



Atoms for Peace and Development

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

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In reply please refer to: EVT2102898

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The Secretariat of the International Atomic Energy Agency (IAEA) presents its compliments to the IAEA's Member States and has the honour to draw their attention to the **Technical Meeting on Member States' Experience in the Development and Implementation of a Regulatory Enforcement Policy** (hereinafter referred to as "event") to be held at the IAEA's Headquarters in Vienna, Austria, from **8 to 12 August 2022**.

The purpose of the event is to gather Member State experience in the development and implementation of a regulatory enforcement policy for facilities and activities, and to incorporate various approaches in the finalization of the IAEA Technical Document on this subject.

The attached Information Sheet provides further details of the event.

The event will be held in English.

Member States are invited to designate one participant to represent the Government at this event. Member States are strongly encouraged to identify suitable women participants.

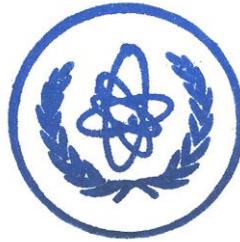
The IAEA is generally not in a position to bear the travel and other costs of participants in the event. The IAEA has, however, limited funds at its disposal to help meet the cost of attendance of certain participants. Upon specific request, such assistance may be offered to normally one participant 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 at the time of designating the participant using the attached Grant Application Form (Form C).

It should be noted that compensation is not payable by the IAEA for any damage to or loss of personal property. The IAEA also does not provide health insurance coverage for participants in IAEA events. Arrangements for private insurance coverage on an individual basis should therefore be made. The IAEA will, however, provide insurance coverage for accidents and illnesses that clearly result from any work performed for the IAEA.

Designations should be submitted to the IAEA through the competent national authority (Ministry of Foreign Affairs, Permanent Mission to the IAEA or National Atomic Energy Authority) not later than **31 May 2022** using the attached Participation Form (Form A). Completed and authorized Participation Forms should be sent either by email to: Official.Mail@iaea.org or by fax to: +43 1 26007 (no hard copies needed). Copies should be sent by email to the Scientific Secretary of the event, 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). The Scientific Secretary of the event will liaise with the participants directly concerning further arrangements, including travel details, as appropriate, once the official designations have been received.

Should Governments wish, in addition, to appoint one or more observers to assist and advise the designated participants, they are kindly requested to inform the IAEA of the names and contact details of any such observers by the above date. In accordance with the established rules, Governments are expected to bear the cost of attendance of any observers they may send to IAEA events. Compensation is not payable by the IAEA for any damage to or loss of observers' personal property or for illness, injury or death occurring while travelling to or in connection with their attendance at IAEA events.

The Secretariat of the International Atomic Energy Agency avails itself of this opportunity to renew to the IAEA's Member States the assurances of its highest consideration.



2022-04-29

Enclosures: Information Sheet
 Participation Form (Form A)
 Grant Application Form (Form 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

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International Atomic Energy Agency
Vienna International Centre
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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
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PO Box 100
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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 _____