 7.24. Non-destructive assay (NDA)**  
قياس غير متلف  
无损分析（NDA）  
Analyse non destructive (AND)  
Неразрушающий анализ (HPA)  
Análisis no destructivo (AND)  
Zerstörungsfreie Analyse  
非破壊分析（NDA）
- 7.25. Gamma ray spectrometry**  
قياس طيف أشعة غاما  
γ 射线能谱测定法  
Spectrométrie gamma  
Гамма-спектрометрия  
Espectrometría gamma  
Gamma-Spektrometrie  
ガンマ線スペクトロメトリー
- 7.26. Gamma ray scanning**  
مسح بأشعة غاما  
γ 射线扫描  
Balayage gamma  
Гамма-сканирование  
Gammagrafia  
Gamma-Scanning  
ガンマ線走査
- 7.27. Scintillation detector**  
كاشف وميض  
闪烁探测器  
Détecteur à scintillation  
Сцинтилляционный детектор

Detector de centelleo  
Szintillationszähler  
シンチレーション検出器

**7.28. Semiconductor detector**

كاشف بشبه موصلات  
半导体探测器  
Détecteur à semi-conducteur  
Полупроводниковый детектор  
Detector semiconductor  
Halbleiterdetektor  
半導体検出器

**7.29. Neutron counting**

عد النيوترونات  
中子计数  
Comptage neutronique  
Счет нейтронов  
Recuento de neutrones  
Neutronenzählung (Neutronenmessung)  
中性子計数

**7.30. Neutron coincidence counting**

عد تواقف النيوترونات  
中子符合计数  
Comptage neutronique par coïncidence  
Счет нейтронных совпадений  
Recuento de coincidencias neutrónicas  
Neutronenkoinzidenzzählung  
中性子同時計数

**7.31. Neutron multiplicity counter**

عد تضاعف النيوترونات  
中子增殖计数器  
Comptage de multiplicité neutronique  
Счетчик множественности нейтронов  
Contador de multiplicidad neutrónica  
Neutronenmultiplizitätszähler  
中性子増倍計数器

**7.32. Cerenkov radiation detection**

كشف اشعاعات تشيرينكوف  
切伦科夫辐射探测法  
Détection du rayonnement de Tcherenkov



Регистрация черенковского излучения  
Detección de la radiación por brillo Cherenkov  
Nachweis (Messung) von Cerenkov-Strahlung  
チェレンコフ放射線検出

**7.33. Safeguards Analytical Laboratory (SAL)**

مختبر التحليل الخاص بالضمانات  
保障分析实验室 (SAL)  
Laboratoire d'analyse pour les garanties (LAG)  
Аналитическая лаборатория по гарантиям (АЛГ)  
Laboratorio Analítico de Salvaguardias (LAS)  
Analytisches Laboratorium der IAEO-Abteilung für  
Sicherungsmaßnahmen  
保障措置分析所 (S A L)

**7.34. Network of Analytical Laboratories (NWAL)**

شبكة مختبرات التحليل  
分析实验室网络 (NWAL)  
Réseau de laboratoires d'analyse (NWAL)  
Сеть аналитических лабораторий (САЛ)  
Red de Laboratorios Analíticos (RLA)  
Netzwerk von analytischen Laboratorien  
分析所ネットワーク (N W A L)

**8. Containment, Surveillance and Monitoring**

الاحتواء والمراقبة والرصد  
封隔、监视和监测  
Confinement et surveillance  
Сохранение, наблюдение и мониторинг  
Contención y vigilancia  
Räumliche Eingrenzung, Beobachtung und Überwachung  
封じ込め、監視及びモニタリング

**8.1. Containment**

الاحتواء  
封隔  
Confinement  
Сохранение  
Contención  
Räumliche Eingrenzung  
封じ込め

**8.2. Surveillance**

المراقبة

監視  
Surveillance  
Наблюдение  
Vigilancia  
Beobachtung  
監視

**8.3. Containment/surveillance device (C/S device)**

جهاز خاص بالاحتواء والمراقبة  
封隔 / 监视装置 (C/S 装置)  
Dispositif de confinement/surveillance (dispositif C/S)  
Устройство для сохранения/наблюдения (устройство для C/H)  
Dispositivo de contención y vigilancia (dispositivo de C/V)  
Gerät zur räumlichen Eingrenzung/Beobachtung  
封じ込め / 監視装置 (C / S 装置)

**8.4. Optical surveillance device**

جهاز مراقبة بصرية  
光学监视装置  
Dispositif de surveillance optique  
Оптическое устройство наблюдения  
Dispositivo de vigilancia óptica  
System zur optischen Beobachtung  
光学監視装置

**8.5. Seal**

ختم  
封记  
Scellé  
Печать  
Precinto  
Siegel  
シール (封印)

**8.6. Containment/surveillance measures (C/S measures)**

تدابير خاصة بالاحتواء والمراقبة  
封隔 / 监视措施 (C/S 措施)  
Mesures de confinement/surveillance (mesures C/S)  
Меры по сохранению/наблюдению (меры по C/H)  
Medidas de contención y vigilancia (medidas de C/V)  
Maßnahmen zur räumlichen Eingrenzung/Beobachtung  
封じ込め / 監視手段 (C / S 手段)

- 8.7. System of containment/surveillance measures (C/S system)**  
 نظام التدابير الخاصة بالاحتواء والمراقبة  
 封隔 / 监视措施系统 (C/S 系统)  
 Système de mesures de confinement/surveillance (système C/S)  
 Система мер по сохранению/наблюдению (система по C/H)  
 Sistema de medidas de contención y vigilancia (sistema de C/V)  
 System von räumlichen Eingrenzungs/Beobachtungsmaßnahmen  
 封じ込め / 監視システム (C / S システム)
- 8.8. Containment/ surveillance results (C/S results)**  
 نتائج الاحتواء والمراقبة  
 封隔 / 监视结果 (C/S 结果)  
 Résultats du confinement/surveillance (résultats C/S)  
 Результаты мер по сохранению/наблюдению (результаты мер по C/H)  
 Resultados de contención y vigilancia (resultados de C/V)  
 Ergebnisse räumlicher Eingrenzungs/Beobachtungsmaßnahmen  
 封じ込め / 監視の結果 (C / S の結果)
- 8.9. Containment/surveillance technical capability (C/S technical capability)**  
 القدرات التقنية الخاصة بالاحتواء والمراقبة  
 封隔 / 监视技术能力 (C/S 技术能力)  
 Capacité technique de confinement/surveillance (capacité technique C/S)  
 Техническая возможность мер по сохранению/ наблюдению  
 (техническая возможность C/H)  
 Capacidad técnica de contención y vigilancia (capacidad técnica de C/V)  
 Technische Leistungsfähigkeit von räumlichen Eingrenzungs/  
 Beobachtungsmaßnahmen  
 封じ込め / 監視の技術的能力 (C / S の技術的能力)
- 8.10. Vulnerability assessment**  
 تقييم جوانب الضعف  
 易损性评定  
 Évaluation de la vulnérabilité  
 Оценка уязвимости  
 Evaluación de la vulnerabilidad  
 Schwachstellen-Analyse  
 脆弱性評価
- 8.11. Tampering**  
 التلاعب  
 干扰  
 Manipulation frauduleuse  
 Вмешательство

Interferencia  
Verfälschung  
不正変更（タンパー）

**8.12. Tamper indication**

علامات التلاعب  
干扰迹象  
Indication de manipulation frauduleuse  
Признак вмешательства  
Indicación de interferencia  
Verfälschungsanzeige  
不正変更（タンパー）の徴候

**8.13. Tamper resistance**

مقاومة التلاعب  
抗干扰  
Résistance aux manipulations frauduleuses  
Противодействие вмешательству  
Resistencia a la interferencia  
Verfälschungssicherheit  
不正変更（タンパー）に対する抵抗性 / タンパー防護

**8.14. Surveillance review system**

نظام استعراض المراقبة  
监视审查系统  
Système d'examen des résultats de la surveillance  
Система просмотра данных наблюдения  
Sistema de examen de la vigilancia  
System zur Auswertung von Beobachtungsaufnahmen  
監視レビューシステム（監視検査システム）

**8.15. Unattended monitoring**

رصد غيابي  
无人值守监测  
Surveillance automatique  
Автономный мониторинг  
Vigilancia automática  
Automatische Überwachung  
非立会モニタリング

**8.16. Remote monitoring**

رصد عن بعد  
远程监测  
Télésurveillance

Дистанционный мониторинг  
Vigilancia a distancia  
Fernüberwachung  
遠隔モニタリング

**8.17. Monitor**

جهاز رصد  
监测器  
Détecteur  
Монитор  
Monitor  
Überwachungsinstrument  
モニター

**8.18. Core discharge monitor (CDM)**

جهاز لرصد تعبئة قلوب المفاعلات وتقريبها  
堆芯卸料监测器 (CDM)  
Moniteur de déchargement du cœur (MDC)  
Монитор выгрузки топлива из активной зоны (MBT)  
Monitor de descarga del núcleo (CDM)  
Überwachungsinstrument für eine Reaktor-Entladung  
炉心取出モニター ( C D M )

**8.19. Spent fuel bundle counter**

عداد حزم الوقود المستهلك  
乏燃料棒束计数器  
Compteur de grappes de combustible usé  
Счетчик отработавших тепловыделяющих [топливных] сборок  
Contador de haces de combustible gastado  
Zähler für abgebrannte Brennelemente  
使用済燃料バンドル カウンター

**8.20. Reactor power monitor**

جهاز لقياس قدرة المفاعلات  
反应堆功率监测器  
Enregistreur de la puissance d'un réacteur  
Монитор мощности реактора  
Monitor de potencia de un reactor  
Überwachungsinstrument für die Reaktorleistung  
原子炉出力モニター

**8.21. Radiation passage monitor**

جهاز لرصد حركة المواد النووية بالاشعاعات  
通道辐射监测器

Détecteur de passage  
Радиационный монитор прохождения  
Monitor de radiaciones en tránsito  
Strahlen-Überwachungsinstrument für Durchgänge  
放射線通過モニター

## 8.22. Authentication

اعتماد (صحة بيانات)  
真实性验证  
Authentification  
Аутентификация  
Autenticación  
Authentifizierung  
オーセンティケーション (認証)

## 8.23. Encryption

تشفير  
加密  
Cryptage  
Шифрование  
Criptografía  
Verschlüsselung  
暗号化

## 8.24. Equipment state of health data

بيانات حالة المعدات  
设备健全状况数据  
Données sur l'état des équipements  
Данные о работоспособности оборудования  
Datos sobre el estado de funcionamiento del equipo  
Daten über die Systembetriebsfähigkeit  
機器健全性データ

## 9. Environmental Sampling

أخذ العينات البيئية  
环境取样  
Échantillonnage de l'environnement  
Отбор проб окружающей среды  
Muestreo ambiental  
Entnahme von Umwelt-Proben  
環境サンプリング

### 9.1. Environmental sampling (ES)

أخذ العينات البيئية

環境取樣 (ES)  
Échantillonnage de l'environnement  
Отбор проб окружающей среды  
Muestreo ambiental (MA)  
Entnahme von Umwelt-Proben  
環境サンプリング (ES)

**9.2. Location specific environmental sampling**

أخذ عينات من موقع محدد  
针对场所的环境取樣  
Échantillonnage de l'environnement dans un emplacement précis  
Отбор проб окружающей среды в конкретном месте нахождения  
Muestreo ambiental específico para los lugares  
Ortspezifische Entnahme von Umwelt-Proben  
場所特定環境サンプリング

**9.3. Wide area environmental sampling**

أخذ عينات من منطقة واسعة  
大范围环境取樣  
Échantillonnage de l'environnement dans une vaste zone  
Отбор проб окружающей среды на обширной территории  
Muestreo ambiental de grandes zonas  
Großräumige Entnahme von Umwelt-Proben  
広域環境サンプリング

**9.4. Swipe sampling**

أخذ عينات بالمسح  
擦拭取樣  
Prélèvement d'échantillon par frottis  
Отбор мазковых проб  
Muestreo por frotis  
Wischprobe  
スミアサンプリング (スワイプ サンプリング / 拭き取りサンプリング)

**9.5. Point sample**

أخذ عينات نقطية  
点采樣  
Échantillon ponctuel  
Проба с одной точки  
Muestra puntual  
Punktprobe  
ポイント (点) サンプル

- 9.6. Composite sample**  
عينة مركبة  
混合样品  
Échantillon composite  
Проба с нескольких точек [композиционная]  
Muestra compuesta  
Zusammengesetzte Probe (Sammelprobe)  
混合サンプル (複合サンプル)
- 9.7. Control sample**  
عينة مراقبة  
对照样品  
Échantillon témoin  
Контрольная проба  
Muestra de control  
Kontrollprobe  
管理サンプル
- 9.8. Cross-contamination**  
تلوث  
交叉污染  
Contamination croisée  
Взаимное загрязнение  
Contaminación cruzada  
Querkontamination  
相互污染 (クロス コンタミネーション)
- 9.9. Baseline environmental signature**  
بيانات بيئية أساسية  
环境基准特性  
Signature environnementale de base  
Реперные признаки окружающей среды  
Signatura ambiental de referencia  
Anlagenspezifische Umweltmerkmale  
ベースライン環境特徴
- 9.10. Sampling team**  
فريق أخذ العينات  
取样小组  
Équipe d'échantillonnage  
Группа по отбору проб  
Grupo de muestreo  
Probenahmegruppe  
サンプリング チーム



