Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking Into Account the Results of the 2011 Conference on the Safe and Secure Transport of Radioactive Material

M5 Conference Room

IAEA Headquarters, Vienna

1 to 3 April 2014

Meeting Report
1. OPENING

1.1. Mr Steve Whittingham, Head, Transport Safety Unit, IAEA

Mr Whittingham opened the meeting and welcomed all participants to the IAEA’s third Technical Meeting (TM) to follow up on the 2011 international transport conference findings and recommendations. He acknowledged the large number of attendees (over 40 participants from 30 countries, 3 other UN organizations and 4 non-governmental organizations) and thanked them all for their participation. He emphasized the importance of the work of the TM to address the findings of the 2011 conference on the three issues of harmonization, communication and denial of shipment. He also identified the agency’s plans for future meetings to address the remaining issues identified in the 2011 conference. He shared the agency’s status and plans to develop regional networks to facilitate transport and encouraged Member States to support the work and interactions of the regional networks. A summary of Mr Whittingham’s opening remarks is included in Annex 1.

1.2. Chair Opening

Mr Bill Brach, the previous Chairman of TRANSSC and Chairman of the TM, also welcomed all participants and identified the importance of the work of the TM to address the three issues of harmonization, communication, and denial of shipment. Mr Brach noted the participation of IAEA, other UN organizations, Member States, nuclear transport industry and others involved in radioactive material transport in this meeting, and highlighted the expertise and experience that each attendee brings to the meeting and the importance of each person’s contribution to the success of the meeting. A copy of Mr Brach’s opening remarks is included in Annex 2.

1.3. Introductions

The participants in the TM were given the opportunity for short introductions. A list of meeting attendees is included in Annex 3.

1.4. Administrative Arrangements

Mr Chris Bajwa, the Scientific Secretary for the meeting, provided a brief discussion of administrative procedures and arrangements related to the meeting.

1.5. Agenda

Mr Brach reviewed the proposed draft meeting agenda. He identified the Secretariat’s plans to have three separate, parallel working groups to address the issues of harmonization, communication, and denial of shipment. The three working groups would begin their deliberations late morning on Tuesday, 1 April. The draft agenda identified a possible reconvening of the plenary on Wednesday afternoon, April 2, for a brief overview of the status of the working group deliberations and preliminary recommendations. This session would also provide an opportunity to bring any issues and considerations forward that might be pertinent to the other working groups. The TM plenary accepted the proposal to reconvene on Wednesday afternoon and approved the agenda as discussed and presented on the TM meeting web site. The final approved meeting agenda is attached as Annex 4.

1.6. Terms of Reference

The terms of reference for the meeting were reviewed and accepted. The Terms of Reference are attached as Annex 5.

1.7. Conduct of the Meeting

The conduct of the meeting was discussed during the review of the agenda, item 1.5 above.

2. PRESENTATION OF INFORMATION

2.1. Review of Presidents findings and Conclusions of Previous TMs

Mr Whittingham provided an overview of the 2011 international transport conference noting that over 250 people attended the conference from 60 countries. He also summarized the Conference Report and Findings by the Conference President Ambassador Brennan (Ireland). Mr Whittingham identified that three of the eleven issues identified in the Conference President’s Findings are being addressed at
this TM. Mr Whittingham also provided a summary of the two previous TM (March 2012 and April 2103) that addressed the outcome of the 2011 conference.

In response to a comment noting that the April 2013 and the present April 2014 TM were only addressing transport safety, Mr Stig Isaksson, Senior Nuclear Security Transport Officer, IAEA Secretariat, informed the TM attendees that a transport security TM is scheduled for 10 – 13 June 2014. He welcomed input from the attendees on issues that should be carried forward to the transport security TM, and encouraged attendees to also participate in the transport security TM.

A copy of Mr Whittingham’s presentation was posted on the TM meeting SharePoint site.

2.2. Work Plan Development for Working Groups (WGs)
Mr Chris Bajwa provided a brief overview of the work to be done during the TM and the expected outcome of the working groups. He described the three issues to be discussed in each working group in more detail and provided a summary of the expected output for the three working groups: Harmonization (Working Group 1), Communication (Working Group 2), and Denial of Shipment (Working Group 3).

A copy of Mr Bajwa’s presentation was posted on the TM SharePoint site.

2.3. Terms of Reference for WGs
The terms of reference for the three working groups were presented. The terms of reference for the three working groups were accepted by the TM plenary and are provided as Annex 6.

3. DISCUSSION/WORKING GROUPS
3.1. Working Group (WG) Logistics
Following approval of the three Working Group Terms of Reference, the attendees were asked to sign up for the working group in which they wished to participate. From the participants in each working group, a Working Group Chair was selected:

- Working Group 1, Harmonization – Mr Ron Pope, IAEA consultant
- Working Group 2, Communication – Mr Kevin O’Donoghue, Ireland
- Working Group 3, Denial of Shipment – Mr Serge Gorlin, WNA

3.2. Dismissal from Plenary to Working Groups
The TM Plenary session ended and the three Working groups were then convened to begin their deliberations.

3.3. Working Group Discussions
Discussions continued until the afternoon of 2 April, 2014.

3.4. Reconvene Plenary
Plenary was reconvened the afternoon of 2 April, 2014 for the three working groups to provide a brief status report, summary of deliberations and preliminary recommendations, and any identified issues that may warrant discussion by one of the other working groups.

3.4.1. Working Group 1 Harmonization
Mr Ron Pope, Working Group 1 Chair, provided a summary of the working group’s deliberations on harmonization that identified 12 findings and 13 recommendations under three subtopics: harmonization of framework at all levels, global harmonization including both safety and security, and harmonization of IAEA and other UN organizations. Mr Pope reported good progress by the working group in their review and development of recommendations on harmonization.

3.4.2. Working Group 2 Communications
Mr Kevin O'Donoghue, Working Group 2 Chair, provided a summary of the working group’s deliberations on communications, including communications between governments and with the public. He noted that the working group decided to expand their review to include findings and recommendations resulting from the 2011 international transport conference and the two TMs that followed up on the conference held in March 2012 and April 2013. The working group completed their review of the best practices guidelines that were developed by the coastal and shipping state dialogue group, and suggested that the guidelines could have broader use and applicability. Mr O'Donoghue reported good progress by the working group in their review and development of recommendations on communications.

3.4.3. Working Group 3, Denial of Shipment

Mr Serge Gorlin, Working Group 3 Chair, provided a summary of the working group’s deliberations which included consideration of the 2011 Conference President’s Findings, Final Report of the International Steering Committee on Denial of Shipment and the March 2012 TM recommendations on denial of shipment. He further reported that three subgroups were formed to address/review the denial reporting process, National Focal Point Handbook, and communication materials on denial of shipment. Mr Gorlin reported good progress was made on each topic. Mr Gorlin suggested that Working Group 2 may be interested in reviewing the public information brochure on denial of shipment. A copy of the brochure was subsequently provided to Working Group 2.

3.4.4. Additional Presentations by the Secretariat

Mr Chris Bajwa provided a presentation on the IAEA Transport Safety Unit’s work to assist Member States in development of regional networks to coordinate on radioactive material transport matters. He noted the very successful and previously established network of European transport competent authorities and identified work by the IAEA to establish regional networks in the Mediterranean, Africa, Middle East, Asia, Pacific Islands, Caribbean, and the Americas.

A copy of Mr Bajwa’s presentation was posted on the TM SharePoint site.

3.5. Dismiss Plenary - Return to Working Groups

The plenary was dismissed and the working groups reconvened for the balance of the afternoon.

3.6. Reconvene Plenary

Plenary was reconvened on the morning of April 3, 2014 to receive the reports of the three working groups.

