



Átomos para la paz y el desarrollo

الوكالة الدولية للطاقة الذرية

国际原子能机构

International Atomic Energy Agency

Agence internationale de l'énergie atomique

Международное агентство по атомной энергии

Organismo Internacional de Energía Atómica

Vienna International Centre, PO Box 100, 1400 Vienna, Austria

Phone: (+43 1) 2600 • Fax: (+43 1) 26007

Email: Official.Mail@iaea.org • Internet: <https://www.iaea.org>

In reply please refer to: EVT2102898

Dial directly to extension: (+43 1) 2600-22034

La Secretaría del Organismo Internacional de Energía Atómica (OIEA) saluda a los Estados Miembros del OIEA y tiene el honor de señalar a su atención la celebración de la **Reunión Técnica sobre la Experiencia de los Estados Miembros en la Elaboración y la Aplicación de una Política de Observancia de los Reglamentos** (denominada en adelante el “evento”), que tendrá lugar en la Sede del OIEA en Viena (Austria) del **8 al 12 de agosto de 2022**.

La finalidad del evento es recabar la experiencia de los Estados Miembros en la elaboración y la aplicación de una política de observancia de los reglamentos para instalaciones y actividades, e incorporar diversos enfoques en la finalización del Documento Técnico del OIEA sobre este tema.

En la reseña informativa adjunta se ofrecen más detalles sobre el evento.

El evento se celebrará en inglés.

Se invita a los Estados Miembros a designar a una persona para que participe en este evento en representación de su Gobierno y se los alienta encarecidamente a que seleccionen con ese fin a mujeres calificadas.

Por lo general, el OIEA no está en condiciones de sufragar los gastos de viaje ni de otra índole de los participantes en el evento. No obstante, dispone de fondos limitados para ayudar a cubrir los gastos de asistencia de determinados participantes. Esa ayuda puede ofrecerse normalmente, previa solicitud expresa, a un participante por país siempre que, en opinión del OIEA, la persona para la que se solicite pueda hacer una contribución importante al evento. La solicitud de apoyo financiero debe presentarse en el momento de la designación del participante mediante el formulario de solicitud de subvención adjunto (Formulario C).

Cabe señalar que el OIEA no paga ninguna indemnización por daños o pérdida de efectos personales. Tampoco proporciona seguro médico a los participantes en eventos del OIEA. Por lo tanto, se recomienda que estas personas adopten las medidas necesarias para contratar por su cuenta un seguro privado. No obstante, el OIEA cubrirá mediante un seguro los accidentes y las enfermedades claramente relacionados con los servicios prestados al OIEA.

Las designaciones deben presentarse al OIEA por conducto de la autoridad nacional competente (el Ministerio de Relaciones Exteriores, la Misión Permanente ante el OIEA o la Autoridad Nacional de Energía Atómica), a más tardar el **31 de mayo de 2022**, por medio del formulario de participación adjunto (Formulario A). Los formularios de participación debidamente cumplimentados y autorizados deben enviarse por correo electrónico a la dirección Official.Mail@iaea.org o por fax al número: +43 1 26007 (no se precisan copias impresas). Asimismo, han de enviarse copias por correo electrónico al Secretario Científico del evento, Sr. Zia Hussain Shah, División de Seguridad de las Instalaciones Nucleares, Departamento de Seguridad Nuclear Tecnológica y Física (correo

electrónico: Z.H.Shah@iaea.org), y al Secretario Administrativo, Sr. Martyn O. Ubani (correo electrónico: M.Ubani@iaea.org). Una vez recibidas las designaciones oficiales, el Secretario Científico del evento contactará directamente a los participantes en relación con otras cuestiones de organización, como los detalles del viaje, según proceda.

En caso de que los Gobiernos desearan, además, nombrar a uno o más observadores para que prestasen asistencia y asesoramiento a los participantes designados, se les ruega que comuniquen al OIEA el nombre y las señas de esos observadores a más tardar en la fecha antes indicada. De conformidad con las normas establecidas, corresponde a los Gobiernos sufragar los gastos de asistencia de los observadores que envíen a los eventos del OIEA. Este no paga ninguna indemnización por daños o pérdida de efectos personales de los observadores, ni por enfermedad, lesión o fallecimiento durante los viajes o en relación con su asistencia a los eventos del OIEA.