- 9.11. Sampling kit**  
طقم أخذ العينات  
取样盒  
Trousse d'échantillonnage  
Набор для отбора проб  
Juego (kit) de muestreo  
Probenahmeausrüstung  
サンプリング キット
- 9.12. IAEA Clean Laboratory for Safeguards**  
المختبر النظيف الخاص بالضمانات التابع للوكالة الدولية للطاقة الذرية  
原子能机构保障清洁实验室  
Salle blanche de l'AIEA pour les garanties  
Чистая лаборатория по гарантиям МАГАТЭ  
Laboratorio limpio del OIEA para fines de salvaguardias  
Kontaminationsfreies Labor der IAEO zur Kernmaterialüberwachung  
I A E A 保障措置クリーン分析所
- 9.13. Screening measurement**  
قياسات الفرز  
筛选测量  
Scrutation gamma  
Предварительное измерение  
Medición de selección  
Voruntersuchungsmessung  
選別測定
- 9.14. Bulk analysis**  
التحليل الاجمالي  
全分析  
Analyse globale  
Анализ всей пробы  
Análisis volumétrico  
Analyse der Probenzusammensetzung  
バルク分析
- 9.15. Particle analysis**  
التحليل الجسيمي  
微粒分析  
Analyse de particules  
Анализ частиц  
Análisis de partículas  
Teilchenanalyse  
粒子分析

- 9.16. Fission track analysis**  
 التحليل بطريقة المسارات الانشطارية  
 裂变径迹分析  
 Analyse par traces de fission  
 Анализ треков деления  
 Análisis por trazas de fisión  
 Spaltspuranalyse  
 フィッション トラック分析
- 9.17. Scanning electron microscopy (SEM)**  
 الاستجهاز بطريقة المسح الالكتروني  
 扫描电子显微镜 (SEM)  
 Microscopie électronique à balayage  
 Растровая электронная микроскопия (РЭМ)  
 Microscopia electrónica de barrido (SEM)  
 Rasterelektronen-Mikroskopie  
 走査型電子顕微鏡観察 (SEM)
- 9.18. Secondary ion mass spectroscopy (SIMS)**  
 التحليل بطريقة قياس الطيف الكتلي للأيونات الثانوية  
 次级离子质谱法 (SIMS)  
 Spectrométrie de masse à émission d'ions secondaires  
 Масс-спектрометрия вторичных ионов (SIMS)  
 Espectroscopia de masas de emisión de iones secundarios (SIMS)  
 Sekundärionen-Massenspektroskopie  
 二次イオン質量分析 (SIMS)
- 10. Statistical Concepts and Techniques for Nuclear Material Verification**  
 المفاهيم والتقنيات الاحصائية المتعلقة بالتحقق من المواد النووية  
 核材料核查的统计学概念和技术  
 Concepts statistiques et techniques de vérification des matières nucléaires  
 Статистические концепции и методы проверки ядерного материала  
 Técnicas y conceptos estadísticos para la verificación de los materiales nucleares  
 Statistische Verfahren und Techniken zur Kernmaterialüberprüfung  
 核物質検認のための統計学的概念及び技術
- 10.1. Material balance evaluation**  
 تقييم حصر المواد  
 材料平衡评价  
 Évaluation du bilan matières  
 Оценка баланса материала  
 Evaluación del balance de materiales

Materialbilanz-Auswertung  
物質収支評価

**10.2. Inspector's estimate of MUF**

تقدير المفتش للمواد غير المحصورة  
视察员对不明材料量的估计  
Estimation de la DI par l'inspecteur  
Оценка КНМ инспектором  
Estimación del MNC hecha por el inspector  
Schätzung des MUF durch den Inspektor  
査察員によるMUFの推定

**10.3. Operator-inspector difference**

الفرق بين القيمة المعلنة من المشغل والقيمة المقاسة من المفتش  
运营者－视察员差额  
Écart exploitant-inspecteur (EEI)  
Расхождение в данных оператора и инспектора  
Diferencia explotador-inspector  
Differenz zwischen Betreiber und Inspektor (D)  
施設者 査察員間差異

**10.4. Diversion into MUF**

التحريف المؤدي لظهور مواد غير محصورة  
转为不明材料  
Détournement dans la DI  
Переключение, связанное с КНМ  
Material desviado y declarado como MNC  
Abzweigung in den MUF  
MUFへの転用

**10.5. Diversion into SRD**

التحريف المؤدي لظهور فرق بين الشاحن والمتسلم  
转为发货方 / 收货方差额  
Détournement dans l'EED  
Переключение, связанное с SRD  
Material desviado y declarado como DRD  
Abzweigung in die SRD  
SRDへの転用

**10.6. Diversion into D**

التحريف المؤدي لظهور فرق بين المواد المعلن عن وجودها والمواد الموجودة  
فعلا  
转变为氘

Détournement dans l'EEI  
Переключение, связанное с расхождением данных оператора и инспектора  
Desviación causante de discrepancia (D)  
Abzweigung in den D-Wert  
Dへの転用

**10.7. Defect**

الخلل  
亏量  
Défaut  
Дефект  
Defecto  
Defekt  
欠損

**10.8. Sample size**

حجم العينة  
样品量  
Taille de l'échantillon  
Размер пробы  
Tamaño de la muestra  
Stichprobenumfang  
サンプル サイズ

**10.9. Mean ( $\mu$ )**

( $\mu$ ) الوسط  
平均值 ( $\mu$ )  
Moyenne théorique ( $\mu$ )  
Среднее значение ( $\mu$ )  
Media ( $\mu$ )  
Mittelwert ( $\mu$ )  
平均( $\mu$ )

**10.10. Sample mean ( $x_{av}$ )**

( $x_{av}$ ) متوسط العينة  
样品平均值 ( $x_{av}$ )  
Moyenne échantillon ( $x_{av}$ )  
Среднее значение пробы ( $x_{av}$ )  
Media de una muestra ( $x_{av}$ )  
Mittelwert der Stichprobe ( $x_{av}$ )  
サンプル平均 (試料平均) ( $x_{av}$ )

**10.11. Variance ( $\sigma^2$ )**

التباين ( $\sigma^2$ )

方差 ( $\sigma^2$ )

Variance ( $\sigma^2$ )

Дисперсия ( $\sigma^2$ )

Varianza ( $\sigma^2$ )

Varianz ( $\sigma^2$ )

分散( $\sigma^2$ )

**10.12. Sample variance ( $s^2$ )**

تباين العينة ( $s^2$ )

样品方差 ( $s^2$ )

Variance de l'échantillon ( $s^2$ )

Дисперсия пробы ( $s^2$ )

Varianza de una muestra ( $s^2$ )

Varianz der Stichprobe ( $s^2$ )

サンプルの分散( $s^2$ )

**10.13. Standard deviation ( $\sigma$ )**

الانحراف المعياري ( $\sigma$ )

标准偏差 ( $\sigma$ )

Écart type ( $\sigma$ )

Стандартное отклонение ( $\sigma$ )

Desviación estándar ( $\sigma$ )

Standardabweichung (Streuung) ( $\sigma$ )

標準偏差( $\sigma$ )

**10.14. Error**

الخطأ

误差

Erreur

Погрешность

Error

Fehler

誤差

**10.15. Random error**

خطأ عشوائي

随机误差

Erreur aléatoire

Случайная погрешность

Error aleatorio

Zufälliger Fehler

ランダム誤差

**10.16. Systematic error (bias)**

خطأ نظامي (تحيز)

系統誤差 (偏倚)

Erreur systématique (biais)

Систематическая погрешность (смещение)

Error sistemático (sesgo)

Systematischer Fehler (Bias)

系統誤差 (システマティック エラー) (バイアス)

**10.17. Residual bias**

التحيز المتبقي

残留偏倚

Biais résiduel

Остаточное смещение

Sesgo residual

Verbleibender systematischer Fehler (Restbias)

残留バイアス

**10.18. Error propagation**

انتشار الخطأ

誤差傳播

Propagation des erreurs

Определение суммарной погрешности

Propagación de errores

Fehlerfortpflanzung

誤差伝播

**10.19. Limits of error**

حدود الخطأ

誤差限值

Limites d'erreur

Пределы погрешности

Límites de error

Fehlergrenzen

誤差限界

**10.20. Confidence interval**

فترة الثقة

置信区间

Intervalle de confiance

Доверительный интервал

Intervalo de confianza

Konfidenzintervall

信賴區間

**10.21. Confidence limits**

حدود الثقة

置信界限

Limites de confiance

Доверительные пределы

Limites de confianza

Konfidenzgrenzen

信賴限界

**10.22. Confidence level**

مستوى الثقة

置信水平

Niveau de confiance

Доверительный уровень

Nivel de confianza

Konfidenz-Niveau

信賴水準

**10.23. Outlier**

قيمة خارجة

外围人员

Point aberrant

Выброс [при измерениях]

Valor errático o atípico

Ausreißer

外れ値 (異常値)

**10.24. Performance values**

قيم الأداء

实绩价值

Indicateur de performance

Значения, корректирующие качество измерений

Valores históricos

Meßfehler, welche die Leistungsfähigkeit eines Meßsystems  
charakterisieren

実績値

**10.25. Test of hypothesis**

اختبار الفرض

假设检验

Test d'hypothèse

Проверка гипотезы

Comprobación de la hipótesis

Test einer Hypothese  
仮説検定

**10.26. Statistically significant**

معنوي احصائيا  
统计学重要性  
Statistiquement significatif  
Статистически значимый  
Estadísticamente significativo  
Statistisch signifikant  
統計的に有意

**10.27. Type I error**

خطأ من الطراز الأول  
I类误差  
Erreur du type I  
Погрешность первого рода  
Error tipo I  
Fehler I. Art  
第 I 種の誤り

**10.28. Type II error**

خطأ من الطراز الثاني  
II类误差  
Erreur du type II  
Погрешность второго рода  
Error tipo II  
Fehler II. Art  
第 II 種の誤り

**10.29. Power of a test**

قوة الاختبار  
检验的功效  
Puissance d'un test  
Эффективность проверки гипотезы  
Potencia de una prueba  
Gütefunktion eines Tests  
検出力

**10.30. Attributes test**

اختبار الخصائص  
属性检验  
Test par attributs



Атрибутивный тест  
Prueba de atributos  
Test eines qualitativen Merkmals  
アットリビュート テスト (属性試験)

**10.31. Variables test**

اختبار المتغيرات  
変量検査  
Test par variables  
Количественный тест  
Prueba de variables  
Test eines quantitativen Merkmals  
バリアブル テスト (計量検定)

**10.32. Critical region**

المنطقة الحرجة  
临界区域  
Région critique  
Критическая область  
Región crítica insesgada, muestra sin distorsión  
Kritischer Bereich  
棄却域

**11. Visits, Inspections and Complementary Access**

الزيارات وعمليات التفتيش والمعاينة التكميلية  
访问、视察和补充接触  
Visites, inspections et accès complémentaire  
Посещения, инспекции и дополнительный доступ  
Visitas, inspecciones y acceso complementario  
Besuche, Inspektionen, erweiterter Zugang  
訪問、査察及び補完的なアクセス

**11.1. Visit**

زيارة  
访问  
Visite  
Посещение  
Visita  
Besuch  
訪問

**11.2. Inspection**

تفتيش  
视察

Inspection  
Инспекция  
Inspección  
Inspektion  
查察

**11.3. Initial inspection**

تفتيش بدئي  
初始视察  
Inspection initiale  
Первоначальная инспекция  
Inspección inicial  
Erst-Inspektion  
冒頭查察

**11.4. Ad hoc inspection**

تفتيش حسب الاقتضاء  
特別视察  
Inspection ad hoc  
Инспекция для специальных целей  
Inspección ad hoc  
Ad hoc-Inspektion  
特定查察

**11.5. Routine inspection**

تفتيش روتيني  
例行视察  
Inspection régulière  
Обычная инспекция  
Inspección ordinaria  
Routine-Inspektion  
通常查察

**11.6. Unannounced inspection**

تفتيش مفاجئ  
不通知的视察  
Inspection inopinée  
Необъявленная инспекция  
Inspección no anunciada  
Nicht angekündigte Inspektion  
無通告查察

**11.7. Short notice inspection**

تفتيش بإخطار عاجل

临时通知的视察  
Inspection à court délai de préavis  
Инспекция с краткосрочным уведомлением  
Inspección con breve preaviso  
Inspektion mit kurzfristiger Vorankündigung  
短期通告查察