3.7. Working Group Reports

3.7.1. Working Group 1 Harmonization

Mr Pope presented the results of Working Group 1’s discussion on harmonization. The working group identified three categories of harmonization; namely, Harmonization of Framework at All Levels, Global Harmonization of the Transport Regulatory System (both safety and security), and Harmonization Between IAEA and other UN Organizations. A total of 13 recommendations were made to improve the harmonization of international transport regulations and their implementation. The working group also provided an estimate of the resources to implement each recommendation using a scale of “high, medium and low.” The resource scale corresponds to an approximate expenditure of resources associated with the IAEA conducting a Technical Meeting (high), a Consultancy Meeting (medium) and a Secretarial only activity (low). Mr Pope noted in his overview that some of the recommendations are associated with ongoing work, such as completing the publication of the revised Advisory Material to new activities such as compiling variations from IAEA transport regulations, SSR-6, in Member States’ transport regulations.
The TM plenary accepted the report and recommendations of Working Group 1 to be included as conclusions and recommendations of this TM, TM-47173.

The specific details of the Working Group 1’s deliberations and recommendations are provided in the Working Group 1 Report provided in Annex 7.1.

3.7.2. Working Group 2 Communication
Mr O’Donoghue presented the results of Working Group 2’s discussion on communication. Mr O’Donoghue noted that the working group expanded the Terms of Reference to include the outcome and recommendations related to communications from the 2011 international transport conference and the follow up TMs in March 2012 and April 2013. The expansion of the working group’s Terms of Reference was accepted by the TM and the Secretariat. Mr O’Donoghue identified 6 key recommendations to improve communications between Member States and with the public. He noted that there is an outstanding message to provide to the general public on the safety of transport of radioactive material, and the IAEA could be the organization to objectively provide that message. Mr O’Donoghue also reported that the working group reviewed the recently prepared Best Practices guide and concluded the document was very useful and suggested that a table top exercise be considered to evaluate the use of the guidance material. The working group also commended the International Steering Committee on Denial of Shipment’s development of the “Transport Saves Lives” brochure as a very good communication tool.

The TM plenary accepted the report and recommendations of Working Group 2 to be included as conclusions and recommendations of this TM, TM-47173.

The specific details of Working Group 2’s deliberations and recommendations are provided in the Working Group 2 Report provided in Annex 7.2.

3.7.3. Working Group 3 Denial of Shipment
Mr Gray (acting for Mr Gorlin who had to depart due to previous travel commitments) presented the results of Working Group 3’s discussion on Denial of Shipment. Mr Gray presented a very detailed, tabular summary of the recommendations resulting from the 2011 international transport conference, the March 2012 TM to follow up on the 2011 conference, and the final report of the International Steering Committee on Denial of Shipment June 2013. Mr Gray noted that the newly formed Transport Facilitation Working Group would be considering all the listed recommendations in the development of the work plan for the new group. He also noted that Mr Gorlin, Working Group 3 Chair, was also the Chair of this newly formed group. Mr Gray identified some similarities in the recommendations identified for Denial of Shipment with the other working groups. For example, Working Group 1 (harmonization) recommended compiling state variations from the IAEA transport regulations to identify instances where improved harmonization could be achieved; and, Working Group 3 (denial of shipment) identified the potential impact on shipments caused by variations in transport requirements.

Mr Brach, TM Chair, stated that the work and the outcome of Working Group 3 were different from the products of Working Groups 1 and 2. Specifically, while Working Groups 1 and 2 identified recommendations for further IAEA consideration, the output from Working Group 3 included a list of recommendations for future consideration by the newly formed Transport Facilitation Working Group. Mr Brach suggested and the TM plenary agreed that it would be appropriate for the TM to “take note and acknowledge” the Working Group 3 report, rather than approving the Working Group 3 Report’s recommendations since the recommendations will be reviewed by the Transport Facilitation Working Group. The IAEA Secretariat also agreed that the Working Group 3 report should be further studied by the newly formed group.
A summary of Working Group 3’s deliberations and a copy of the tabular listing of recommendations pertaining to denial of shipment in the Working Group 3 Report provided in Annex 7.3.

3.7.4. Summary of WG Presentations
As summarized above, the TM plenary accepted the report and recommendations of Working Groups 1 and 2 to be included as conclusions and recommendations of this TM, TM-47173. Further the TM plenary took note and acknowledged the Working Group 3 Report with the understanding that the report would be further considered by the newly formed Transport Facilitation Working Group.

3.8. Concluding Discussion
The Chair suggested and the TM plenary agreed that the work of the TM had been accomplished as requested and in accordance with the Terms of Reference prepared by the IAEA for this meeting.

4. REPORT AND CLOSING

4.1. Plenary – acceptance of meeting report
The preliminary draft meeting report was posted on the TM meeting SharePoint site on the evening of April 2, 2014. The draft report was complete for the agenda items addressed by close of business on April 2, 2014. Mr Brach, TM Chair stated that the report would be revised to include the discussions of April 3, 2014. Mr Bajwa stated that he planed to post the final report by close of business April 4, 2014. Further, Mr Bajwa asked the TM participants to submit any changes, clarifications and/or editorial comments on the preliminary draft by April 4, 2014. No comments on the preliminary draft were offered during the TM plenary session.

4.2. Closing
4.2.1 TM Chair
Mr Brach thanked all the participants for their active engagement in the meeting and noted their strong commitment to the safe and secure transport of radioactive material. He thanked Mr Pope, Mr O’Donoghue and Mr Gorlin for serving as the three Working Group Chairs. Mr Brach observed that the Secretariat has a significant task ahead to review the recommendations and outcome of this TM. Mr Brach thanked the IAEA for arranging this important meeting and recognized each of the Transport Safety Unit staff and the Conference Clerk for their hard work in making this TM a success. Mr Brach concluded his remarks and wished all a safe journey home.

4.2.2 Transport Safety Unit Head
Mr Whittingham also thanked all the participants for contributing to a very effective meeting. Mr Whittingham discussed the Secretariat’s initiative to develop Regional Networks. He asked Member State participants to consider the potential benefit of improved regional liaison to support radioactive material shipment in their region. He identified that many radioactive material shipments are necessary to treat and benefit individuals who may be suffering from cancer or other grave illness. Safe, secure and timely shipment of radioactive material is critical. Mr Whittingham also noted the large number of recommendations developed in the TM and committed to develop a summary document to identify the disposition by the Secretariat of each recommendation. He observed that some of the recommendations may require further study and may possibly be included in a future TM planned for 2015.

Mr Whittingham concluded his remarks by wishing safe travels for all participants, and then formally closed the meeting.
Technical Meeting On Issues of Harmonization, Communication, and Denials of Shipment, Taking Into Account the Results of the 2011 Conference on the Safe and Secure Transport of Radioactive Material

Annexes

1. Opening remarks by Head Transport Safety Unit
2. Opening remarks by TM Chair
3. List of Attendees
4. Final Agenda
5. Terms of Reference for TM
6. Terms of Reference for Working Groups
7. Working Group Reports
   7.1 Working Group 1
   7.2 Working Group 2
   7.3 Working Group 3
Annex 1


Summary of Opening Remarks by Head, TSU
Good Morning and Welcome to Vienna!

We have important work to do this week, and a limited amount of time in which to do it.

We have almost 40 participants from 30 countries here this week, and we were not able to support everyone who wanted to come.

You represent most all of the different regions in the world, and we ask that you get plugged into the transport network that is forming in your region.

If you are not familiar with these networks, then please talk to the IAEA staff at this meeting, so you can become involved in them. This is how the Agency is approaching the solutions to transport issues in the future.

Discussions in the working groups will have to be crisp and focused in order to generate useful recommendations for improvements in the areas of harmonization, communication and denial of shipment.

To assist in the area of harmonization, we have members of the various modal bodies (ICAO, IMO, and UNECE) attending this meeting as consultants. They will aid the working groups in their deliberations.

The wide representation of both shipping states and coastal states, and the work recently done by the working group on government to government communications related to the shipment of radioactive material will inform the discussions on communications.

The newly formed Transport Facilitation Working Group met yesterday, and many of their members are in attendance today and will provide insight into the topic of denial and delay of shipment over the next 2 days.

