



Technical Meeting on Regulatory Enforcement of Facilities and Activities

**IAEA Headquarters
Vienna, Austria**

11-15 March 2023

Ref. No: EVT2103364

Information Sheet

Introduction

The IAEA Safety Standard GSR Part 1 (Rev. 1), Governmental, Legal and Regulatory Framework for Safety, requires the 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:

- Legal provisions, associated regulatory requirements;
- Roles and responsibilities of regulatory staff and coordination with other organizations;
- General principles of enforcement policy such as complexity and regulatory approach;
- Use of a graded approach during development and implementation;
- 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 that the understanding and development and implementation of an effective enforcement policy by the regulatory bodies differ between Member States, indicating that there is a need for further clarification and specific guidance to be in line the IAEA safety standards.

IAEA is currently working on finalizing the Technical Document (TECDOC) on Regulatory Enforcement Policy Development and Implementation 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, and processes in line with the IAEA safety standards, including 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 publication 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 the technical meeting is to present and discuss the current version of the TECDOC on the “Regulatory Enforcement Policy Development and Implementation” and to promote the use of the TECDOC for the regulatory bodies of the Member States and to provide an international environment on sharing and learning from the experience and to discuss common challenges faced during development and implement of Regulatory Enforcement Policy.

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 Member State 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

Expected Outputs

It is expected that the meeting will provide an opportunity to discuss the use of the draft TECDOC on regulatory enforcement policy and processes 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 Member States, anticipated challenges and measures against the challenges.

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 January 2024**. 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. The IAEA may also use the contact details of Applicants to inform them of the IAEA's scientific and technical publications, or the latest employment opportunities and current open vacancies at the IAEA. These secondary purposes are consistent with the IAEA's mandate.

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 title and short summary of the presentation which will be reviewed as part of the selection process for presentations. It should be sent

electronically to Mr Zia Hussain Shah and Mr. Jovica Bosnjak, the Scientific Secretaries of the event (see contact details below), not later than **15 February 2024**. Authors will be notified of the acceptance of their proposed presentations by **28 February 2024**.

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 **15 February 2024**.

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 **28 February 2024**. They will then be requested to prepare and submit their presentations in Microsoft PowerPoint or PDF format by **1 March 2024**.

Expenditures and Grants

No registration fee is charged to participants.

The IAEA is generally not in a position to bear the travel and other costs of participation in the event. The IAEA has, however, limited funds at its disposal to help meet the cost of attendance of certain participants. Upon specific request, such assistance may be offered to normally one participant per country, provided that, in the IAEA's view, the participant will make an important contribution to the event.

The application for financial support should be made using the **Grant Application Form (Form C)** which has to be stamped, signed and submitted by the competent national authority to the IAEA together with the **Participation Form (Form A)** by **31 January 2024**.

Venue

The event will be held at the Vienna International Centre (VIC) where the IAEA's Headquarters are located. Participants must make their own travel and accommodation arrangements.

General Information on the VIC and other practical details, such as a list of hotels offering a reduced rate for IAEA participants, are listed on the following IAEA web page:

<https://www.iaea.org/events>.

Participants are advised to arrive at Checkpoint 1/Gate 1 of the VIC one hour before the start of the event on the first day in order to allow for timely registration. Participants will need to present an official photo identification document in order to be admitted to the VIC premises.

Visas

Participants who require a visa to enter Austria should submit the necessary application to the nearest diplomatic or consular representative of Austria at least four weeks before they travel to Austria. Since Austria is a Schengen State, persons requiring a visa will have to apply for a Schengen visa. In States where Austria has no diplomatic mission, visas can be obtained from the consular authority of a Schengen Partner State representing Austria in the country in question.

Additional Information

Summary of Deadlines and Key Dates:

- **31 January 2024:** Submission of requests to the IAEA for participation.
- **15 February 2024:** Submission of presentations/abstracts.
- **28 February 2024:** Participants are informed of the acceptance of their designations.
- **1 March 2024:** Selected participants submit their presentations and contributions.

Organization

Scientific Secretaries:

Mr Zia Hussain SHAH

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

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Email: Z.H.Shah@iaea.org

Mr Jovica BOSNJAK

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International Atomic Energy Agency
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Tel.: +43-1-2600-26559

Email: j.bosnjak@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 Secretary/Secretaries and correspondence on other matters related to the event to the Administrative Secretary.

Participation Form

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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, Mr Zia Hussain Shah, Division of Nuclear Installation Safety, Department of Nuclear Safety and Security (Email: Z.H.Shah@iaea.org) and to the Administrative Secretary, Mr Martyn O. Ubani, (Email: 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 January 2024

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
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 January 2024

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 attended 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**