**11.8. Random inspection**

تفتيش عشوائي  
随机视察  
Inspection aléatoire  
Инспекция на случайной основе  
Inspección aleatoria  
Zufällig ausgewählte Inspektion  
ランダム査察

**11.9. Short notice random inspection (SNRI)**

تفتيش عشوائي باخطار عاجل  
临时通知的随机视察 (SNRI)  
Inspection aléatoire à court délai de préavis  
Инспекция на случайной основе с краткосрочным уведомлением  
(SNRI)  
Inspección aleatoria con breve preaviso (SNRI)  
Zufällig ausgewählte Inspektion mit kurzfristiger Vorankündigung  
短期通告ランダム査察 ( S N R I )

**11.10. Limited frequency unannounced access (LFUA)**

معاينة مفاجئة محدودة التواتر  
有限频度不通知的接触 (LFUA)  
Accès inopiné à fréquence limitée  
Ограниченный по частоте необъявленный доступ (LFUA)  
Acceso no anunciado de frecuencia limitada (LFUA)  
In der Häufigkeit beschränkter, nicht angekündigter Zugang  
頻度限定無通告立入 ( L F U A )

**11.11. Simultaneous inspections**

عمليات تفتيش متزامنة  
同时视察  
Inspections simultanées  
Одновременные инспекции  
Inspecciones simultáneas  
Gleichzeitige Inspektionen  
同時査察

**11.12. Continuous inspection**

تفتيش مستمر

连续视察

Inspection en continu

Непрерывная инспекция

Inspección continua

Kontinuierliche Inspektion

常時（常駐）査察

**11.13. Special inspection**

تفتيش خاص

专门视察

Inspection spéciale

Специальная инспекция

Inspección especial

Sonderinspektion

特別査察

**11.14. Access for inspection**

المعاينة لأغراض التفتيش

视察接触

Accès aux fins d'inspection

Доступ для инспектирования

Acceso con fines de inspección

Zugang zu Inspektionszwecken

査察のためのアクセス

**11.15. Scope of inspection**

نطاق التفتيش

视察范围

Portée des inspections

Объем инспекции

Alcance de la inspección

Umfang einer Inspektion

査察の範囲

**11.16. Frequency of inspection**

تواتر التفتيش

视察频度

Fréquence des inspections

Частота инспекций

Frecuencia de las inspecciones

Häufigkeit der Inspektionen

査察の頻度

- 11.17. Advance notice of inspections and visits**  
 اخطار مسبق بعمليات تفتيش وزيارات  
 视察和访问的预先通知  
 Préavis pour les inspections et visites  
 Предварительное уведомление об инспекциях и посещениях  
 Aviso anticipado de las inspecciones y visitas  
 Vorankündigung von Inspektionen und Besuchen  
 査察及び訪問の事前通告
- 11.18. Inspection activities**  
 أنشطة التفتيش  
 视察活动  
 Activités d'inspection  
 Инспекционная деятельность  
 Actividades de inspección  
 Inspektionstätigkeiten  
 査察活動
- 11.19. IAEA inspector**  
 مفتش تابع للوكالة الدولية للطاقة الذرية  
 原子能机构视察员  
 Inspecteur de l'AIEA  
 Инспектор МАГАТЭ  
 Inspector del OIEA  
 IAEO-Inspektor  
 I A E A 査察員
- 11.20. Person-day (man-day) of inspector (PDI)**  
 شخص-يوم (رجل-يوم) تفتيش  
 视察人・日 (PDI)  
 Journée d'inspecteur  
 Человеко-день инспекции (ЧДИ)  
 Día-persona de inspección (DPI)  
 Inspektions-Personentag (-Manntag)  
 査察人 日 ( P D I )
- 11.21. Person-year (man-year) of inspection**  
 شخص-سنة (رجل-سنة) تفتيش  
 视察人・年  
 Année d'inspection  
 Человеко-год инспекций  
 Año-persona de inspección  
 Inspektions-Personenjahr (-Mannjahr)  
 査察人 年

**11.22. Actual routine inspection effort (ARIE)**

جهد التفتيش الروتيني الفعلي

实际例行视察量 (ARIE)

Activité réelle d'inspection régulière (ARIR)

Реальный объем обычной инспекционной деятельности (ARIE)

Actividad real de inspección ordinaria (ARIO)

Tatsächlicher Routine-Inspektionsaufwand

实际通常查察業務量 (A R I E)

**11.23. Planned actual routine inspection effort (PLARIE)**

جهد التفتيش الروتيني الفعلي المخطط

计划的实际例行视察量 (PLARIE)

Activité réelle d'inspection régulière prévue (ARIRP)

Запланированный реальный объем обычной инспекционной деятельности (PLARIE)

Actividad real de inspección ordinaria programada (ARIOP)

Geplanter tatsächlicher Routine-Inspektionsaufwand

計画实际通常查察業務量 (P L A R I E)

**11.24. Maximum routine inspection effort (MRIE)**

جهد التفتيش الروتيني الأقصى

最大例行视察量 (MRIE)

Activité maximale d'inspection régulière (AMIR)

Максимальный объем обычной инспекционной деятельности (MRIE)

Actividad máxima de inspección ordinaria (AMIO)

Maximaler Routine-Inspektionsaufwand

最大通常查察業務量 (M R I E)

**11.25. Complementary access**

معاينة تكميلية

补充接触

Accès complémentaire

Дополнительный доступ

Acceso complementario

Erweiterter Zugang

補完的なアクセス

**11.26. Managed access**

معاينة محكومة

受管接触

Accès réglementé

Регулируемый доступ

Acceso controlado

Geregelter Zugang  
管理されたアクセス

**11.27. Location**

مكان  
場所  
Emplacement  
Место нахождения  
Lugar  
Ort  
場所

**11.28. Site**

موقع  
场址  
Site  
Площадка  
Emplazamiento  
Standort  
サイト

**11.29. Place (on a site or location)**

موضع  
..... (场址或场所的) 地点  
Endroit (d'un site ou d'un emplacement)  
Место (на площадке или в месте нахождения)  
Sitio (en un emplazamiento o lugar)  
Stelle (eines Standorts oder eines Ortes)  
(サイトまたは場所の) 箇所

**11.30. Advance notice of complementary access**

اخطار مسبق بمعاينة تكميلية  
补充接触的预先通知  
Préavis d'accès complémentaire  
Предварительное уведомление о дополнительном доступе  
Aviso anticipado de acceso complementario  
Vorankündigung für erweiterten Zugang  
补充的なアクセスの事前通告

**11.31. Complementary access activities**

أنشطة المعاينة التكميلية  
补充接触活动  
Activités au titre de l'accès complémentaire  
Деятельность в рамках дополнительного доступа

Actividades de acceso complementario  
Tätigkeiten während des erweiterten Zugangs  
補完的なアクセスの活動

## 12. **Safeguards Information and Evaluation**

المعلومات الرقابية والتقييم الرقابي  
保障資料和评价

Informations relatives aux garanties et évaluation des garanties

Информация об осуществлении гарантий и оценка гарантий

Información y evaluación con fines de salvaguardias

Auf Sicherungsmaßnahmen bezogene Information und deren Auswertung

保障措置情報及び評価

### 12.1. **Safeguards information**

المعلومات الرقابية

保障資料

Informations relatives aux garanties

Информация об осуществлении гарантий

Información sobre salvaguardias

Informationen über Sicherungsmaßnahmen

保障措置情報

### 12.2. **Initial report**

التقرير البدئي

初始报告

Rapport initial

Первоначальный отчет

Informe inicial

Anfangsbericht

冒頭報告

### 12.3. **Routine report**

التقرير الروتيني

例行报告

Rapport régulier

Обычный отчет

Informe ordinario

Regelmäßiger Bericht

通常報告

### 12.4. **Accounting report**

تقرير الحصر

衡算报告

Rapport comptable



Учетный отчет  
Informe contable  
Buchungsbericht  
計量報告

**12.5. Inventory change report (ICR)**

تقرير التغير في الرصيد  
存量变化报告 (ICR)  
Rapport sur les variations de stock (RVS)  
Отчет об изменениях инвентарного количества (ICR)  
Informe de cambios en el inventario (ICR)  
Bestandsänderungsbericht  
在庫變動報告 ( I C R )

**12.6. Concise notes**

مذكرات مقتضبة  
简明记录  
Notes concises  
Краткие справки  
Notas concisas  
Kurzgefaßte Bemerkung  
注釈

**12.7. Material balance report (MBR)**

تقرير حصر المواد  
材料平衡报告 (MBR)  
Rapport sur le bilan matières (RBM)  
Материально-балансовый отчет (MBR)  
Informe de balance de materiales (MBR)  
Materialbilanzbericht  
物質収支報告 ( M B R )

**12.8. Physical inventory listing (PIL)**

قائمة الجرد المادي  
实物存量报表 (PIL)  
Liste des articles du stock physique (PIL)  
Список фактически наличного количества (PIL)  
Lista del inventario fisico (PIL)  
Aufstellung des realen Material-Bestands  
实在庫明細表 ( P I L )

**12.9. Operating report**

تقرير التشغيل  
运行报告

Rapport sur les opérations  
Эксплуатационный отчет  
Informe de operaciones  
Betriebsbericht  
操作報告

**12.10. Special report**

تقرير خاص  
专门报告  
Rapport spécial  
Специальный отчет  
Informe especial  
Besonderer Bericht  
特別報告

**12.11. Notification of transfers**

اشعار بعمليات نقل  
运输通知  
Notification de transferts  
Уведомление о передачах  
Notificación de transferencias  
Mitteilung über Transfers (Einfuhr oder Ausfuhr)  
移転の通告

**12.12. Confirmation of transfers**

تأكيد عمليات نقل  
运输确认  
Confirmation de transferts  
Подтверждение передач  
Confirmación de transferencias  
Bestätigung von Transfers (Einfuhr oder Ausfuhr)  
移転の確認

**12.13. Voluntary reports on nuclear material, specified equipment and non-nuclear material**

تقارير طوعية عن مواد نووية ومعدات محددة ومواد غير نووية  
关于核材料、规定设备和非核材料的自愿报告  
Rapports volontaires sur les matières nucléaires et les équipements et matières non nucléaires spécifiés  
Добровольные отчеты о ядерном материале, согласованном оборудовании и неядерном материале  
Informes voluntarios sobre materiales nucleares y equipo y materiales no nucleares especificados

Freiwilliger Bericht über Nuklearmaterial, spezifizierte Ausrüstung und nicht-nukleares Material  
核物質、特定機器及び非核物質に関する自発的報告

**12.14. Declaration pursuant to an additional protocol**

اعلان بموجب بروتوكول اضافي  
按照附加议定书申报  
Déclaration en application d'un protocole additionnel  
Заявление [государства] в связи с дополнительным протоколом  
Declaración presentada con arreglo a un protocolo adicional  
Erklärung gemäß dem Zusatzprotokoll  
追加議定書に基づく申告

**12.15. Open source information**

معلومات من مصادر مفتوحة  
公开来源的资料  
Informations provenant de sources librement accessibles  
Информация из открытых источников  
Información de fuentes de libre acceso  
Information aus offenen Quellen  
公開情報

**12.16. Illicit Trafficking Database**

قاعدة البيانات الخاصة بالاتجار غير المشروع  
非法贩卖数据库  
Base de données sur le trafic illicite  
База данных по незаконному обороту  
Base de datos sobre tráfico ilícito  
Datenbank über illegalen Handel  
違法（不法）取引データベース

**12.17. IAEA Safeguards Information System (ISIS)**

نظام المعلومات الرقابية التابع للوكالة الدولية للطاقة الذرية  
原子能机构保障信息系统（ISIS）  
Système d'information relatif aux garanties de l'AIEA (SIG)  
Информационная система МАГАТЭ по гарантиям (ИСИС)  
Sistema OIEA de Información sobre Salvaguardias (ISIS)  
Informationssystem der IAEO-Sicherungsmaßnahmen  
IAEA 保障措置情報システム（ISIS）

**12.18. IAEA confidentiality regime**

نظام السرية التابع للوكالة الدولية للطاقة الذرية  
原子能机构保密制度  
Régime de confidentialité de l'AIEA

Режим конфиденциальности в МАГАТЭ  
Régimen de confidencialidad del OIEA  
IAEO-System zum Schutz vertraulicher Informationen  
I A E A 機密保護（保持）体制