I have no doubt that as a result of this meeting you will provide useful updates and well-informed recommendations to further the work in the areas of communications, harmonization, and denial of shipment.

I ask that you consider how the discussion of today will apply to the various regions that you represent, and that you will take what you learn here this week and apply it in the regional networks in which you are participating.

I now turn to Mr. Brach for some opening remarks.
Annex 2


Opening remarks by TM Chair
OPENING REMARKS
BY BILL BRACH, CHAIR TM-47137

Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material
(TM-47137)

I want to “Thank” Mr. Whittingham for opening our Technical Meeting to follow up on the outcome of the October 2011 International Conference on the Safe and Secure Transport of Radioactive Material.

Let me also add my welcome to all our meeting participants and visitors. Some of you here today were also participants in the October 2011 international transport conference and participated in the two previous follow up Technical Meetings held in March 2012 and April 2013.

I want to “Thank” the IAEA for asking me to Chair this meeting. It is indeed an honor for me to have this opportunity to work with you in this very important undertaking this week.

Specifically, we are being asked by the IAEA to focus on three topics, or issues, identified at the 2011 conference that require the collective work by the IAEA and other UN organizations involved in international regulation of the transport of radioactive material, by the Member States, by the nuclear transport industry, and by other parties involved in radioactive material transport. The three topics for us to address at this Technical Meeting are harmonization of international transport, communication between parties involved in international transport of radioactive material including specifically communication between shipping states and coastal states, and denial of shipment issues taking into account achievements and recommendations of the International Steering Committee on Denial of Shipments. On this last topic, I want to specifically welcome the members of the newly formed Transport Facilitation Working Group who I anticipate can significantly add to our Technical Meeting discussions and recommendations on the topic of denial of shipment.

The Secretariat has been very busy preparing for this meeting. To help guide our deliberations the Secretariat has provided copies of the October 2011 Conference President’s Findings and the set of recommended actions from the March 2012 Technical Meeting for the three topics of harmonization, communications, and denial of shipment. In addition, they have provided many reference and background documents to support our deliberations. Our plan is to break from this plenary meeting session into three working groups to separately discuss the three topics. Then in plenary session,
we will review the working group recommendations and see if we can reach a plenary consensus on the recommendations to provide to the IAEA on the three topics.

So let me now conclude my opening remarks by again welcoming you to our meeting and challenging you to actively engage in our deliberations. Each of you brings a wealth of experience and expertise, and I will note that you may add a different viewpoint to our deliberations that collectively will help us develop sound recommendations to provide to the IAEA.

Thank you.

Now let's move to agenda item 1.3
Annex 3


List of Attendees
NOTIFICATION OF AN AGENCY MEETING

Department of: Nuclear Safety and Security
Division / Section of: NSRW - Regulatory Infrastructure and Transport Safety Section

Title of meeting: Technical Meeting on Issues of Harmonization, Communication and Denials of Shipment, taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material

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OFFICIAL MAILING ADDRESS

ADDRESS DURING MEETING (Hotel)

DATES

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Technicar Meeting On Issues of Harmonization, Communication, and Denials of Shipment, Taking Into Account the Results of the 2011 Conference on the Safe and Secure Transport of Radioactive Material

Annex 4


Final Agenda
Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material

TM-47137

Room M5

IAEA Headquarters, Vienna

1 to 3 April 2014

FINAL AGENDA
1. OPENING
   1.1. Regulatory Infrastructure and Transport Safety Section/Transport Safety Unit - Opening
   1.2. Chair Opening
   1.3. Introductions
   1.4. Administrative Arrangements
   1.5. Agenda
   1.6. Terms of Reference
   1.7. Conduct of the Meeting

2. PRESENTATION OF INFORMATION
   2.1. Review of Presidents Findings and Conclusions of previous TMs
   2.2. Work Plan Development for Working Groups (WGs)
   2.3. Terms of Reference for WGs

3. DISCUSSION/WORKING GROUPS
   3.1. Working Group (WG) Logistics
   3.2. Dismissal from Plenary to Working Groups
   3.3. Working Group Discussions
   3.4. Reconvene Plenary (If needed)
      3.4.1. Information Presentations and WG updates
   3.5. Dismiss Plenary - Return to Working Groups
   3.6. Reconvene Plenary
   3.7. Working Group Reports
   3.8. Concluding Discussion

4. REPORT AND CLOSING
   4.1. Plenary – approval of draft report
   4.2. Closing
      4.2.1. TSU Unit Head
      4.2.2. TM Chair

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Meeting Chair: E. Brach
Scientific Secretary: Mr. Chris Bajwa

Schedule*:
Tuesday: 9:30 start
Wednesday: 9:00 start
Thursday: 10:00 start, conclude by 12:00

*Schedule is at the Chair’s discretion and may be modified.

Breaks: mid-morning and mid-afternoon approx. 20 min
Lunchtime 60-90 minutes
Annex 5


Terms of Reference for TM
TM-47137 - Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material

IAEA Headquarters, Vienna
1-3 April 2014

TERMS OF REFERENCE

For reasons of economy, this document will not be available at the meeting. Participants are kindly asked to bring their copies to meetings and not to request additional copies.
Terms of Reference

A. Background:

On the fiftieth anniversary of the issue by the International Atomic Energy Agency (IAEA) in 1961 of its first Regulations for the Safe Transport of Radioactive Materials, the International Conference on the Safe and Secure Transport of Radioactive Material: The Next Fifty Years of Transport — Creating a Safe, Secure and Sustainable Framework (Transport Conference), was held in Vienna in October 2011. The President’s findings from the Transport Conference were considered in a March 2012 Technical Meeting (TM) which produced a report of recommended activities to address the President’s findings. The outline of work prepared for the Technical Meeting summarized the President’s findings under eight topical areas including: harmonization, denials of shipment, basis of provisions, Safety Requirements and security recommendations, national implementation and industry compliance, emergency response, communications, and regional considerations. A ninth topic in the Transport Conference President’s findings on liability was not addressed by the Technical Meeting because that topic had been assigned to the International Expert Group on Nuclear Liability (INLEX) for consideration. In April 2013 a second TM was held to follow up on Conference recommendations involving possible changes to the transport regulations. This TM provided input to the 2013 IAEA biennial review cycle for considering changes to the Regulations for the Safe Transport of Radioactive Material (SSR-6). The April 2014 Technical Meeting will focus on the implications of the President’s findings from the 2011 conference as well as the recommendations from March 2012 TM and the subsequent April 2013 TM.

B. Work to be done

The participants of this Technical Meeting (TM) are asked to:

1) Review the President’s findings from the 2011 Transport Conference and the recommendations from the subsequent TMs 43650 and 44897 in the areas of harmonization, communication, and Denial of Shipment. Refer to document President’s Findings for the International Conference on the Safe and Secure Transport of Radioactive Materials October 2011, here, and the follow up TMs found here and here. (A summary of recommendations from TM-43560 are provided in Annex I)

2) For harmonization issues review current efforts to harmonize international transport regulations and identify specific areas for improvements to harmonization efforts.

3) For communication issues, identify effective communication methods for promoting global awareness of transport of radioactive materials and the excellent safety record of transport. Review draft working group report on government to government communications and the draft roadmap for dialogue between coastal and shipping states to become familiar with the work completed in this area. Discuss and provide recommendations on how improvements can be made to communication on transport issues in general.

4) For denial of shipment, review the latest accomplishments in this area by reviewing the final report of the International Steering Committee on Denial of Shipment (ISC) and outline specific actions that can be taken in this area, based on the recommendations from the ISC.

C. Expected Output

The expected output from the TM is the following:
1) Recommendations for continued improvements to efforts to harmonize the international transport regulations promulgated by the various international bodies (IAEA, UNECE, ICAO, IMO)

2) Recommendations to improve communications related to international transport of radioactive material, between all parties involved with shipments and taking into account the ongoing dialogue between coastal and shipping states related to radioactive material shipments.