La Secretaría del Organismo Internacional de Energía Atómica aprovecha esta oportunidad para reiterar a los Estados Miembros del OIEA el testimonio de su distinguida consideración.



29 de abril de 2022

Documentación adjunta (en inglés únicamente):

Reseña informativa

Formulario de participación (Formulario A)

Formulario de solicitud de subvención (Formulario C)



IAEA

International Atomic Energy Agency

Atoms for Peace and Development

Technical Meeting on Member States’ Experience in the Development and Implementation of a Regulatory Enforcement Policy

IAEA Headquarters, Vienna, Austria

8–12 August 2022

Ref. No: EVT2102898

Information Sheet

Introduction

The IAEA Safety Standard GSR Part 1 (Rev. 1), Governmental, Legal and Regulatory Framework for Safety, requires that regulatory bodies to establish and implement enforcement policy within the legal framework, for responding to non-compliance by authorized parties with regulatory requirements and taking consequent corrective actions to ensure safety. The IAEA Safety Guide GSG-13, Functions and Processes of the Regulatory Body for Safety, provides guidance on the implementation of an enforcement programme by the regulatory body as defined in GSR Part 1 (Rev. 1), and in the framework of the associated processes illustrated by the IAEA Safety Guide GSG-12, Organization, Management and Staffing of the Regulatory Body for Safety for ensuring the regulatory control of facilities and activities.

Development and Implementation of Regulatory Enforcement Policy requires a structured approach and important considerations such as:

- Use of a graded approach during development and implementation
- General principles of enforcement policy such as complexity and regulatory approach
- Legal provisions, associated regulatory requirements, roles and responsibilities of regulatory staff and coordination with other organizations
- Enforcement Process

Enforcement discretion for special circumstances, assessment of effectiveness, revision, updating and training

Regulatory enforcement is one of the important aspects in the regulatory oversight of authorized facilities and activities, used for ensuring compliance by the authorized party to the applicable regulatory requirements stipulated in the regulations, licence conditions or specifically imposed in response to international experience feedback from events, accidents at other nuclear installations. Enforcement policies and programs of the regulatory bodies are developed in line with the legal provisions in the law. When an authorized party does not fully comply with their licensed conditions or regulatory requirements, enforcement actions may be warranted, using a graded approach, to ensure that the party regains compliance and prevents the recurrence of the non-compliance. Feedback from the member states through Integrated Regulatory Review Service (IRRS) peer review missions, regulatory effectiveness conferences, and other international, national and regional IAEA activities have identified the need for development and implementation of an effective enforcement policy by the regulatory bodies, that complies with the IAEA safety standards.

IAEA is currently working on the development of Technical Document (TECDOC) on Handbook for Developing and Implementing a Regulatory Enforcement Policy by taking into account relevant IAEA safety Standards and good practices from the IAEA member states in this regard.

The objective of this publication is to provide regulatory bodies with guidance for developing and implementing enforcement policies, programmes and processes in line with the IAEA safety standards and practical guidance from some of the regulatory bodies with relevant experience of development and implementation of regulatory enforcement documents. Using the information in this publication will enhance the competence of regulatory bodies in taking enforcement decisions by enhancing regulatory effectiveness, efficiency, consistency and predictability. The handbook also guides about training on enforcement and methods how to use a graded approach evaluation of the significance of inspection findings and apply the appropriate enforcement.

Objectives

The purpose of technical meeting is to present and discuss the current version of TECDOC on the “Handbook for Developing and Implementing a Regulatory Enforcement Policy” and gather Member States comments. In addition, the meeting will also provide a platform for Member States to share good practices and challenges faced during development and implement of Regulatory Enforcement Policy.

Expected Outputs

It is expected that the meeting will provide an opportunity to discuss and further improve the TECDOC under development and in the light of good practices and challenges faced by Member States during development and implementation of the Regulatory Enforcement Policy. Through this meeting, Member States will acquire an enhanced understanding of good practices adopted by other MS, anticipated challenges and measures against the challenges.