**12.19. Safeguards State file**

ملف الضمانات الخاص بالدولة

国家保障档案

Dossier sur l'application des garanties dans un État

Файл по государству для целей гарантий

Archivo de salvaguardias de un Estado

Staats-spezifische Information bezüglich Sicherungsmaßnahmen

保障措置国別ファイル

**12.20. Safeguards State evaluation**

تقييم المعلومات الرقابية الخاصة بالدولة

国家保障评价

Évaluation des garanties au niveau de l'État

Оценка гарантий в государстве

Evaluación de salvaguardias a nivel de un Estado

Staats-spezifische Auswertung von Sicherungsmaßnahmen

保障措置国別評価

**12.21. Physical model of a nuclear fuel cycle**

نموذج مادي لدورة الوقود النووي

核燃料循环的物理模型

Modèle physique d'un cycle du combustible nucléaire

Физическая модель ядерного топливного цикла

Modelo físico del ciclo del combustible nuclear

Physikalisches Modell eines Kernbrennstoffkreislaufes

核燃料サイクル物理モデル（核燃料サイクル フィジカル モデル）

**12.22. Process indicator**

مؤشر عملية

工艺指标

Indicateur de procédé

Индикатор процесса

Indicador del proceso

(Prozeßindikator) Hinweis auf einen Prozess

プロセス指標

**12.23. Safeguards effectiveness evaluation**

تقييم فعالية الضمانات

保障有效性评价

Évaluation de l'efficacité des garanties

Оценка действенности гарантий

Evaluación de la eficacia de las salvaguardias

Auswertung der Wirksamkeit von Sicherungsmaßnahmen

保障措置有効性評価

**12.24. Safeguards State evaluation report**

تقرير تقييم الضمانات الخاص بالدولة

国家保障评价报告

Rapport d'évaluation des garanties au niveau de l'État

Отчет об оценке гарантий в государстве

Informe sobre las evaluaciones de salvaguardias a nivel de los Estados

Bericht über die staats-spezifische Auswertung von Sicherungsmaßnahmen

保障措置国別評価報告

**12.25. Safeguards conclusions**

استنتاجات الضمانات

保障结论

Conclusions relatives aux garanties

Выводы в связи с осуществлением гарантий

Conclusiones sobre las salvaguardias

Schlußfolgerungen aus Sicherungsmaßnahmen

保障措置結論

**13. Reporting on Safeguards Implementation**

تقديم التقارير عن تنفيذ الضمانات

报告保障执行情况

Rapports sur l'application des garanties

Отчетность об осуществлении гарантий

Presentación de informes sobre la aplicación de las salvaguardias

Berichterstattung über die Anwendung von Sicherungsmaßnahmen

保障措置の実施に関する報告

**13.1. Reporting on design information examination and verification**

تقديم تقرير عن فحص المعلومات الرقابية والتحقق منها

报告设计资料审查和核实情况

Présentation de rapports sur l'examen et la vérification des renseignements

Сообщение об изучении и проверке информации о конструкции

Presentación de informes sobre el examen y la verificación de la información sobre el diseño

Berichterstattung über die Prüfung und Nachprüfung (Verifikation) von  
Anlagedaten

設計情報の検査及び検認に関する報告

**13.2. Statement on Inspection Results (90(a) Statement)**

بيان عن نتائج التفتيش (البيان 90(أ))

视察结果说明（报表 90(a)）

Déclaration sur les résultats des inspections (déclaration 90 (a))

Заявление о результатах инспекции (заявление 90 а))

Declaración sobre los resultados de las inspecciones (Declaración con arreglo al apartado a) del párrafo 90)

Erklärung über die Ergebnisse der Inspektionen (Nachprüfungstätigkeiten)

查察結果に関する通報（90(a)通報）

**13.3. Statement on Conclusions (90(b) Statement)**

بيان عن الاستنتاجات (البيان 90(ب))

结论说明（报表 90(b)）

Déclaration sur les conclusions (déclaration 90 (b))

Заявление о выводах (заявление 90 b))

Declaración sobre conclusiones (Declaración con arreglo al apartado b) del párrafo 90)

Erklärung über die Schlußfolgerungen aus den Inspektionen  
(Nachprüfungstätigkeiten)

結論に関する通報（90(b)通報）

**13.4. Book inventory statement**

بيان الجرد الدفئري

帳面存量说明

Déclaration sur le stock comptable

Заявление о зарегистрированном инвентарном количестве

Declaración sobre el inventario contable

Erklärung des Buchbestandes

帳簿在庫通報

**13.5. Communication on domestic and international transfers**

تبليغ عن عمليات النقل المحلية والدولية

关于国内和国际运输的通报

Communication sur les transferts intérieurs et internationaux

Сообщение о внутригосударственных и международных передачах

Comunicación sobre las transferencias nacionales e internacionales

Mitteilungen betreffend inländische sowie internationale Transfers

国内及び国際移転に関する交信

**13.6. Statement on domestic and international transfers**

بيان عن عمليات النقل المحلية والدولية

关于国内和国际运输的说明

Déclaration sur les transferts intérieurs et internationaux

Заявление о внутригосударственных и международных  
передачах

Declaración sobre las transferencias nacionales e internacionales

Erklärung über inländische und internationale Transfers

国内及び国際移転に関する通報

**13.7. Statement of timeliness in reporting**

بيان عن التأخير في التبليغ

提出报告的及时性说明

Déclaration sur les délais de présentation des rapports

Заявление о своевременности представления отчетности

Declaración sobre la puntualidad en la presentación de los  
informes

Erklärung über die Rechtzeitigkeit der Berichterstattung

報告の適時性に関する通報

**13.8. Reporting on inspections under an INFCIRC/66-type safeguards agreement**

تقرير عن عمليات التفتيش التي تجرى بموجب اتفاق ضمانات من النوع  
INFCIRC/66

根据 INFCIRC/66 型保障协定的视察结果通报

Présentation de rapports sur les inspections en vertu d'un accord de  
garanties du type INFCIRC/66

Сообщение об инспекциях в рамках соглашений о гарантиях на основе  
документа INFCIRC/66

Informes sobre las inspecciones realizadas con arreglo a un acuerdo de  
salvaguardias tipo INFCIRC/66

Berichterstattung über Inspektionen gemäß Übereinkommen über  
Sicherungsmaßnahmen nach dem INFCIRC/66-Modell

I N F C I R C / 6 6 型保障措置協定に基づく査察報告

**13.9. Statements under an additional protocol**

بيان بموجب بروتوكول اضافي

根据附加议定书所作的说明

Déclarations en vertu d'un protocole additionnel

Заявления [МАГАТЭ] в связи с дополнительным протоколом

Declaraciones presentadas con arreglo a un protocolo adicional

Erklärungen gemäß Zusatzprotokoll

追加議定書に基づく通報

**13.10. Safeguards Implementation Report (SIR)**

تقرير تنفيذ الضمانات

保障执行情况报告 (SIR)

Rapport sur l'application des garanties (SIR)

Доклад об осуществлении гарантий (ДОГ)

Informe sobre la aplicación de las salvaguardias (IAS)

Bericht über die Durchführung von IAEO-Sicherungsmaßnahmen

保障措置実施報告書 (S I R)

**13.11. IAEA Annual Report**

التقرير السنوي للوكالة الدولية للطاقة الذرية

原子能机构年度报告

Rapport annuel de l'AIEA

Ежегодный доклад МАГАТЭ

Informe Anual del OIEA

Jahresbericht der IAEO

I A E A 年次報告書



## INDEX

Numerals in bold type refer to the terms defined and explained; numerals in normal type refer to related terms.

ABACC (Brazilian–Argentine Agency for Accounting and Control of Nuclear Materials)	1.7, 1.17, 1.19
abrupt diversion	3.10
absence of undeclared nuclear material and activities, assurance of	2.1, 2.5, 2.8, <b>2.9</b> , 3.4, 3.5, 12.20, 12.25, 13.10
acceptable C/S results	8.8
access, complementary	1.15, 1.22, 3.6, <b>11.25</b> , 11.26, 11.27, 11.28, 11.29, 11.30, 11.31, 12.1, 13.9
access for inspection	3.9, 3.26, 6.1, 11.2, <b>11.14</b>
access, limited frequency unannounced (LFUA)	5.20, <b>11.10</b>
access, managed	1.15, 1.22, 3.6, 11.25, <b>11.26</b> , 11.27, 11.28, 11.29, 11.31, 13.9
accidental gain	6.14, <b>6.18</b> , 6.41
accidental loss	6.14, 6.26, 6.31
account	<b>6.38</b>
account balance	<b>6.39</b>
accountancy, international standards of	<b>6.35, Table III</b> , 6.36, 10.1
accountancy, near real time (NRTA)	6.1, <b>6.3</b> , 6.56
accountancy, nuclear material	3.6, <b>6.1</b>
accountancy verification methods, IAEA	<b>6.1, 6.56</b>
accounting, nuclear material	<b>6.2</b>
accounting records	6.1, <b>6.30</b> , 6.48
accounting report	6.1, 12.1, <b>12.4</b> , 12.5, 12.6, 12.7, 12.8, 13.4, 13.7
accuracy, limits of	10.19
acquisition path analysis	3.4, 3.6, 3.8, <b>3.12</b> , 12.21
acquisition strategy (acquisition path)	2.5, 2.6, 3.4, 3.7, <b>3.8</b> , 3.12
active assay	7.24
active well coincidence counter (AWCC)	7.24, 7.30
activities, complementary access	1.15, 1.22, 11.25, 11.27, <b>11.31</b>
activities, inspection	11.2, <b>11.18</b>
activities, undeclared	2.1, <b>2.5</b> , 2.9, 12.20, 12.25
actual routine inspection effort (ARIE)	<b>11.22</b> , 11.23
actual routine inspection effort, planned (PLARIE)	11.22, <b>11.23</b>

ad hoc inspection	11.2, <b>11.4</b>
additional protocol	1.15, <b>1.22</b> , 2.1, 3.5, 3.6, 12.14, 12.20, 12.25, 13.9
additional protocol, declaration pursuant to an	1.15, 1.22, 4.40, 5.2, 5.33, 12.1, <b>12.14</b> , 12.20, 12.25, 13.9
additional protocol, statements under adjustment	1.15, 1.22, <b>13.9</b> <b>6.28</b> , 6.30
advance notice of complementary access	1.15, 1.22, 11.25, <b>11.30</b>
advance notice of inspections and visits	11.1, 11.2, 11.6, <b>11.17</b>
advanced gas cooled reactor (AGR)	5.11
African Nuclear-Weapon-Free Zone Treaty (Pelindaba Treaty)	<b>1.6</b>
Agency's Inspectorate (Inspectors' Document)	<b>1.12</b>
Agency's Safeguards System (1965, as Provisionally Extended in 1966 and 1968) (Safeguards Document)	<b>1.13</b>
AGR (advanced gas cooled reactor)	5.11
Agreement between the Republic of Argentina and the Federative Republic of Brazil for the Exclusively Peaceful Use of Nuclear Energy (Guadalajara Declaration)	<b>1.7</b>
agreement, bilateral co-operation	<b>1.9</b> , 1.20
Agreement on the Privileges and Immunities of the IAEA	<b>1.16</b>
agreement, project and supply	<b>1.10</b> , 1.20
agreement, safeguards	<b>1.17</b>
agreement, voluntary offer (VOA)	<b>1.21</b>
alpha spectrometry	<b>7.23</b>
alternative hypothesis	10.25
alternative nuclear material	4.18, 4.19
americium	<b>4.18</b>
analysis, acquisition path	3.4, 3.6, 3.8, <b>3.12</b> , 12.21
analysis, destructive (DA)	6.36, <b>7.13</b>
analysis, diversion path	3.7, <b>3.11</b> , 8.7
analysis, fission track	<b>9.16</b>
analysis, gravimetric	<b>7.16</b>
analysis, particle	<b>9.15</b>
annual throughput	<b>3.19</b>
anomaly	2.3, 2.4, 3.22, 3.25, <b>3.26</b> , 3.28, 6.1, 11.14
ARIE (actual routine inspection effort)	<b>11.22</b> , 11.23

arithmetical correctness	<b>6.27</b>
assay	<b>7.12</b> , 7.24
assay, non-destructive (NDA)	6.36, 7.12, 7.13, <b>7.24</b> , 8.15
assembly, critical	<b>5.14</b>
assembly, subcritical	<b>5.15</b>
assurance of non-diversion of nuclear material	2.1, 2.3, <b>2.8</b> , 12.20, 12.25, 13.10
assurance of the absence of undeclared nuclear material and activities	2.1, 2.5, 2.8, <b>2.9</b> , 3.4, 3.5, 12.20, 12.25, 13.10
attachment, facility	1.26
attachment for location outside facilities (LOF)	1.26, 5.25
attachment for material balance area outside facilities	1.26
attributes test	6.56, 10.7, <b>10.30</b>
auditing activities	6.48
authentication	8.15, <b>8.22</b>
AWCC (active well coincidence counter)	7.24, 7.30
Bangkok Treaty (Treaty on the Southeast Asia Nuclear Weapon-Free Zone)	
	<b>1.5</b>
baseline environmental signature	9.1, <b>9.9</b>
baseline sampling	9.1, 9.9
batch	<b>6.7</b> , 6.8
batch data	6.7, <b>6.8</b> , 12.5, 12.7
BE (boron equivalent)	4.41
bias (systematic error)	10.14, <b>10.16</b> , 10.17
bias correction	10.16, 10.17
bias defect	6.56, 10.7
bias, residual	<b>10.17</b>
bilateral co-operation agreement	<b>1.9</b> , 1.20
boiling water reactor (BWR)	5.8
book balance period	6.47
book inventory (of a material balance area)	<b>6.40</b> , 6.43, 6.49, 13.4
book inventory, IAEA updating of	6.1, <b>6.49</b>
book inventory statement	6.40, <b>13.4</b>
boron equivalent (BE)	4.41
borrowing of nuclear material	3.9
bulk analysis	<b>9.14</b>
bulk handling facility	5.26, <b>5.28</b>
bulk material	4.27
bulk measurement	6.36, <b>7.5</b>
bundle counter, spent fuel	8.19