3) Recommendations on new, planned and ongoing actions to address denial of shipment, taking into account the work completed recently by the ISC and the recommendations in the final ISC report.

4) Provide recommendations of vehicles for consideration of the outcomes of the TM by regional transport networks.
ANNEX I

The following are the recommendations that came from follow-up TM 43650 to the 2011 Conference, in each of the subject areas for the meeting:

Harmonisation

1) Continue transport safety work plan harmonization actions
2) Enhance Inter-Agency work, e.g. IAEA attend meetings at other UN bodies, including at expert level
3) Continue International Steering Committee (ISC) actions via proposed new UN interagency committee
4) Harmonisation should address regulation and its implementation and enhancing overall effectiveness
5) Security harmonisation activities
   • Harmonization of the structure of the Radioactive material – nuclear material implementing guides
   • Ensure graded approach and potential consequences are taken into account
   • Coordinate with / support the activities of the Nuclear Security Guidance Committee (NSGC)
6) Closer cooperation with UN bodies covering all transport issues
   • Facilitate and ensure visibility of harmonisation within and between modes
   • More modal interface on security
7) Take note of the ICAO recommendation to establish an Inter-Agency Committee covering all UN transport issues including safety, security and sustainability. The Committee should consider whether there are problems with the current multiple publication, and pros and cons of future processes
   • Overall goal is ensure the harmonization of safety and security requirements
   • Clarity over responsibility for approval of individual requirements by involved UN bodies is needed
8) Consider problem for states that do not have land mode treaty

Denial of Shipments

1) Continue transport safety work plan
2) Use TRANSSC to distribute denial reporting forms
3) Efforts should be made to overcome barriers at the IAEA and elsewhere in creating joint safety and security networks and collaboration should continue to be encouraged
4) Continue ISC action plan via proposed new UN inter-agency committee
   • Utilise information available on industry, IAEA/IMO/ICAO/NGO and competent authority websites
   • Survey broader transport safety network on communication needs
   • Web based regulation access refers to MS safety and security regulations
   • Emphasis on education and training at all levels important
   • Make use of broader transport safety network to encourage denial reporting
5) Distribute consolidated ISC action plan to wider audience (safety, security and interagency) requesting that these actions be considered in their workplans.
6) Invite ad-hoc expanded inter-agency group and TRANSSC representative to the 8th meeting of the ISC in June 2013.
7) Consider funding issues for database to ensure it can remain operational
8) Support development of guidance for customs to facilitate shipments of radioactive material crossing borders as well as training material
9) Ensure denial continues to be considered when developing security documents and in particular their application
10) Ask Industry to survey port problems and report air and sea problems to National Focal Points (NFP)
    • Extend to supply chain
    • Consider as possible resource the Cargo Incident Notification System survey
11) Develop training material on the safety and security implications of shipments being held as a result of denial for organizations involved in transport of radioactive material.
   • Consider whether Technical Cooperation (TC) can support conduct of this training

Communication
1) Continue with transport safety workplan
2) Continue with ISC action plan via proposed new UN inter-agency committee (see also 2. Denials, bullet #4 for additional communications related actions)
3) Consider development of public information film (including transport safety and security)
   • Communication should involve two way exchange of information
   • Precise details should be produced and agreed through informal shipping/coastal states dialogue taking into account safety and security considerations.
5) Prepare information packs
   • Consider existing fact sheets
   • Encourage industry participation in development
6) Focus on making relevant material available in all UN languages
7) Examine whether communication programmes similar to other industries would be beneficial (e.g. perhaps chemical responsible care programme)
Annex 6


Terms of Reference for Working Groups
For reasons of economy, this document will not be available at the meeting. Participants are kindly asked to bring their copies to meetings and not to request additional copies.
Terms of Reference for Working Group #1

A. Background:

On the fiftieth anniversary of the issue by the International Atomic Energy Agency (IAEA), in 1961, of its first Regulations for the Safe Transport of Radioactive Materials, the International Conference on the Safe and Secure Transport of Radioactive Material: The Next Fifty Years of Transport — Creating a Safe, Secure and Sustainable Framework (Transport Conference), was held in Vienna in October 2011. The President's findings from the Transport Conference were considered in a March 2012 Technical Meeting which produced a report of recommended activities to address the President's findings. The outline of work prepared for the Technical Meeting summarized the President's findings under eight topical areas including: harmonization, denials of shipment, basis of provisions, Safety Requirements and security recommendations, national implementation and industry compliance, emergency response, communications, and regional considerations. This Technical Meeting (TM) is to focus on the implications of the President's findings from the Transport Conference as well as the recommended actions from the subsequent follow-up TM. The Working Groups will focus on specific elements within the eight topical areas to, primarily, determine if recommendations for changes to the regulations should be considered during the current review cycle for the Regulations for the Safe Transport of Radioactive Materials, 2012 Edition (SSR-6); or if additional study is needed to determine if a change to the regulations should be considered.

B. Work to be done

The participants of this Working Group (WG) are asked to:

1) Review the President's Findings and Recommendations from the 2012 follow-up TM in the area of Harmonization.

2) Make note of recommendations that have already been implemented (partially or fully) as well as recommendations that may no longer be applicable (given current transport conditions).

3) Develop a roadmap for implementation of the recommendations that have not yet been implemented, and any additional recommendations developed by the WG. Include a prioritization of the roadmap items, as may be appropriate.

4) Provide recommendations of vehicles for consideration of the outcomes of the WG by regional transport networks.

5) Provide a realistic estimate of the resources that would be needed to implement each action included in the list of actions developed in (3).

C. Expected Output

A working group report will be drafted and will include details on the work completed in the areas of work highlighted in Section B above.
TM-47137 - Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material

IAEA Headquarters, Vienna
1 to 3 April 2014

PROVISIONAL TERMS OF REFERENCE for Working Group #2 on Communication
Terms of Reference for Working Group #2

A. Background:

On the fiftieth anniversary of the issue by the International Atomic Energy Agency (IAEA) in 1961 of its first Regulations for the Safe Transport of Radioactive Materials, the International Conference on the Safe and Secure Transport of Radioactive Material: The Next Fifty Years of Transport — Creating a Safe, Secure and Sustainable Framework (Transport Conference), was held in Vienna in October 2011. The President's findings from the Transport Conference were considered in a March 2012 Technical Meeting (TM) which produced a report of recommended activities to address the President's findings. The outline of work prepared for the Technical Meeting summarized the President's findings under eight topical areas including: harmonization, denials of shipment, basis of provisions, Safety Requirements and security recommendations, national implementation and industry compliance, emergency response, communications, and regional considerations. A ninth topic in the Transport Conference President's findings on liability was not addressed by the Technical Meeting because that topic had been assigned to the International Expert Group on Nuclear Liability (INLEX) for consideration. In April 2013 a second TM was held to follow up on Conference recommendations involving possible changes to the transport regulations. This TM provided input to the 2013 IAEA biennial review cycle for considering changes to the Regulations for the Safe Transport of Radioactive Material (SSR-6). The April 2014 Technical Meeting will focus on the implications of the President's findings from the 2011 conference as well as the recommendations from March 2012 TM and the subsequent April 2013 TM.

B. Work to be done¹

The participants of this Working Group (WG) are asked to:

1) Review the President’s Findings and Recommendations from the 2011 Transport Conference, 2012 and 2013 follow-up TMs in the area of Communications.

2) Make note of recommendations that have already been implemented (partially or fully) as well as recommendations that may no longer be applicable (given current transport conditions).

3) Develop suggestions for implementation of the recommendations that have not yet been implemented, and any additional recommendations developed by the WG.

4) Take note of the working group report on government to government communications and the roadmap for dialogue between coastal and shipping states to become familiar with the work completed in this area.

5) Identify recommendations to improve communications related to international transport of radioactive material, between all parties involved with shipments and taking into account the ongoing dialogue between coastal and shipping states related to radioactive material shipments.