Target Audience

The meeting is open to participants from Member States who have experience in the regulatory oversight of nuclear and radiation safety as well as from those embarking and have progressed far enough to be able to contribute to and benefit from the meeting. It is anticipated that the primary attendees shall be from regulatory bodies. Participants are expected to be technical staff who have been actively involved in the regulatory oversight of various areas of nuclear and/or radiation safety. They should be capable of describing and discussing their experiences as well as the challenges related to development and implementation of Regulatory Enforcement Policy in detail.

Each MS will have to deliver one presentation covering the subject matter of the TECDOC. Participants should have a sufficient working knowledge of English to enable them to actively contribute to the deliberations of the event.

Working Language(s)

English

Topics

The following topics will be covered at the meeting

1. Background and the development of the TECDOC
2. Relevant IAEA Safety Standards and Guidance for Enforcement
3. General Principles of Enforcement Policy
 - a) Principles of Regulatory Enforcement
 - b) Complexity of Enforcement Policies
 - c) Regulatory Approach
4. Structure and Development of a Regulatory Enforcement Policy
 - a) Applicability and Scope
 - b) The Legal and Regulatory Framework
 - c) Roles and Responsibilities of Regulatory Body Staff and Management
 - d) Coordination with other Agencies

5. Enforcement Process
6. Other Considerations
 - a) Enforcement Discretion for Special Circumstances
 - b) Records of Enforcement
 - c) Assessment of the Effectiveness of the Enforcement Programme
 - d) Training of Staff
7. Generic challenges and approaches
8. Country specific presentations

Participation and Registration

All persons wishing to participate in the event have to be designated by an IAEA Member State or should be members of organizations that have been invited to attend.

In order to be designated by an IAEA Member State, participants are requested to send the **Participation Form (Form A)** to their competent national authority (e.g. Ministry of Foreign Affairs, Permanent Mission to the IAEA or National Atomic Energy Authority) for onward transmission to the IAEA by **31 May 2022**. Participants who are members of an organization invited to attend are requested to send the **Participation Form (Form A)** through their organization to the IAEA by above deadline.

Selected participants will be informed in due course on the procedures to be followed with regard to administrative and technical matters.

Participants are hereby informed that the personal data they submit will be processed in line with the [Agency's Personal Data and Privacy Policy](#) and is collected solely for the purpose(s) of reviewing and assessing the application and to complete logistical arrangements where required. Further information can be found in the [Data Processing Notice](#) concerning IAEA InTouch+ platform.

Papers and Presentations

The IAEA encourages participants to give presentations (lasting around 15 minutes) to share good practices and challenges faced during development and implement of Regulatory Enforcement Policy specifically covering the topics listed below:

- Legal Framework and Regulatory approach including appeal process
- Roles, Responsibilities and Authorities
- Training of inspectors
- Graded approach
- Significance determination of violations and non-compliances
- Enforcement Discretion
- Corrective actions and Regulatory follow-up
- Coordination with other agencies
- Communications with the Authorized Party and Interested Parties

Participants who wish to give presentations are requested to submit an abstract of their work. The abstract will be reviewed as part of the selection process for presentations. The abstract should be in A4

page format, should extend to no more than five pages (including figures and tables) and should not exceed 2000 words. It should be sent electronically to Mr Zia Hussain Shah, the Scientific Secretary of the event (see contact details in below Visas Section), not later than **17 June 2022**. Authors will be notified of the acceptance of their proposed presentations by **1 July 2022**.

In addition, participants have to submit the abstract together with the **Participation Form (Form A)** to their competent national authority (e.g. Ministry of Foreign Affairs, Permanent Mission to the IAEA or National Atomic Energy Authority) or their organization for onward transmission to the IAEA not later than **17 June 2022**.

Important: Contributors of materials to be included in the expected TECDOC are required to assign all copyrights or publishing rights to the IAEA. The authors should make sure that the files do not include copyrighted fonts or other impediments for reproduction.