burnup	4.21, 6.22
BWR (boiling water reactor)	5.8
calibration	6.31, 6.33, <b>7.1</b>
calorimetry	<b>7.11</b>
CANDU (Canadian deuterium uranium) reactor	5.10
capability, C/S technical	<b>8.9</b>
categorization of installations	<b>5.4</b>
CDM (core discharge monitor)	<b>8.18</b>
Cerenkov radiation detection	<b>7.32</b>
certified reference material	7.2
chemical titration	7.14
Clean Laboratory for Safeguards, IAEA	7.33, <b>9.12</b>
closed-down facility (or closed-down location outside facilities)	5.25, 5.29, <b>5.30</b>
closing of material balance	6.1, 6.43, 10.1
coefficient of variation	10.13
coincidence counting, neutron	7.24, <b>7.30</b>
communication on domestic and international transfers	<b>13.5</b>
comparison of records with reports	6.48
complementary access	1.15, 1.22, 3.6, <b>11.25</b> , 11.26, 11.27, 11.28, 11.29, 11.30, 11.31, 12.1, 13.9
complementary access activities	1.15, 1.22, 11.25, 11.27, <b>11.31</b>
complementary access, advance notice of	1.15, 1.22, 11.25, <b>11.30</b>
component, fuel	<b>4.38</b>
composite sample	9.1, <b>9.6</b>
comprehensive safeguards agreement (CSA)	1.17, 1.18, <b>1.19</b>
concealment methods	3.7, 3.8, <b>3.9</b> , 6.2, 8.1, 10.4, 10.5, 10.6
concentration plants, uranium and thorium	5.16
concise notes	12.4, 12.5, <b>12.6</b>
conclusion, safeguards technical	10.1, 12.25, 13.3
conclusions, safeguards	2.8, 2.9, 3.4, 3.5, 12.20, <b>12.25</b> , 13.10
confidence interval	<b>10.20</b>
confidence level	<b>10.22</b>
confidence limits	6.43, <b>10.21</b>
confidentiality regime, IAEA	12.1, <b>12.18</b>
confirmation of transfers	<b>12.12</b>

containment	<b>8.1</b> , 8.5
containment/surveillance device (C/S device)	<b>8.3</b> , 8.5
containment/surveillance measures (C/S measures)	3.6, <b>8.6</b>
containment/surveillance measures, system of (C/S system)	3.7, <b>8.7</b>
containment/surveillance results (C/S results)	8.7, <b>8.8</b> , 8.12
containment/surveillance technical capability (C/S technical capability)	<b>8.9</b>
continuity of knowledge	8.1, 8.5, 8.6, 11.12, 11.24
continuous inspection	11.2, <b>11.12</b>
control sample	9.1, <b>9.7</b>
controlled potential coulometry	<b>7.15</b> , 7.33
Convention on the Physical Protection of Nuclear Material	1.31
conversion plant	<b>5.17</b>
conversion time	<b>3.13</b> , <b>Table I</b>
co-operation protocol	<b>1.25</b>
core discharge monitor (CDM)	<b>8.18</b>
correction	<b>6.29</b>
correctness, arithmetical	<b>6.27</b>
coulometry, controlled potential	<b>7.15</b>
coverage of IAEA safeguards	<b>2.10</b>
Criteria, Safeguards	<b>3.21</b> , 3.22, 12.23
critical assembly	<b>5.14</b>
critical masses	3.14
critical region	10.25, <b>10.32</b>
criticality check	6.56
cross-contamination	<b>9.8</b>
C/S device (containment/surveillance device)	<b>8.3</b> , 8.5
C/S measures (containment/surveillance measures)	3.6, <b>8.6</b>
C/S results (containment/surveillance results)	8.7, <b>8.8</b> , 8.12
C/S system (system of containment and surveillance measures)	3.7, <b>8.7</b>
C/S system, dual	8.7
C/S system, single	8.7
C/S technical capability (containment/surveillance technical capability)	<b>8.9</b>
CSA (comprehensive safeguards agreement)	1.17, 1.18, <b>1.19</b>
cumulative MUF	6.43, <b>6.44</b>
cumulative SRD	6.45, <b>6.46</b>

D statistic (operator–inspector difference)	6.43, 10.1, <b>10.3</b> , 10.6
DA (destructive analysis)	6.36, <b>7.13</b>
database, illicit trafficking	12.1, <b>12.16</b>
de minimus quantities (for transit matching)	13.5
declaration pursuant to an additional protocol	1.15, 1.22, 4.40, 5.2, 5.33, 12.1, <b>12.14</b> , 12.20, 12.25, 13.9
decommissioned facility (or decommissioned location outside facilities)	5.25, 5.29, <b>5.31</b>
decreases (inventory changes)	6.14
de-exemption	6.14, <b>6.19</b>
defect	6.56, <b>10.7</b>
densitometry, K-edge	<b>7.18</b>
depleted uranium	<b>4.10</b> , <b>4.26</b>
depletion	<b>4.21</b>
design information	3.2, <b>3.28</b> , 3.29, 3.30, 3.31, 12.1, 13.1
design information examination (DIE)	3.3, 3.28, <b>3.29</b> , 3.31, 13.1
design information examination and verification, reporting on	3.28, 3.29, 3.30, <b>13.1</b>
design information questionnaire (DIQ)	3.28
design information verification (DIV)	3.28, <b>3.30</b> , 3.31, 5.29, 13.1
design information verification plan (DIVP)	3.28, 3.29, 3.30, <b>3.31</b> , 5.29, 13.1
destructive analysis (DA)	6.36, <b>7.13</b>
detection goal, IAEA timeliness	3.10, <b>3.20</b> , 4.24, 11.16
detection probability	2.3, <b>3.16</b>
detection time	2.3, <b>3.15</b>
detection, timely	2.1, 2.3
detector, scintillation	<b>7.27</b>
detector, semiconductor	<b>7.28</b>
deterrence of diversion	2.1, 2.3, <b>2.7</b>
deuterium	4.40, <b>4.42</b>
DIE (design information examination)	3.3, 3.28, <b>3.29</b> , 3.31, 13.1
difference, operator–inspector	6.43, 10.1, <b>10.3</b> , 10.6
difference, shipper/receiver (SRD)	<b>6.45</b> , 6.46, 10.1, 10.5
DIQ (design information questionnaire)	3.28
direct use material	3.14, Table II, <b>4.25</b>
discard, measured	6.14, <b>6.23</b>
discrepancy	<b>3.25</b> , 3.26, 8.6
DIV (design information verification)	3.28, <b>3.30</b> , 3.31, 5.29, 13.1
diversion, abrupt	3.10
diversion into D	3.9, 10.1, 10.3, <b>10.6</b>

diversion into MUF	3.9, 6.43, 10.1, <b>10.4</b>
diversion into SRD	3.9, 6.45, 10.1, <b>10.5</b>
diversion of nuclear material	2.1, 2.2, <b>2.3</b> , 3.7, 3.11
diversion path analysis	3.7, <b>3.11</b> , 8.7
diversion, protracted	3.10
diversion rate	<b>3.10</b>
diversion strategy (diversion path)	<b>3.7</b> , 3.11, 8.7
DIVP (design information verification plan)	3.28, 3.29, 3.30, <b>3.31</b> , 5.29, 13.1
domestic and international transfers, communication on	<b>13.5</b>
domestic receipt	2.11, 6.14, <b>6.16</b>
domestic shipment	6.14, <b>6.21</b>
dual C/S system	8.7
dual use item, nuclear related	1.29, <b>5.34</b>
EEL (essential equipment list)	3.29, <b>3.32</b>
effective kilogram (ekg)	<b>4.30</b>
effectiveness evaluation, safeguards	2.1, 3.21, 3.22, <b>12.23</b> , 12.25, 13.10
ekg (effective kilogram)	<b>4.30</b>
element code	<b>6.11</b>
encryption	8.15, <b>8.23</b>
enriched uranium	4.5, <b>4.11</b>
enrichment	<b>4.20</b>
enrichment plant (or isotope separation plant)	<b>5.20</b> , 11.10
environmental sampling (ES)	<b>9.1</b>
environmental sampling, location specific	9.1, <b>9.2</b>
environmental sampling, wide area	9.1, <b>9.3</b>
environmental signature, baseline	9.1, <b>9.9</b>
equipment list, essential (EEL)	3.29, <b>3.32</b>
equipment, specified	1.27, <b>5.33</b> , 12.13, 12.14
equipment state of health data	<b>8.24</b>
error	<b>10.14</b> , 10.15, 10.16
error, limits of	<b>10.19</b> , 10.20
error, measurement	10.3, 10.14, 10.15, 10.16, 10.24
error propagation	<b>10.18</b>
error, random	10.14, <b>10.15</b>
error, systematic	10.14, <b>10.16</b> , 10.17
error, type I	3.17, 10.25, <b>10.27</b>
error, type II	3.16, 10.25, <b>10.28</b>
ES (environmental sampling)	<b>9.1</b>

essential equipment list (EEL)	3.29, <b>3.32</b>
estimated material conversion times	<b>3.13, Table I</b>
Euratom Treaty (Treaty Establishing the European Atomic Energy Community)	<b>1.8</b>
evaluation, material balance	6.35, 6.42, 6.43, 6.45, 6.46, <b>10.1</b> , 10.2, 10.3
evaluation, safeguards effectiveness	2.1, 3.21, 3.22, <b>12.23</b> , 12.25, 13.10
evaluation, safeguards State	12.1, 12.19, <b>12.20</b> , 12.21, 12.22, 12.24, 12.25
examination of accounting records	6.1, 6.30, 6.48
examination of operating records	6.1, 6.31, 6.48
examination of records, IAEA	6.1, <b>6.48</b>
exemption (of nuclear material)	2.13, 6.14, <b>6.24</b>
exemption from IAEA safeguards	<b>2.13</b> , 6.14, 6.24
expected measurement uncertainty	<b>6.35, Table III</b>
export	6.14, <b>6.15</b> , 12.11, 12.12, 13.5, 13.6
export account	13.6
export policies and practices (of NSG States)	1.29
fabrication plant, fuel	<b>5.18</b>
facility	<b>5.24</b>
Facility Attachment	1.26
facility, bulk handling	5.26, <b>5.28</b>
facility, item	5.26, <b>5.27</b>
facility life cycle	3.30, <b>5.29</b>
facility practices	3.3, <b>3.27</b>
facility, principal nuclear	5.24
facility safeguards approach	3.1, <b>3.3</b>
facility safeguards approach, model (generic)	3.1, <b>3.2</b> , 3.6, 3.22, 3.27, 3.28, 3.33
facility type	<b>5.26</b>
facility, undeclared	<b>2.6</b>
false alarm probability	<b>3.17</b> , 3.25, 3.26, 10.27
fast reactor	<b>5.12</b>
feed material	<b>4.31</b>
fertile material	<b>4.7</b>
fission track analysis	<b>9.16</b>
fissionable material	<b>4.6</b>
fissionable material, special	<b>4.5</b>



fork detector system	7.29
frequency of inspection	3.20, <b>11.16</b>
fuel assembly	4.37
fuel bundle	4.37
fuel component	<b>4.38</b>
fuel cycle, nuclear	<b>5.1</b> , 12.21
fuel element (fuel assembly, fuel bundle)	<b>4.37</b>
fuel fabrication plant	<b>5.18</b>
fuel rod	4.37
gain, accidental	6.14, <b>6.18</b> , 6.41
gamma ray scanning	<b>7.26</b>
gamma ray spectrometry	<b>7.25</b>
gas centrifuge (enrichment plant)	5.20, 11.10
gas mass spectrometry	7.20, <b>7.21</b>
General Part (of Subsidiary Arrangements)	1.26
geological repository	<b>5.32</b>
goal, IAEA inspection	3.15, <b>3.22</b> , 3.23, 3.24, 3.26, 12.23
graphite moderated reactor	5.11
graphite, nuclear grade	4.40, <b>4.41</b>
gravimetric analysis	<b>7.16</b>
gross defect	6.56, 10.7
Guadalajara Declaration (Agreement between the Republic of Argentina and the Federative Republic of Brazil for the Exclusively Peaceful Use of Nuclear Energy)	<b>1.7</b>
guidelines for nuclear transfers	1.29, 5.34
Guidelines for the Management of Plutonium	<b>1.30</b>
guidelines for transfer of nuclear related dual use equipment, materials, software and related technology	1.29, 5.34
Guidelines, Nuclear Suppliers' Group	<b>1.29</b> , 5.34
heavy water	4.40, <b>4.42</b> , 5.33
heavy water production plant	4.40, <b>4.42</b> , <b>5.23</b> , 5.33
heavy water reactor (HWR)	<b>5.10</b>
HEU (high enriched uranium)	4.5, <b>4.13</b> , 4.25
high enriched uranium (HEU)	4.5, <b>4.13</b> , 4.25
high level neutron coincidence counter (HLNCC)	7.24, 7.30
high resolution gamma ray spectrometry	7.25