6) Identify measures for consideration by the IAEA to continue to support communications between shipping and coastal states.

7) Provide recommendations of vehicles for consideration of the outcomes of the working group by regional transport networks.

¹ Note: These Terms of Reference were modified and expanded by the members of WG2, and those changes have been incorporated in this document at the request of the Chair of WG2.

For reasons of economy, this document will not be available at the meeting. Participants are kindly asked to bring their copies to meetings and not to request additional copies.
8) Provide a realistic estimate of the resources that would be needed to implement each action included in the list developed in (6).

C. Expected Output

A working group report will be drafted and will include details on the work completed in the areas of work highlighted in Section B above.
TM-47137 - Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material

IAEA Headquarters, Vienna
1 to 3 April 2014

PROVISIONAL TERMS OF REFERENCE
for Working Group #3 on Denial of Shipment
Terms of Reference for Working Group #3

A. Background:
On the fiftieth anniversary of the issue by the International Atomic Energy Agency (IAEA) in 1961 of its first Regulations for the Safe Transport of Radioactive Materials, the International Conference on the Safe and Secure Transport of Radioactive Material: The Next Fifty Years of Transport — Creating a Safe, Secure and Sustainable Framework (Transport Conference), was held in Vienna in October 2011. The President's findings from the Transport Conference were considered in a March 2012 Technical Meeting (TM) which produced a report of recommended activities to address the President's findings. The outline of work prepared for the Technical Meeting summarized the President's findings under eight topical areas including: harmonization, denials of shipment, basis of provisions, Safety Requirements and security recommendations, national implementation and industry compliance, emergency response, communications, and regional considerations. A ninth topic in the Transport Conference President's findings on liability was not addressed by the Technical Meeting because that topic had been assigned to the International Expert Group on Nuclear Liability (INLEX) for consideration. In April 2013 a second TM was held to follow up on Conference recommendations involving possible changes to the transport regulations. This TM provided input to the 2013 IAEA biennial review cycle for considering changes to the Regulations for the Safe Transport of Radioactive Material (SSR-6). The April 2014 Technical Meeting will focus on the implications of the President's findings from the 2011 conference as well as the recommendations from March 2012 TM and the subsequent April 2013 TM.

B. Work to be done
The participants of this Technical Meeting (TM) are asked to:

1) Review the President’s Findings and Recommendations from the 2012 follow-up TM in the area of Denial of Shipment. Consider also the ISC-8 final report as well as the recent deliberations of the Denial Working Group.

2) Make note of recommendations that have already been implemented (partially or fully) as well as recommendations that may no longer be applicable (given current transport conditions.

3) Develop a roadmap for implementation of the recommendations that have not yet been implemented, and any additional recommendations developed by the WG. Include a prioritization of the roadmap items, as may be appropriate.

4) Provide recommendations of vehicles for consideration of the outcomes of the WG by regional transport networks.

5) Provide a realistic estimate of the resources that would be needed to implement each action included in the list of actions developed in (3).

C. Expected Output
A working group report will be drafted and will include details on the work completed in the areas of work highlighted in Section B above.
Annex 7


Working Group Reports
Annex 7.1  Report for Working Group 1
Technical Meeting on Issues of Harmonization, Communication, and Denials of Shipment, Taking into Account the Results of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material

TM-47137

Room M5

IAEA Headquarters, Vienna

1 to 3 April 2014

REPORT OF WORKING GROUP No. 1 – HARMONIZATION
Draft Report of Working Group No. 1 – Harmonization

The working group convened Tuesday morning, 1 April 2014, and deliberated according to the Terms of Reference Provided.

WORKING GROUP MEMBERS

Ronald Pope (Working Group Chair) 
USA Consultant

John Miller (Working Group Secretary) 
USA ISSPA

Akiko Konnai 
Japan National Maritime Research Institute

Nik Mohd Faiz Khairuddin 
Malaysia AELB

Can Van Minh 
Vietnam VARANS

Stig Isaksson 
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Anthony Patko 
USA Dir. of Licensing, NAC International

José Quevedo Garcia 
Cuba CNSN

Peter Girkens 
Germany Ministry of Transport and Digital Infrastructure

Friedrich Kirchnawy 
Austria Ministry of Transport, Innovation and Technology

Olivier Kervella 
United Nations Economic Commission for Europe

Betty Bonnardel-Azzarelli 
WNTI Specialist Advisor on IAEA Matters

Vladimir Ershov 
Russia State Atomic Energy Corporation (ROSATOM)

Daniela Dogaru 
Romania Specialist, Regulatory Authority of Romania

Katherine Rooney 
ICAO Chief, Dangerous Goods Section

G. K. Panda 
India Atomic Energy Regulatory Board (AERB)

TERMS OF REFERENCE

The terms of reference for the working group were as follows:

1) Review the President’s Findings and Recommendations from the 2012 follow-up TM in the area of Harmonization.

2) Make note of recommendations that have already been implemented (partially or fully) as well as recommendations that may no longer be applicable (given current transport conditions.

3) Develop a roadmap for implementation of the recommendations that have not yet been implemented, and any additional recommendations developed by the WG. Include a prioritization of the roadmap items, as may be appropriate.

~ 2 ~
4) Provide recommendations of vehicles for consideration of the outcomes of the WG by regional transport networks.

5) Provide a realistic estimate of the resources that would be needed to implement each action included in the list of actions developed in (3).

**APPROACH TAKEN BY THE WORKING GROUP**

In order to address the terms of reference, the working group took the following approach:

- Reviewed and discussed applicable issues from relevant documents
- Identified items requiring further elaboration by the secretariat
- Received elaboration from Mr. Bajwa and Mr. Brach
- Discussed and agreed on items that addressed the elements of the terms of reference

**DOCUMENTS REVIEWED BY THE WORKING GROUP**

The following documents were reviewed, in chronological sequence by the working group:


**DISCUSSION OF RELEVANT DOCUMENTS**

Harmonization issues identified in the documents reviewed were addressed by the working group, which included item 1 of the Terms of Reference. With respect to item 2 of the Terms of Reference (i.e. noting previous recommendations that have already been implemented, the working group acknowledged these but did not take the time to list them in this report.

To establish a common basis for discussing the “global” harmonization of the regulations, and the framework that exists, a chart, based on a chart from Reference 7, was elaborated. The chart from Reference 7 is shown in Figure 1.
Following review of the documents, it was concluded that the working group needed further insight from the Secretariat. Mr. Chris. Bajwa and Mr. Bill Brach met with the working group and provided additional information as follows:

1. TM-43650, status of peer reviews. Mini-TRANSAS missions have been conducted, not regularly scheduled or budgeted. A rough schedule of Integrated Regulatory Review Service missions (IRRS) exists. Both are requested by member state, where the scope is negotiable and thus may or may not include transport.

2. TM-43650, status of regional workshops. Introductory workshops in those regions with little to no infrastructure in regards to transport (e.g. Pacific Islands, Caribbean nations, Mediterranean). Such States are generally limited to radioactive material transport, done in concert with Technical Cooperation. On-going and planned for next couple of years. Most is extra budgetary.

3. TM-43650, status of training. Technical Cooperation (TC) makes a distinction between workshop and training. Transport Safety Unit (TSU) generally considers workshops to include training elements. TSU is planning to bring those individuals that conduct training to IAEA once a year (at the end of year) to review the training that was conducted over the course of the year, to define lessons learned and identify changes, and to adjust training materials for the following year. Train the trainer type workshops are on horizon, most likely at a regional level.

4. TM-43560, potential need to enhance training for port authorities (both air and sea). The Secretariat has developed targeted training modules for customs and for sea and air ports. The material is available but needs to be updated since the material was being developed based on TS-R-1 2009 edition. The material is used as introductory material for workshops. There is no scheduled training at this time.

5. TM-43560, has TRANSSC assisted in ensuring revised regulations consider harmonization issues? TRANSSC used concerns of harmonization to guide its review and approval of the 2012 edition of SSR-6 (see item 10 below).