The abstract should be sent in Microsoft Word format and according to the following instructions:

1. Page size: A4 (21 cm by 29.7 cm) - vertical orientation
2. Margins: 25 mm all around
3. Layout:
 - Title: single-spaced, 14-point size, Times New Roman (TNR) font, bold
 - Authors: single-spaced, 12-point size, TNR font
 - Affiliation: single-spaced, 12-point size, TNR font, italics
 - Text: 1.5 spaced, 12-point size, TNR font
 - Length: no more than five pages

Presentation Submission

Successful participants will be informed that their presentations have been accepted by **1 July 2022**. They will then be requested to prepare and submit their presentations in Microsoft PowerPoint or PDF format by **15 July 2022**.

Additional Information

Summary of Deadlines and Key Dates

- **31 May 2022:** Submission of requests to the IAEA for participation.
- **20 June 2022:** Participants are informed of the acceptance of their designations.
- **15 July 2022:** Selected participants submit their presentations and contributions.

IAEA Contacts

Scientific Secretaries:

Mr Zia Hussain Shah

Division of Nuclear Installation Safety
Department of Nuclear Safety and Security
International Atomic Energy Agency
Vienna International Centre
PO Box 100
1400 VIENNA
AUSTRIA

Tel.: +43-1-2600-22034
Email: Z.H.Shah@iaea.org

Mr Ronald Pacheco Jimenez

Division of Radiation, Transport and Waste Safety
Department of Nuclear Safety and Security
International Atomic Energy Agency
Vienna International Centre
PO Box 100
1400 VIENNA
AUSTRIA

Tel.: +43-1-2600-26427
Email: R.Pacheco.Jimenez@iaea.org

Administrative Secretary:

Mr Martyn O. Ubani

Division of Nuclear Installation Safety
Department of Nuclear Safety and Security
International Atomic Energy Agency
Vienna International Centre
PO Box 100
1400 VIENNA
AUSTRIA

Tel.: +43-1-2600-22544
Email: M.Ubani@iaea.org

Subsequent correspondence on scientific matters should be sent to the Scientific Secretaries and correspondence on other matters related to the event to the Administrative Secretary.

Participation Form

Technical Meeting on Member States' Experience in the Development and Implementation of a Regulatory Enforcement Policy

IAEA Headquarters, Vienna, Austria

8–12 August 2022

To be completed by the participant and sent to the competent national authority (e.g. Ministry of Foreign Affairs, Permanent Mission to the IAEA, or National Atomic Energy Authority) of his/her country for subsequent transmission to the International Atomic Energy Agency (IAEA) either by email to: Official.Mail@iaea.org or by fax to: +43 1 26007 (no hard copies needed). Please also send a copy by email to the Scientific Secretary Z.H.Shah@iaea.org and to the Administrative Secretary M.Ubani@iaea.org.

Participants who are members of an invited organization can submit this form to their organization for subsequent transmission to the IAEA.

Deadline for receipt by IAEA through official channels: 31 May 2022

Family name(s): (same as in passport)	First name(s): (same as in passport)	Mr/Ms
Institution:		
Full address:		
Tel. (Fax):		
Email:		
Nationality:	Representing following Member State/non-Member State/entity or invited organization:	
If/as applicable:		
Do you intend to submit a paper?	Yes	No
Would you prefer to present your paper as a poster?	Yes	No
Title:		

Participants are hereby informed that the personal data they submit will be processed in line with the [Agency's Personal Data and Privacy Policy](#) and is collected solely for the purpose(s) of reviewing and assessing the application and to complete logistical arrangements where required. Further information can be found in the [Data Processing Notice](#) concerning IAEA InTouch+ platform.

Grant Application Form

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Deadline for receipt by IAEA through official channels: 31 May 2022

Family name(s): (same as in passport)	First name(s): (same as in passport)	Mr/Ms:
Mailing address:	Tel.:	
	Fax:	
	Email:	
Date of birth (yyyy/mm/dd):	Nationality:	

1. Education (post-secondary):

Name and place of institution	Field of study	Diploma or Degree	Years attended	
			from	to

2. Recent employment record (starting with your present post):

Name and place of employer/ organization	Title of your position	Type of work	Years worked	
			from	to

3. Description of work performed over the last three years:

4. Institute's/Member State's programme in field of event:

Date: _____ Signature of applicant: _____

Date: _____ Name, signature and stamp of Ministry of Foreign Affairs,
 Permanent Mission to the IAEA or National Atomic Energy
 Authority _____