high temperature gas cooled reactor (HTGR)	5.11
HLNCC (high level neutron coincidence counter)	7.24, 7.30
hold-up	<b>4.36</b> , 6.56
HTGR (high temperature gas cooled reactor)	5.11
HWR (heavy water reactor)	<b>5.10</b>
hypothesis, null	10.25, 10.26, 10.27, 10.28
hypothesis, test of	<b>10.25</b> , 10.27, 10.28, 10.29, 10.32
IAEA accountancy verification methods	6.1, <b>6.56</b>
IAEA Annual Report	<b>13.11</b>
IAEA Clean Laboratory for Safeguards	7.33, <b>9.12</b>
IAEA confidentiality regime	12.1, <b>12.18</b>
IAEA examination of records	6.1, <b>6.48</b>
IAEA inspection goal	3.15, <b>3.22</b> , 3.23, 3.24, 3.26, 12.23
IAEA inspector	1.16, <b>11.19</b>
IAEA interim inventory verification	6.1, <b>6.53</b>
IAEA inventory change verification	6.1, 6.14, <b>6.50</b>
IAEA inventory verification	6.1, <b>6.51</b> , 6.52, 6.53
IAEA physical inventory verification (PIV)	6.1, 6.41, <b>6.52</b> , 12.8, 13.3
IAEA safeguards, coverage of	<b>2.10</b>
IAEA safeguards, exemption from	<b>2.13</b> , 6.14, <b>6.24</b>
IAEA Safeguards Information System (ISIS)	12.1, <b>12.17</b>
IAEA safeguards, non-application of	<b>2.14</b>
IAEA safeguards, objectives of	<b>2.1</b> , 2.5, 3.6
IAEA safeguards, starting point of	<b>2.11</b>
IAEA safeguards, suspension of	<b>2.15</b>
IAEA safeguards, termination of	<b>2.12</b> , 6.14, <b>6.25</b>
IAEA timeliness detection goal	3.10, <b>3.20</b> , 4.24, 11.16
IAEA updating of the book inventory	6.1, <b>6.49</b>
IAEA verification of nuclear material flows within an MBA	6.1, <b>6.54</b>
IAEA verification of operator's measurement system	6.1, 6.33, <b>6.55</b>
ICR (inventory change report)	3.33, 12.1, 12.4, <b>12.5</b> , 12.6, 13.4, 13.7
identification	5.27, 6.56
identity data (or identification data)	<b>6.10</b> , 12.5
IDMS (isotope dilution mass spectrometry)	<b>7.17</b>
Illicit Trafficking Database	12.1, <b>12.16</b>

import	6.14, <b>6.15</b> , 12.11, 12.12, 13.5, 13.6
import communication	13.5
improved nuclear material	<b>4.28</b>
inconclusive C/S results	8.8
increases (inventory changes)	6.14
indirect use material	<b>4.26</b> , 3.14, Table II
INFCIRC/66-type safeguards agreement	1.17, <b>1.20</b>
INFCIRC/153-type safeguards agreement	1.17, <b>1.18</b> , 1.19
information evaluation	12.1, 12.20, 12.24, 12.25
information, open source	12.1, <b>12.15</b> , 12.20, 12.25
information, safeguards	3.28, <b>12.1</b> , 12.2, 12.3, 12.4, 12.5, 12.6, 12.7, 12.8, 12.9, 12.10, 12.11, 12.12, 12.13, 12.15, 12.16, 12.17, 12.18, 12.20, 12.25
initial inspection	11.2, <b>11.3</b>
initial report	11.4, 11.14, 12.1, <b>12.2</b> , 12.3
in-process inventory verification	4.36, 6.3, 6.56
inspection	<b>11.2</b> , 11.3, 11.4, 11.5, 11.13
inspection, access for	3.9, 3.26, 6.1, 11.2, <b>11.14</b>
inspection activities	11.2, <b>11.18</b>
inspection, ad hoc	11.2, <b>11.4</b>
inspection, continuous	11.2, <b>11.12</b>
inspection effort, actual routine (ARIE)	<b>11.22</b> , 11.23
inspection effort, maximum routine (MRIE)	11.20, <b>11.24</b>
inspection effort, planned actual routine (PLARIE)	11.22, <b>11.23</b>
inspection, frequency of	3.20, <b>11.16</b>
inspection goal, IAEA	3.15, <b>3.22</b> , 3.23, 3.24, 3.26, 12.23
inspection goal, quantity component of IAEA	3.14, 3.22, <b>3.23</b> , 12.23
inspection goal, timeliness component of IAEA	3.10, 3.15, 3.22, <b>3.24</b> , 12.23
inspection, initial	11.2, <b>11.3</b>
inspection, person-day (man-day) of (PDI)	<b>11.20</b> , 11.24
inspection, person-year (man-year) of	<b>11.21</b>
inspection, random	11.2, <b>11.8</b>
Inspection Results, Statement on (90(a) Statement)	11.2, <b>13.2</b>
inspection, routine	11.2, <b>11.5</b>
inspection, scope of	11.2, <b>11.15</b>
inspection, short notice	11.2, <b>11.7</b>
inspection, short notice random (SNRI)	3.3, 11.2, 11.7, 11.8, <b>11.9</b>

inspection, special	11.2, <b>11.13</b>
inspection, unannounced	11.2, 11.5, <b>11.6</b>
inspections and visits, advance notice of	11.1, 11.2, 11.6, <b>11.17</b>
inspections, simultaneous	<b>11.11</b>
inspector, IAEA	1.16, <b>11.19</b>
Inspectors' Document (the Agency's Inspectorate)	<b>1.12</b>
inspector's estimate of MUF	6.43, 10.1, <b>10.2</b>
installation	<b>5.4</b>
installation, storage	<b>5.22</b>
installations, categorization of	<b>5.4</b>
integrated safeguards	2.8, 2.9, 3.1, 3.4, <b>3.5</b> , 3.6, 12.20, 12.25
interim inventory verification, IAEA	6.1, <b>6.53</b>
intermediate product	<b>4.32</b>
international standards of accountancy	<b>6.35</b> , <b>Table III</b> , 6.36, 10.1
International Target Values (ITV)	<b>6.36</b> , 7.13, 7.24
inventory	<b>3.18</b> , 6.41, 12.5, 12.6, 12.8
inventory change	<b>6.14</b> , 6.50, 12.4, 12.5, 12.6
inventory change report (ICR)	3.33, 12.1, 12.4, <b>12.5</b> , 12.6, 13.4, 13.7
inventory change verification, IAEA	6.1, 6.14, <b>6.50</b>
inventory listing, physical (PIL)	3.33, 12.1, 12.4, <b>12.8</b> , 13.7
inventory, physical	3.18, 6.30, <b>6.41</b> , 6.43, 6.52, 12.4, 12.5, 12.6, 12.7, 12.8
inventory taking, physical (PIT)	3.33, 6.1, 6.31, 6.41, 6.47, 12.8
inventory verification, IAEA	6.1, <b>6.51</b> , 6.52, 6.53
ISIS (IAEA Safeguards Information System)	12.1, <b>12.17</b>
isotope	<b>4.3</b>
isotope dilution mass spectrometry (IDMS)	<b>7.17</b>
isotope separation plant (enrichment plant)	<b>5.20</b> , 11.10
isotopic ratios	7.21
item counting	<b>6.57</b>
item facility	5.26, <b>5.27</b>
item form, material in	4.27
ITV (International Target Values)	<b>6.36</b> , 7.13, 7.24
K-edge densitometry	<b>7.18</b>
key measurement point (KMP)	3.28, 6.4, <b>6.6</b> , 6.33
KMP (key measurement point)	3.28, 6.4, <b>6.6</b> , 6.33
LEU (low enriched uranium)	4.5, <b>4.12</b> , 4.26

LFUA (limited frequency unannounced access )	5.20, <b>11.10</b>
light water reactor (LWR)	<b>5.8</b>
limited frequency unannounced access (LFUA)	5.20, <b>11.10</b>
limits of accuracy	10.19
limits of error	<b>10.19</b> , 10.20
list of inventory items	6.52
location	1.15, 1.22, 11.25, <b>11.27</b> , 11.29, 12.14
location outside facilities (LOF)	1.26, 2.6, <b>5.25</b> , 5.30, 5.31
location outside facilities (LOF), undeclared	<b>2.6</b> , 5.25
location specific environmental sampling	9.1, <b>9.2</b>
locations, other	5.25
LOF (location outside facilities)	1.26, 2.6, <b>5.25</b> , 5.30, 5.31
loss, accidental	6.14, 6.26, 6.31
loss, nuclear	6.14, <b>6.22</b>
loss, other	6.14, <b>6.26</b>
low enriched uranium (LEU)	4.5, <b>4.12</b> , 4.26
LWR (light water reactor)	<b>5.8</b>
Magnox reactor	5.11
man-day (person-day) of inspection (PDI)	<b>11.20</b> , 11.24
man-year (person-year) of inspection	<b>11.21</b>
managed access	1.15, 1.22, 3.6, 11.25, <b>11.26</b> , 11.27, 11.28, 11.29, 11.31, 13.9
mass spectrometry	7.17, <b>7.20</b> , 7.21, 7.22, 7.23
material balance area (MBA)	1.26, 3.28, 6.1, <b>6.4</b>
material balance area outside facilities	1.26
material balance, closing of	6.1, 6.43, 10.1
material balance component	<b>6.42</b> , 6.43, 10.1
material balance equation	6.42, <b>6.43</b> , 6.44, 10.1
material balance evaluation	6.35, 6.42, 6.43, 6.45, 6.46, <b>10.1</b> , 10.2, 10.3
material balance period (MBP)	6.41, <b>6.47</b> , 12.7
material balance report (MBR)	3.33, 12.1, 12.4, <b>12.7</b> , 12.8, 13.7
material category	<b>4.24</b>
material description	6.7, <b>6.13</b>
material, feed	<b>4.31</b>
material form	<b>4.27</b>
material, reference	<b>7.2</b>
material sampling	7.7
material type	<b>4.23</b>

material unaccounted for (MUF)	6.1, <b>6.43</b> , 6.44, 10.1
material, weapons usable	12.21
materials testing reactor (MTR)	5.13
matrix	<b>7.6</b>
maximum routine inspection effort (MRIE)	11.20, <b>11.24</b>
MBA (material balance area)	1.26, 3.28, 6.1, <b>6.4</b>
MBP (material balance period)	6.41, <b>6.47</b> , 12.7
MBR (material balance report)	3.33, 12.1, 12.4, <b>12.7</b> , 12.8, 13.7
mean ( $\mu$ )	<b>10.9</b> , 10.11
mean, sample ( $x_{av}$ )	10.9, <b>10.10</b>
measured discard	6.14, <b>6.23</b>
measurement, bulk	6.36, <b>7.5</b>
measurement error	10.3, 10.14, 10.15, 10.16, 10.24
measurement point, key (KMP)	3.28, 6.4, <b>6.6</b> , 6.33
measurement precision	10.14, 10.15
measurement, screening	7.34, 9.12, <b>9.13</b>
measurement system	6.1, <b>6.33</b>
measurement uncertainty	6.35, 6.43, 6.44, 10.1, 10.14, 10.19
measurement uncertainty, expected	<b>6.35, Table III</b>
measures, safeguards	2.1, 3.5, <b>3.6</b>
measures, safeguards strengthening	2.1, 3.5, 3.6
military purpose	1.20, 2.1, 2.3
misuse	1.20, 2.2, <b>2.4</b> , 12.25
mixed oxide (MOX)	<b>4.16</b>
model (generic) facility safeguards approach	3.1, <b>3.2</b> , 3.6, 3.22, 3.27, 3.28, 3.33
Model Protocol Additional to the Agreement(s) between State(s) and the International Atomic Energy Agency for the Application of Safeguards (Model Additional Protocol)	<b>1.15</b> , 1.22
monitor	<b>8.17</b>
monitor, core discharge (CDM)	<b>8.18</b>
monitor, radiation passage	<b>8.21</b>
monitor, reactor power	<b>8.20</b>
monitoring, remote	<b>8.16</b> , 8.22, 8.23
monitoring, unattended	7.24, 8.6, <b>8.15</b> , 8.22, 8.23
MOX (mixed oxide)	<b>4.16</b>
MRIE (maximum routine inspection effort)	11.20, <b>11.24</b>
MTR (materials testing reactor)	5.13
MUF (material unaccounted for)	6.1, <b>6.43</b> , 6.44, 10.1