6. TM-43560, status of listing of national competent authorities. The list is now available on the Agency’s website. In addition, a formal annual request for updating the listing is not
currently occurring as it had in the past when the document was re-issued annually in hardcopy (up to about 2005).

7. TM-43560, UN Interagency Committee. It was noted that the UN Interagency Committee did not receive much traction.

8. TM-44897, development of an international package design review guide. With TRANSSC support, an International Working Group is putting together an international applicant review guide, with France leading. A draft should be available in the fall of 2014 for TRANSSC review. In time it may be possible for the IAEA to adopt that document and, with financial assistance, issue the guide as an SSG document. Part of the concept of such an international review guide is to assist in the revalidation of Type B(U) packages However, in addition, it could also serve as a guide to package designers, assisting in their design and documentation efforts.

9. TM-44897, Model Regulations for emerging countries that do not ship nuclear material. Effort to make TS-G-1.6 more user friendly has been considered, including putting it into a database format; and ultimately making it available as an iPhone/Smart Phone App.

10. TM-44897, improving the clarity of regulatory language. Multiple suggestions for improving clarity have been set forth in TM44897 and other documents reviewed by the working group. To a great extent, TRANSSC followed these above suggestions in its review of SSR-6, 2012 edition.

11. ISC DOS 8, differences in interpretation of regulatory requirements by various regulatory bodies. The package review guide being developed should, in the long run, assist in eliminating some of the differences in interpretation. The establishment of the networks by the Secretariat, and the development of the Technical Basis Document should also assist in reducing differences in interpretation.

Further discussion addressed the potential need for capturing why the UNOB and modal regulations have requirements that may differ in text or even add specific new requirements (e.g. driver training for road, notification of captain for air, etc.). However, it was concluded that, though this might be desirable, it would require a significant amount of additional resources.

**FINDINGS, RECOMMENDATIONS AND IMPLEMENTATION**

President's Findings for the International Conference on the Safe and Secure Transport of Radioactive Materials October 2011

**Harmonization**

- There must be harmonization of the framework at all levels, including at the IAEA fundamentals level.
- The transport regulatory system (both safety and security) needs to be harmonized globally to avoid conflicts and varying requirements. (Primary challenge)
- Harmonization between safety and security requirements should be maximized as well as Member States regulatory requirements.
- Harmonization between IAEA and other UN organizations is important.

NOTE: WG 1 combined Bullets 2 and 3 in elaborating on its findings and recommendations.

The following provides a listing of the recommendations, a recommended path for implementing each recommendation, and a qualitative estimate of the resources requirements for such implementation. The qualitative estimate may be viewed as follows:
• **High** – IAEA resource demands approximately equivalent to that which is incurred for a technical meeting;

• **Moderate** – IAEA resource demands approximately equivalent to that which is incurred for a consultants meeting

• **Low** – IAEA resource demands approximately equivalent to IAEA staff undertaking an activity without outside assistance.

1. **Findings relative to harmonization of the framework at all levels, including at the IAEA fundamentals level:**

The working group concentrated on three aspects of harmonization:

a) **Adoption:** It is understood that variations between member state regulations will exist regardless of efforts to harmonize globally. It is important that these variations are transparent to facilitate international shipments.

b) **Interpretation:** Some issues of harmonization or lack thereof may be attributed to differences in terminology. A greater level of harmonization could be achieved through accurate translation along with consistency in writing requirements in member state regulations.

c) **Implementation:** Lack of harmonization is more commonly a function of a State’s implementation and not necessarily differences in adopting the recommendations in the IAEA Regulations. Implementation of requirements could be either overly restrictive or less restrictive than what the international regulation specifies. For example, the requirements to revalidate Type B(U) package design certification in some member states, and the potential for acceptance of Type B(M) package designs between some member states are two examples.

**Recommendations, Implementation and Resource Estimate:**

1) **Recommendation** - Suggest IAEA solicit and publish comprehensive list of Member State variations to the IAEA Regulations for the Safe Transport of Radioactive Materials.

**Implementation of Recommendation** - A consultant services meeting could be convened to assess the viability of obtaining State variation data considering the different ways by which various Member States adopt transport safety regulations; and coordinate this effort with the IAG. One member of the working group noted that it would be easier for Member States to provide a list of such variations if they are requested to do so following a specific format. Should the Secretariat pursue this recommendation, the details of such a format and the method for obtaining this information should be remanded to the recommended consultant services meeting requesting their specific advice.

**Resource Estimate** – **Moderate**

2) **Recommendation** - Continue to be mindful of translations. For example safety and security are the same word in some languages. Write regulations using plain language.

**Implementation of Recommendation** - The TSU, through TRANSSC, should continue with its methodical review and consideration of proposed changes to SSR-6 and advisory materials.

**Resource Estimate** – **Low**
3) **Recommendation** - Consider an “Interpretations Working Group” to TRANSSC or a similar consultants group to address requests by a Member State for interpretations of the intent of specific regulatory requirements.

**Implementation of Recommendation** - The TSU, working with the Transport Facilitation Working Group (TFWG), could develop a method to request a formal interpretation of a regulatory requirement. The TSU, then working with TRANSSC, and/or the applicable Member State could respond to the request for a formal interpretation. Formal interpretations could be archived and maintained in a database, made available on Sharepoint, for future reference.

**Resource Estimate** – *Moderate to High*

4) **Recommendation** - Address importance of consistency in implementation during regional workshops.

**Implementation of Recommendation** - The TSU should convey this importance to workshop participants.

**Resource Estimate** – *Low*

5) **Recommendation** - Utilize Regional Networks to assist emerging competent authorities in the development and implementation of harmonized safety and security regulations.

**Implementation of Recommendation** - The TSU, with the help of TRANSSC and Member States, identify Regional Experts who can provide assistance to emerging competent authorities.

**Resource Estimate** – *Moderate*

6) **Recommendation** - Secretariat should establish a process for formally requesting (possibly through the Missions to the Agency) updating of the listing of national competent authorities now re-instated on the Agency’s website (last updated 24 March 2014, but only by some Member States); and combining this list with a listing of each Member State’s TRANSSC members and NFPs.

**Implementation of Recommendation** - The TSU, with the help of TRANSSC, to maintain in an updated manner the listing of competent authorities, TRANSSC members and NFPs through periodic, formal communications with Member State Missions.

**Resource Estimate** – *Moderate*

2. **Findings relative to the global harmonization of the transport regulatory system (both safety and security) to avoid conflicts and varying requirements (primary challenge) and to maximize the harmonization between safety and security and Member States regulatory requirements.**

   a) While the harmonization of safety requirements is actively addressed, only a limited effort in regards to the harmonization of security recommendations has been undertaken (in part due to these recommendations only having been issued in recent years).

   b) Harmonization between SSR-6 and UN Orange Book regarding safety is well advanced; however, harmonization between transport-related Nuclear Security
Series documents and UN Orange Book security recommendations is mostly absent.

c) Some elements of NSS-9, Security in the Transport of Radioactive Material, and the Code of Conduct have been incorporated into the UN Orange Book; but UN Orange Book reference to INFCIRC/225 needs to be updated from Rev. 4 to Rev. 5.

d) Varying local and regional threat environments complicates harmonization of security recommendations.

Recommendations, Implementation and Resource Estimate:

NOTE: Three recommendations were combined into one method of implementation.

1) Recommendations – (Three recommendations were combined into one method of implementation):

   a) Security provisions for high consequence dangerous goods (i.e. in this case high consequence radioactive material) and for nuclear material (e.g. the new INFCIRC/225/Rev.5), as currently set forth in IAEA Nuclear Security Series documents should be considered for updating security requirements in the UN Model Regulations and the associated modal requirements documents.

   b) Consistent with Para. 108 of SSR-6, consideration should be given by the Secretariat to ensuring that safety provisions do not detract from security and that security provisions do not detract from safety.

   c) The Secretariat should consider rationalizing any differences between the safety fundamentals and the security fundamentals as issued by the Agency.

Implementation for all 3 recommendations related to security - The TSU and TRANSSC in conjunction with Nuclear Safety and Security Department and the Nuclear Security Guidance Committee, UN agencies and affected industries form a joint working group to identify and address areas where harmonization of transportation safety and security requirements amongst the various regulations, recommendations and guidance documents could be achieved.

Resource Estimate – High (for the safety and security elements of the Secretariat, combined)

3. Findings relative to the harmonization between IAEA and other UN organizations is important.

   a) General consensus that the harmonization between the sets of regulations for transport safety has greatly improved over the years.

   b) Different revision cycles limit the ability to rapidly harmonize fully. For example, at the international level, SSR-6 undergoes a two year Review/Revision Cycle; which compares with the fixed two-year revision cycle of the UN Orange Book and Modal Requirements documents. SSR-6 was last revised and issued in 2012, the changes became incorporated into the UN Orange Book in 2013, and will then be introduced as legally-binding requirements into the modal regulations in 2015.

   c) References must be incorporated only after publication. IAEA Guidance material approved in March 2012, not yet published. Need to expedite publication of IAEA Advisory material so it can be referenced in the UN Orange Book’s new revision.

   d) UN Orange book filters down to the modal regulations. Conventions may constrain use of common terminology between SSR-6 and modal regulations.
e) The potential for harmonization of UN Package Certification requirements (Classes 1-6, 8 and 9) and self-certified (Class 7) packages. There is a need to ensure that Class 7 packages that do not require competent authority design approval that contain a material with a subsidiary risk, have received required UN certification.

**Recommendations, Implementation and Resource Estimate:**

1) **Recommendation** - IAEA/TRANSSC to continue to engage with UN bodies to maintain highest level of consistency possible between IAEA regulations, recommendations and advisory material; and UN Model regulations.

   **Implementation of Recommendation** - The TSU, in conjunction with TRANSSC, continue coordination with UN bodies to maintain as high a level of consistency between regulatory documents as possible.

   **Resource Estimate** – Low

2) **Recommendation** - Secretariat should support the interagency group (IAG) in assisting in guiding harmonization of the regulations between agencies.

   **Implementation of Recommendation** - The TSU should continue to support the IAG in its harmonization efforts.

   **Resource Estimate** – Moderate

3) **Recommendation** - Secretariat should expedite publication of the new guidance document (replacement for TS-G-1.1, to be identified as SSG-26).

   **Implementation of Recommendation** – The Secretariat should place high priority on publishing this document.

   **Resource Estimate** – Low

4) **Recommendation** - Secretariat should consider convening a consultants meeting to assess the viability of harmonizing the package certifications for excepted packages, industrial packages and Type A packages with UN package certification requirements.

   **Implementation of Recommendation** - The Transport Safety Unit should identify appropriate TRANSSC members or consultants to participate in a consultants services meeting to evaluate the need for UN certification of excepted, industrial and Type A packages.

   **Resource Estimate** – Moderate
Annex 7.2  Report for Working Group 2

Working Group #2 on Communication

IAEA Headquarters, Vienna
1 to 3 April 2014.

WG #2 Report
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1.0 Introduction

Working Group (WG) #2 focused on the area of Communications from the President’s Findings of the 2011 International Conference on the Safe and Secure Transport of Radioactive Material. The findings, recommendations and actions from the 2011 conference, as well as from subsequent Technical Meetings (TMs) in this area were reviewed and discussed based on the Terms of Reference for the meeting and the WG provided by the Secretariat, as amended by the WG. The current status of these items was determined and where deemed necessary a path forward recommended.

2.0 Working Group #2 Participants

<table>
<thead>
<tr>
<th>Participant Name</th>
<th>Country/Organization Represented</th>
</tr>
</thead>
<tbody>
<tr>
<td>Kevin O’Donoghue</td>
<td>Ireland / DECLG</td>
</tr>
<tr>
<td>Yameogo Zakaria</td>
<td>Burkina Faso / Regulatory Body</td>
</tr>
<tr>
<td>Stephen Wittingham</td>
<td>IAEA Transport Safety Unit (TSU)</td>
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<tr>
<td>Christopher Melane</td>
<td>South Africa / NECSA</td>
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<tr>
<td>Artem Petrogyan</td>
<td>Armenia / Ministry of Energy and Natural Resources, Atomic Energy Department</td>
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<td>Jeff Ramsay</td>
<td>Canada/ CNSC</td>
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<tr>
<td>Ichitomo Taninai</td>
<td>Japan / Permanent Mission of Japan</td>
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<tr>
<td>Christian Tertrais</td>
<td>France / Ministry of Energy, Nuclear Security Department</td>
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3.0 Terms of Reference Taking into Account the Results of the 2011 International Transport Conference

Based on the Terms of Reference, the following items were reviewed and discussed. Note that some of the terms were revised and reorganized for better alignment with the work of the WG.

1. Review the President’s Findings and Recommendations from the 2011 Transport Conference, 2012 and 2013 follow-up TMs in the area of Communications.

2. Make note of recommendations that have already been implemented (partially or fully) as well as recommendations that may no longer be applicable (given current transport conditions).

3. Develop suggestions for implementation of the recommendations that have not yet been implemented, and any additional recommendations developed by the WG.
4. Take note of the working group report on government to government communications and the roadmap for dialogue between coastal and shipping states to become familiar with the work completed in this area.

5. Identify recommendations to improve communications related to international transport of radioactive material, between all parties involved with shipments and taking into account the ongoing dialogue between coastal and shipping states related to radioactive material shipments.

6. Identify measures for consideration by the IAEA to continue to support communications between shipping and coastal states.

7. Provide recommendations of vehicles for consideration of the outcomes of the working group by regional transport networks.

8. Provide a realistic estimate of the resources that would be needed to implement each action included in the list developed in (6).

4.0 Summary of Discussion and Recommendations

A summary of the WG discussions and any resulting recommendations are given below.

1. Each of the recommendations from the 2011, 2012 and 2013 meetings specifically related to communications were reviewed and discussed. A summary of the working group deliberations is presented in Attachments 1, 2 and 3 for the 2011, 2012 and 2013 meetings, respectively.

2. The Working Group on Best Practice Guidelines for Voluntary and Confidential Government to Government Communications on the Transport of Mox Fuel, High Level Radioactive Waste and, as appropriate, Irradiated Nuclear Fuel by Sea developed guidelines for shipping information that could be provided in advance of these shipments in September, 2013. These voluntary and confidential guidelines have been in use for almost a year and the roadmap will be reviewed and updated as necessary at the upcoming informal Coastal and Shipping States Meeting during the IAEA General Conference in September, 2014. It is planned that a desktop exercise to test the applicability of the guidelines will be conducted. It is also planned that the guidelines will be published in an INFCIRC document.

**Recommendation 1:** The WG supported the guidelines and welcomed their development. The WG agreed that it was important to conduct a desktop exercise on how these guidelines are used in practice with the participation of relevant actors.

**Recommendation 2:** Coastal and shipping states who are not currently involved should be encouraged to use the guidelines.

**Recommendation 3:** Regional networks and those shipping other materials should be encouraged to look at the guidelines and see if they could apply in whole or in part for other types of radioactive materials transport on a voluntary basis.

3. Communications at three different levels were discussed: communication between a government and its own public, between governments with developed communications channels (coastal and shipping states dialogue), and between governments with limited communications channels (political differences). It was agreed that each of these have
similar challenges, although some are more advanced than others in terms of addressing transport communication issues.

4. The nuclear transport community needs to more effectively deliver the message to the public that the record of safety for transport of radioactive materials is exemplary. The IAEA should be a leader in this public communication. Many Member States (MS) have developed public information websites and other material which could be made available to the IAEA to assist in the development of this message. Information is also available within the IAEA, such as the Transport Saves Lives brochure, which could be made more widely available.