MUF, cumulative	6.43, <b>6.44</b>
MUF, diversion into	3.9, 6.43, 10.1, <b>10.4</b>
MUF, inspector's estimate of	6.43, 10.1, <b>10.2</b>
MUF, statistically significant	6.43, 10.26
MUF, uncertainty of ( $\sigma_{\text{MUF}}$ )	6.43, 10.1, 10.4, 10.26
multichannel analysers, portable	7.25
multiplicity counter, neutron	7.24, 7.30, <b>7.31</b>
natural uranium	<b>4.9</b>
NDA (non-destructive assay)	6.36, 7.12, <b>7.24</b> , 8.15
near real time accountancy (NRTA)	6.1, <b>6.3</b> , 6.56
neptunium	<b>4.19</b>
Network of Analytical Laboratories (NWAL)	<b>7.34</b> , 9.13
neutron coincidence counting	7.24, <b>7.30</b>
neutron counting	7.24, <b>7.29</b> , 7.30
neutron multiplicity counter	7.24, 7.30, <b>7.31</b>
new partnership approach (NPA)	<b>3.35</b>
90(a) Statement (Statement on Inspection Results)	11.2, <b>13.2</b>
90(b) Statement (Statement on Conclusions)	10.1, 12.25, <b>13.3</b>
non-acceptable C/S results	8.8
non-application of IAEA safeguards	<b>2.14</b>
non-compliance	<b>2.2</b> , 2.3, 2.4, 13.10
non-destructive assay (NDA)	6.36, 7.12, <b>7.24</b> , 8.15
non-detection probability	3.16, 10.25, 10.28
non-diversion of nuclear material, assurance of	2.1, 2.3, <b>2.8</b> , 12.20, 12.25, 13.10
non-nuclear material, specified	1.27, <b>4.40</b> , 4.41, 4.42, 5.33, 12.13, 12.14
non-nuclear purposes	2.11
non-nuclear use	2.11, 2.12
non-nuclear-weapon States	1.2
Non-Proliferation Treaty (NPT)	<b>1.2</b>
notice of complementary access, advance	1.15, 1.22, 11.25, <b>11.30</b>
notice of inspections and visits, advance	11.1, 11.2, 11.6, <b>11.17</b>
notification of transfers	<b>12.11</b>
NPA (new partnership approach)	<b>3.35</b>
NPT (Non-Proliferation Treaty)	<b>1.2</b>
NRTA (near real time accountancy)	6.1, <b>6.3</b> , 6.56
NSG (Nuclear Suppliers' Group)	<b>1.29</b>
nuclear fuel cycle	<b>5.1</b> , 12.21
nuclear fuel cycle, physical model of	3.12, 5.1, 12.20, <b>12.21</b>

nuclear fuel cycle related research and development activities	<b>5.2</b> , 12.14
nuclear grade graphite	4.40, <b>4.41</b>
nuclear loss	6.14, <b>6.22</b>
nuclear material	<b>4.1</b> , 4.4, 4.5
nuclear material accountancy	3.6, <b>6.1</b>
nuclear material accounting	<b>6.2</b>
nuclear material flows	6.54
nuclear material, improved	<b>4.28</b>
nuclear material, undeclared	2.1, <b>2.5</b> , 2.9, 12.20, 12.25
nuclear production	6.14, <b>6.17</b>
nuclear related dual use item	1.29, <b>5.34</b>
Nuclear Suppliers' Group Guidelines	<b>1.29</b>
nuclear-weapon-free-zone treaties	1.3, 1.4, 1.5, 1.6, 1.19
nuclear weapon States	1.2, 1.14, 1.15, 1.18, 1.21, 12.11, 12.12
nuclide	<b>4.2</b>
null hypothesis	10.25, 10.26, 10.27, 10.28
NWAL (Network of Analytical Laboratories)	<b>7.34</b> , 9.13
NWFZ (nuclear-weapon-free zone)	1.3, 1.4, 1.5, 1.6, 1.19
objectives of IAEA safeguards	<b>2.1</b> , 2.5, 3.6
off-load refuelled power reactor	<b>5.7</b>
on-load refuelled power reactor (OLR)	<b>5.9</b>
open source information	12.1, <b>12.15</b> , 12.20, 12.25
operating records	<b>6.31</b>
operating report	12.1, <b>12.9</b>
operator–inspector difference	6.43, 10.1, <b>10.3</b> , 10.6
optical surveillance	8.2, 8.4, 8.15
optical surveillance device	8.2, <b>8.4</b>
ore concentrate	2.11, 4.4, 5.16
ore processing (uranium mine and concentration) plant	<b>5.16</b>
other locations	5.25
other loss	6.14, <b>6.26</b>
outlier	<b>10.23</b>
partial defect	6.56, 10.7
particle analysis	<b>9.15</b>
passive assay	7.24
PDI (person-day (man-day) of inspection)	<b>11.20</b> , 11.24



pebble type fuel	5.11
Pelindaba Treaty (African Nuclear-Weapon-Free Zone Treaty)	<b>1.6</b>
pellet	4.16, <b>4.39</b>
performance values	10.3, 10.14, 10.15, 10.16, <b>10.24</b>
period, material balance (MBP)	6.41, <b>6.47</b>
person-day (man-day) of inspection (PDI)	<b>11.20</b> , 11.24
person-year (man-year) of inspection	<b>11.21</b>
physical inventory	3.18, 6.30, <b>6.41</b> , 6.43, 6.52, 12.4, 12.5, 12.6, 12.7, 12.8
physical inventory listing (PIL)	3.18, 3.33, 6.41, 12.4, 12.7, <b>12.8</b> , 13.7
physical inventory taking (PIT)	3.33, 6.1, 6.31, 6.41, 6.47, 12.8
physical inventory verification (PIV), IAEA	6.1, 6.41, <b>6.52</b> , 12.8, 13.3
physical model of a nuclear fuel cycle	3.12, 5.1, 12.20, <b>12.21</b>
physical protection recommendations	<b>1.31</b> , 2.7
PIL (physical inventory listing)	3.18, 3.33, 6.41, 12.1, 12.4, 12.7, <b>12.8</b> , 13.7
PIT (physical inventory taking)	3.33, 6.1, 6.31, 6.41, 6.47, 12.8
PIV (physical inventory verification, IAEA)	6.1, 6.41, <b>6.52</b> , 12.8, 13.3
place (on a site or location)	11.27, 11.28, <b>11.29</b>
planned actual routine inspection effort (PLARIE)	11.22, <b>11.23</b>
PLARIE (planned actual routine inspection effort)	11.22, <b>11.23</b>
plutonium	4.5, <b>4.15</b> , 4.25
point sample	9.1, <b>9.5</b>
power of a test	3.16, 10.25, 10.28, <b>10.29</b>
power reactor	<b>5.6</b>
power reactor, off-load refuelled	<b>5.7</b>
power reactor, on-load refuelled (OLR)	<b>5.9</b>
pressurized water reactor (PWR)	5.8
primary standard	<b>7.3</b>
probability, detection	2.3, <b>3.16</b> , 10.28
probability, false alarm	<b>3.17</b> , 3.25, 3.26, 10.27
probability, non-detection	3.16, 10.25, 10.28
process indicator	3.12, 12.20, <b>12.22</b>
product	<b>4.33</b>
product, intermediate	<b>4.32</b>
production, nuclear	6.14, <b>6.17</b>
project and supply agreement	<b>1.10</b> , 1.20
proliferation indicators	12.22

protocol, additional	1.15, <b>1.22</b> , 2.1, 3.5, 3.6, 12.14, 12.20, 12.25, 13.9
protocol, co-operation	<b>1.25</b>
Protocol, Model Additional	<b>1.15</b>
protocol, small quantities (SQP)	<b>1.23</b>
protracted diversion	3.10
PWR (pressurized water reactor)	5.8
quality assurance, safeguards	<b>3.36</b>
quantity component of the IAEA inspection goal	3.14, 3.22, <b>3.23</b> , 12.23
quantity, significant (SQ)	<b>3.14, Table II</b>
radiation detection, Cerenkov	<b>7.32</b>
radiation passage monitor	<b>8.21</b>
random error	10.14, <b>10.15</b>
random inspection	11.2, <b>11.8</b>
random sampling	<b>7.8</b>
Rarotonga Treaty (South Pacific Nuclear Free Zone Treaty)	<b>1.4</b>
RBMK-type reactor	5.11
reactor	<b>5.5</b>
reactor, fast	<b>5.12</b>
reactor, graphite moderated	<b>5.11</b>
reactor, heavy water (HWR)	<b>5.10</b>
reactor, light water (LWR)	<b>5.8</b>
reactor, power	<b>5.6</b>
reactor power monitor	<b>8.20</b>
reactor, research	<b>5.13</b>
reconciliation of accounting with operating records	6.1, 6.48
records, accounting	6.1, <b>6.30</b> , 6.48
records and reports, system of	2.2, 3.26, 3.33, 6.1
records, examination of (IAEA)	6.1, <b>6.48</b>
records, operating	<b>6.31</b>
recycling (of plutonium)	4.16
reference material	<b>7.2</b>
reference material, certified	7.2
regional system of accounting for and control of nuclear material (RSAC)	<b>3.34</b> , 6.1
relative standard deviation	6.35, 10.13
remote monitoring	<b>8.16</b> , 8.22, 8.23

report, accounting	6.1, 12.1, <b>12.4</b> , 12.5, 12.6, 12.7, 12.8, 13.4, 13.7
report, initial	11.4, 11.14, 12.1, <b>12.2</b> , 12.3
report, material balance (MBR)	3.33, 12.1, 12.4, <b>12.7</b> , 12.8, 13.7
report, operating	12.1, <b>12.9</b>
report, routine	12.1, 12.2, <b>12.3</b>
Report, Safeguards Implementation (SIR)	12.23, 12.25, <b>13.10</b>
report, safeguards State evaluation	12.20, <b>12.24</b> , 12.25
report, special	12.1, <b>12.10</b>
reporting on design information examination and verification	3.28, 3.29, 3.30, <b>13.1</b>
reporting on inspections under an INFCIRC/66-type safeguards agreement	<b>13.8</b>
reports, voluntary (on nuclear material, specified equipment and non-nuclear material)	1.27, 4.1, 4.40, 5.33, 12.1, <b>12.13</b>
representative sample	6.37, 7.7, <b>7.10</b>
reprocessing plant	<b>5.21</b>
research reactor	<b>5.13</b>
residual bias	<b>10.17</b>
resin bead technique	<b>7.19</b>
retained waste	6.14, <b>6.20</b>
revised supplementary agreement relevant to safeguards	<b>1.11</b>
routine inspection	11.2, <b>11.5</b>
routine inspection effort, actual (ARIE)	<b>11.22</b> , 11.23
routine inspection effort, maximum (MRIE)	11.20, <b>11.24</b>
routine inspection effort, planned actual (PLARIE)	11.22, <b>11.23</b>
routine inspections, frequency of	11.5, 11.16
routine report	12.1, 12.2, <b>12.3</b>
RSAC (regional system of accounting for and control of nuclear material)	<b>3.34</b> , 6.1
sabotage, deterrence against	1.31, 2.7
safeguards agreement	<b>1.17</b>
safeguards agreement, comprehensive (CSA)	1.17, 1.18, <b>1.19</b>
safeguards agreement, INFCIRC/66-type	1.17, <b>1.20</b>
safeguards agreement, INFCIRC/153-type	1.17, <b>1.18</b> , 1.19
safeguards agreement pursuant to the NPT	1.17, 1.18, 1.19
safeguards agreement pursuant to the Tlatelolco Treaty	1.17, 1.18, 1.19
safeguards agreement, quadripartite	1.17, 1.18, 1.19

safeguards agreement, sui generis	1.17, 1.18, 1.19
safeguards agreement, voluntary offer (VOA)	1.17, 1.18, <b>1.21</b>
Safeguards Analytical Laboratory (SAL)	<b>7.33</b> , 7.34, 9.12
safeguards approach	2.1, <b>3.1</b> , 3.3, 3.4, 12.25
safeguards approach, facility	3.1, <b>3.3</b>
safeguards approach, model (generic) facility	3.1, <b>3.2</b> , 3.6, 3.22, 3.27
safeguards approach, State level	3.1, <b>3.4</b> , 3.5, 12.25
safeguards conclusions	2.8, 2.9, 3.4, 3.5, 12.20, <b>12.25</b> , 13.10
Safeguards Criteria	<b>3.21</b> , 3.22, 12.23
Safeguards Document (The Agency's Safeguards System (1965, as Provisionally Extended in 1966 and 1968))	<b>1.13</b>
safeguards effectiveness evaluation	2.1, 3.21, 3.22, <b>12.23</b> , 12.25, 13.10
Safeguards Implementation Report (SIR)	12.23, 12.25, <b>13.10</b>
safeguards information	3.28, <b>12.1</b> , 12.2, 12.3, 12.4, 12.5, 12.6, 12.7, 12.8, 12.9, 12.10, 12.11, 12.12, 12.13, 12.15, 12.16, 12.17, 12.18, 12.20, 12.25
Safeguards Information System, IAEA (ISIS)	12.1, <b>12.17</b>
safeguards, integrated	2.8, 2.9, 3.1, 3.4, <b>3.5</b> , 3.6, 12.20, 12.25
safeguards measures	2.1, 3.5, <b>3.6</b>
safeguards, objectives of IAEA	<b>2.1</b> , 2.5, 3.6
safeguards quality assurance	<b>3.36</b>
safeguards State evaluation	12.1, 12.19, <b>12.20</b> , 12.21, 12.22, 12.24, 12.25
safeguards State evaluation report	12.20, <b>12.24</b> , 12.25
safeguards State file	12.1, <b>12.19</b> , 12.20, 12.24, 12.25
Safeguards Statement	13.10, 13.11
safeguards strengthening measures	1.15, 1.22, 2.1, 3.5, 3.6
safeguards technical conclusions	10.1, 12.25, 13.3
safeguards transfer agreement (STA)	1.20
SAL (Safeguards Analytical Laboratory)	<b>7.33</b> , 7.34, 9.12
sample	<b>7.7</b>
sample, composite	9.1, <b>9.6</b>
sample, control	<b>9.7</b>
sample mean ( $x_{av}$ )	10.9, <b>10.10</b>
sample, point	9.1, <b>9.5</b>

sample, representative	6.37, 7.7, <b>7.10</b>
sample size	6.56, 10.7, <b>10.8</b>
sample variance ( $s^2$ )	10.11, <b>10.12</b>
sampling, environmental (ES)	<b>9.1</b>
sampling kit	9.1, 9.4, <b>9.11</b>
sampling, material	7.7
sampling, random	<b>7.8</b>
sampling, statistical	7.7
sampling, swipe	9.1, <b>9.4</b>
sampling, systematic	<b>7.9</b>
sampling team	<b>9.10</b>
satellite images	12.15
scanning electron microscopy (SEM)	<b>9.17</b>
scanning, gamma ray	<b>7.26</b>
scintillation detector	<b>7.27</b>
scope of inspection	11.2, <b>11.15</b>
scope of safeguards agreement	1.17
scrap	<b>4.34</b>
scrap recovery plant	<b>5.19</b>
screening measurement	9.12, <b>9.13</b>
seal	3.26, 8.1, <b>8.5</b> , 8.7
sealable tamper indicating enclosure	8.13
sealing system	8.5
secondary ion mass spectrometry (SIMS)	<b>9.18</b>
secondary standard	<b>7.4</b>
SEM (scanning electron microscopy)	<b>9.17</b>
semiconductor detector	<b>7.28</b>
shipper/receiver difference (SRD)	<b>6.45</b> , 6.46, 10.1, 10.5
short notice inspection	11.2, <b>11.7</b>
short notice random inspection (SNRI)	3.3, 11.2, 11.7, 11.8, <b>11.9</b>
significance level	10.27
significant quantity (SQ)	<b>3.14, Table II</b>
SIMS (secondary ion mass spectroscopy)	<b>9.18</b>
simultaneous inspections	<b>11.11</b>
single C/S system	8.7
SIR (Safeguards Implementation Report)	12.23, 12.25, <b>13.10</b>
site	11.25, <b>11.28</b> , 11.29, 12.14
small quantities protocol (SQP)	<b>1.23</b>
SNRI (short notice random inspection)	3.3, 11.2, 11.7, 11.8, <b>11.9</b>
source data	<b>6.9</b>
source material	2.11, <b>4.4</b> , 4.5

South Pacific Nuclear Free Zone Treaty (Rarotonga Treaty)	<b>1.4</b>
Southeast Asia Nuclear Weapon-Free Zone Treaty (Bangkok Treaty)	<b>1.5</b>
special fissionable material	4.4, <b>4.5</b>
special inspection	11.2, <b>11.13</b>
special material balance area	6.4
special report	<b>12.10</b>
specified equipment	1.27, <b>5.33</b> , 12.13, 12.14
specified non-nuclear material	1.27, <b>4.40</b> , 4.41, 4.42, 5.33, 12.13, 12.14
spectrometry, alpha	<b>7.23</b>
spectrometry, gamma ray	<b>7.25</b>
spectrometry, gas mass	7.20, <b>7.21</b>
spectrometry, mass	7.17, <b>7.20</b> , 7.21, 7.22, 7.23
spectrometry, thermal ionization mass (TIMS)	7.20, <b>7.22</b> , 7.33
spent fuel	4.21, 4.25, 5.21
spent fuel bundle counter	<b>8.19</b>
SQ (significant quantity)	<b>3.14, Table II</b>
SQP (small quantities protocol)	<b>1.23</b>
SRD (shipper/receiver difference)	<b>6.45</b> , 6.46, 10.1, 10.5
SRD, cumulative	6.45, <b>6.46</b>
SRD, diversion into	3.9, 6.45, 10.1, <b>10.5</b>
SSAC (State system of accounting for and control of nuclear material)	<b>3.33</b> , 6.1
STA (safeguards transfer agreement)	1.20
standard deviation ( $\sigma$ )	<b>10.13</b>
standard deviation, relative	10.13
standard, primary	<b>7.3</b>
standard, secondary	<b>7.4</b>
standards of accountancy, international	<b>6.35</b> , 6.36
starting point of IAEA safeguards	<b>2.11</b>
State level safeguards approach	3.1, <b>3.4</b> , 3.5, 12.25
state of health data, equipment	<b>8.24</b>
State, safeguards evaluation of	12.1, 12.19, <b>12.20</b> , 12.21, 12.22, 12.24, 12.25
State, safeguards file	12.1, <b>12.19</b> , 12.20, 12.24, 12.25
State system of accounting for and control of nuclear material (SSAC)	<b>3.33</b> , 6.1
statement, book inventory	6.40, <b>13.4</b>
statement of timeliness in reporting	<b>13.7</b>

Statement on Conclusions (90(b) Statement)	10.1, 12.25, <b>13.3</b>
statement on domestic and international transfers	<b>13.6</b>
Statement on Inspection Results (90(a) Statement)	11.2, <b>13.2</b>
statement on operation of report system	13.7
statements under an additional protocol	1.22, <b>13.9</b>
statistical sampling	7.7
statistically significant	<b>10.26</b>
Statute of the International Atomic Energy Agency	<b>1.1</b>
storage facility	<b>5.22</b> , 5.26
strategic point	<b>6.5</b> , 11.14
strategic value	<b>4.29</b>
stratification	6.37
stratum	<b>6.37</b>
strengthening measures, safeguards	1.15, 1.22, 2.1, 3.5, 3.6
Structure and Content of Agreements between the Agency and States Required in Connection with the Treaty on the Non-Proliferation of Nuclear Weapons	<b>1.14</b>
subcritical assembly	<b>5.15</b>
Subsidiary Arrangements	<b>1.26</b>
substitution	<b>2.16</b>
sui generis safeguards agreement	1.19
supporting document	<b>6.32</b>
surface ionization mass spectrometry	7.22
surveillance	<b>8.2</b>
surveillance device, optical	8.2, 8.4
surveillance, optical	8.2, 8.4, 8.15
surveillance review system	8.2, <b>8.14</b>
suspension of IAEA safeguards	<b>2.15</b>
suspension protocol	<b>1.24</b>
swipe sampling	9.1, <b>9.4</b>
system of containment/surveillance measures (C/S system)	3.7, <b>8.7</b>
system of records and reports	2.2, 3.26, 3.33, 6.1
systematic error (bias)	10.14, <b>10.16</b> , 10.17
systematic sampling	<b>7.9</b>
tamper indication	<b>8.12</b>
tamper resistance	<b>8.13</b>
tampering	3.26, <b>8.11</b>
technical capability, C/S	<b>8.9</b>

technical objectives (of IAEA safeguards)	2.1, 2.5, 3.6
technical safeguards conclusion	10.1, 12.25, 13.3
10(a) Statement (statement under an additional protocol)	1.22, <b>13.9</b>
10(b) Statement (statement under an additional protocol)	1.22, <b>13.9</b>
10(c) Statement (statement under an additional protocol)	1.22, <b>13.9</b>
termination of IAEA safeguards	<b>2.12</b> , 6.14, <b>6.25</b>
test, attributes	6.56, 10.7, <b>10.30</b>
test of hypothesis	<b>10.25</b> , 10.27, 10.28, 10.29, 10.32
test, power of	3.16, 10.25, 10.28, <b>10.29</b>
test, variables	<b>10.31</b>
theft	1.31, 2.7
thermal ionization mass spectrometry (TIMS)	7.20, <b>7.22</b>
thorium	<b>4.17</b> , 4.26
thorium concentration plants	5.16
throughput, annual	<b>3.19</b>
timeliness component of the IAEA inspection goal	3.10, 3.15, 3.22, <b>3.24</b> , 12.23
timeliness detection goal, IAEA	3.10, <b>3.20</b> , 4.24, 11.16
timely detection of diversion	2.1
TIMS (thermal ionization mass spectrometry)	7.20, <b>7.22</b>
titration, chemical	<b>7.14</b>
titration, potentiometric	7.14
titration, spectrophotometric	7.14
Tlatelolco Treaty (Treaty for the Prohibition of Nuclear Weapons in Latin America and the Caribbean)	<b>1.3</b>
traceability	<b>6.34</b>
transfers, confirmation of	<b>12.12</b>
transfers, notification of	<b>12.11</b>
transit matching	13.5, 13.6
transmutation	<b>4.22</b>
Treaty Establishing the European Atomic Energy Community (Euratom Treaty)	<b>1.8</b>
Treaty for the Prohibition of Nuclear Weapons in Latin America and the Caribbean (Tlatelolco Treaty)	<b>1.3</b>
Treaty on the Non-Proliferation of Nuclear Weapons (Non-Proliferation Treaty, NPT)	<b>1.2</b>



Treaty on the Southeast Asia Nuclear Weapon-Free Zone (Bangkok Treaty)	<b>1.5</b>
TRIGA reactor	5.13
trigger list	1.28, 1.29
type I error	3.17, 10.25, <b>10.27</b>
type II error	3.16, 10.25, <b>10.28</b>
unannounced inspection	11.2, 11.5, <b>11.6</b>
unattended monitoring	7.24, 8.6, <b>8.15</b> , 8.22, 8.23
uncertainty, expected measurement	<b>6.35, Table III</b>
uncertainty, measurement	6.35, 6.43, 6.44, 10.1, 10.14, 10.19
uncertainty of MUF ( $\sigma_{\text{MUF}}$ )	6.43, 10.1, 10.4, 10.26
undeclared facility or location outside facilities (LOF)	<b>2.6, 5.25</b>
undeclared nuclear material and activities	2.1, <b>2.5</b> , 2.9, 12.20, 12.25
unified inventory	12.2
unified uranium	<b>6.12</b>
unilateral submission agreement	1.20
unmeasured loss	3.33
unreported changes (in facility design or operating conditions)	3.26
updating of the book inventory	6.1, <b>6.49</b>
uranium	<b>4.8</b>
uranium, depleted	<b>4.10</b> , 4.26
uranium, enriched	4.5, <b>4.11</b>
uranium, high enriched (HEU)	4.5, <b>4.13</b> , 4.25
uranium, low enriched (LEU)	4.5, <b>4.12</b> , 4.26
uranium mine and concentration (ore processing) plant	<b>5.16</b>
uranium, natural	<b>4.9</b>
uranium-233	4.5, <b>4.14</b> , 4.25
uranium, unified	<b>6.12</b>
variables in attributes mode	10.31
variables test	<b>10.31</b>
variance ( $\sigma^2$ )	10.9, <b>10.11</b>
variance, sample ( $s^2$ )	10.11, <b>10.12</b>
verification, IAEA inventory	6.1, <b>6.51</b> , 6.52, 6.53
verification of design information (DIV)	3.28, <b>3.30</b> , 3.31, 5.29, 13.1
verification of inventory change, IAEA	6.1, 6.14, <b>6.50</b>

verification of nuclear material flows within an MBA, IAEA	6.1, <b>6.54</b>
verification of the operator's measurement system, IAEA	6.1, 6.33, <b>6.55</b>
verification, physical inventory (PIV), IAEA	6.1, 6.41, <b>6.52</b> , 12.8, 13.3
violation (of a safeguards agreement)	2.2
visit	3.29, 3.30, <b>11.1</b> , 11.17
VOA (voluntary offer agreement)	<b>1.21</b>
volume determination	6.56, 7.5
voluntary offer agreement (VOA)	<b>1.21</b>
voluntary reporting scheme on nuclear material and specified equipment and non-nuclear material	<b>1.27</b> , 4.1, 4.40, 5.33, 12.1, 12.13
voluntary reports on nuclear material, specified equipment and non-nuclear material	1.27, 4.1, 4.40, 5.33, 12.1, <b>12.13</b>
vulnerability assessment	<b>8.10</b>
waste	2.12, <b>4.35</b>
waste disposal	4.35
waste, retained	6.14, <b>6.20</b>
weapons usable material	12.21
weighing	6.56
wide area environmental sampling	9.1, <b>9.3</b>
yellow cake	5.16
Zangger Committee Export Guidelines	<b>1.28</b>
Zircaloy	4.40, <b>4.43</b>
zirconium tubes	4.43