**Recommendation 4:** The WG suggested using upcoming meetings (Emergency Preparedness and Response, May 2014, and TRANSSC in June 2014) to meet with MS to discuss what information could be made available to the IAEA from MS, what information to include in public communication material (website, fact sheets, etc.) and how to present the information.

**Recommendation 5:** The IAEA should make as much of the public communication material as possible available in all UN languages. The most efficient way to do this would be to translate only the relevant information on the transport portal page.

5. Consideration should be given to determine who is the correct contact point in each MS for the transmission of routine and or emergency transportation information. The Denials Focal Point has been recommended for this, but the WG does not agree that this is appropriate. The expertise and authority needed for denial of shipments is often much different than that for routine and emergency situations. Experience with the Denials Focal Point, as well as RANET (Response Assistance Network) should be used where applicable.

**Recommendation 6:** MS radioactive material transport contacts should be maintained in a list by the IAEA. Denial of Shipment and RANET experience could be used where applicable.

5.0 Conclusion

The WG reviewed and discussed prior work on communications in the transport of radioactive material. Six key recommendations for improvements or tasks going forward were identified. It was recognized by the WG that these additional recommendations to the IAEA may require extra resources. The Agency could consider an extra-budgetary funding model specifically aimed at transport safety issues to fund these endeavours.
Attachment 1: WG #2 Review of 2011 President’s Report Findings on Communication

1. Some Coastal States would like to have additional information (shipment particulars, emergency response plans, etc.) in advance of shipment transiting in their vicinity.

Status: Complete

The Working Group on Best Practice Guidelines for Voluntary and Confidential Government to Government Communications on the Transport of Mox Fuel, High Level Radioactive Waste and, as appropriate, Irradiated Nuclear Fuel by Sea developed guidelines for shipping information that could be provided in advance of these shipments in September, 2013. These voluntary and confidential guidelines have been in use for almost a year and the roadmap will be reviewed and updated as necessary at the upcoming informal Coastal and Shipping States Meeting during the IAEA General Conference in September, 2014. It is planned that a desktop exercise to test the applicability of the guidelines will be conducted. It is also planned that the guidelines will be published in an INFCIRC document.

Recommendation 1: The WG supported the guidelines and welcomed their development. The WG agreed that it was important to conduct a desktop exercise on how these guidelines are used in practice with the participation of relevant actors.

Recommendation 2: Coastal and shipping states who are not currently involved should be encouraged to use the guidelines.

Recommendation 3: Regional networks and those shipping other materials should be encouraged to look at the guidelines and see if they could apply in whole or in part for other types of radioactive materials transport on a voluntary basis.

2. Concerns were expressed about the appropriateness, practicality and legal aspects of prior notification.

Status: Complete

These aspects were debated and resolved adequately in developing the guidelines discussed in Item 1, above.

Recommendation: None

3. IMO stated that prior notification is not required for shipments under normal conditions and that any further discussions on prior notification must involve IMO.

Status: Complete

This point was discussed and resolved adequately in developing the guidelines discussed in Item 1, above.
Recommendation: None

4. Public awareness of measures to achieve the safe and secure transport of radioactive material is important. Opportunities to improve transparency should be explored.

Status: Ongoing

The nuclear transport community needs to more effectively deliver the message to the public that the record of safety for transport of radioactive materials is exemplary. The IAEA should be a leader in this public communication. Many Member States (MS) have developed public information websites and other material which could be made available to the IAEA to assist in the development of this message. Information is also available within the IAEA, such as the Transport Saves Lives brochure, which could be made more widely available.

**Recommendation 4:** The WG suggested using upcoming meetings (Emergency Preparedness and Response, May 2014, and TRANSSC in June 2014) to meet with MS to discuss what information could be made available to the IAEA from MS, what information to include in public communication material (website, fact sheets, etc.) and how to present the information.

**Recommendation 5:** The IAEA should make as much of the public communication material as possible available in all UN languages. The most efficient way to do this would be to translate only the relevant information on the transport portal page.

5. Public information must reach the concerned public to be effective. It is difficult to get media coverage for a positive message.

Status: Combined with Item 4 above.
Recommendation: See Item 4 above.

6. Effective communication and transparency can reduce the public perception of the risk of radioactive material shipments.

Status: Combined with Item 4 above.
Recommendation: See Item 4 above.

7. Best practice guidelines should be developed for systematic and timely government-to-government communications to build on the current practice of voluntary exchange of information.

Status: Complete

Guidelines have been developed as note in Item 1 above.

Recommendation: None
Attachment 2: WG #2 Review of 2012 TM-43650 Technical Meeting to Produce a Follow-up Report to the 2011 Transport Conference

Three Year Work Plan – three related tasks:

1. Provide communication strategy for denial of shipment

   Status: This Item is under the jurisdiction of the Denial of Shipment WG (WG #3) of this TM (TM 47137) and is addressed in their report.

   Recommendation: None

2. Coordinate regional networks and develop targeted training packages

   Status: Ongoing

   Consideration should be given to determine who is the correct contact point in each MS for the transmission of routine and or emergency transportation information. The Denials Focal Point has been recommended for this, but the WG does not agree that this is appropriate. The expertise and authority needed for denial of shipments is often much different than that for routine and emergency situations. Experience with the Denials Focal Point, as well as RANET (Response Assistance Network) should be used where applicable.

   **Recommendation 6**: MS radioactive material transport contacts should be maintained in a list by the IAEA. Denial of Shipment and RANET experience could be used where applicable.

3. Provide transport safety film for training and public awareness

   Status: Ongoing – currently planned by the IAEA

   The IAEA is currently planning to develop transport safety films for training and public awareness. These films would be short information films that would be posted on the web site.

   Recommendation: None
Attachment 3: WG #2 Review of 2013 TM-44897 Technical Meeting to Produce a Follow-up Report to the 2011 Transport Conference

1. Continue with the transport safety work plan
   Status: Ongoing
   The WG agreed that continued work on the transport safety work plan is important.
   Recommendation: None

2. Continue with ISC action plan via proposed new UN inter-agency committee
   Status: Ongoing
   The WG agreed that continued work on the ISC action plan is important.
   Recommendation: None

3. Consider development of public information film (including transport safety and security)
   See Attachment 2, Item 3.

4. Develop best practice guidelines to help provide voluntary and timely government to government dialogue. Precise details should be produced and agreed through informal shipping/coastal states dialogue, taking into account safety and security considerations.
   See Attachment 1, Item 7.

5. Prepare information packs
   • Consider existing fact sheets
   • Encourage industry participation in development
   See Attachment 1, Item 4

6. Focus on making relevant material available in all UN languages
   See Attachment 1, Item 4

7. Examine whether communication programs similar to other industries would be beneficial (e.g. perhaps chemical responsible care program)
   Status: Complete
   The chemical responsible care program was reviewed and discussed in relation to the communication framework for radioactive material transport. It was considered by the WG that a program such as the responsible care program would not significantly improve the existing framework.
   Recommendation: See Attachment 1, Item 4.
Annex 7.3  Report for Working Group 3
TM-47137
Working Group 3, Denial of Shipment

Participants
Bosnia-Herzegovina
Bulgaria
Croatia
Edlow International
Egypt
IMO
Iran
ISSPA
Kenya
Korea Rep.
Netherlands
Qatar
Pakistan
Philippines
Russia
Slovakia
South Africa
T.I.C.
WNA
WNTI
Denial of Shipment WG Agenda


2. TSU: Status of ISC 8 Report – IAEA position regarding DOS

3. Consolidation of current status of actions re DOS

4. DWG (now TFWG : Transport Facilitation Working Group) membership

5. Preparation of Presentation to IAG by DWG

Three sub-groups were formed to focus on 3 subject areas: harmonisation, communication and denial reporting. Each of these sub-groups assessed current status of their area of focus, identified changes required based on the new structure, on experience to date, and on needs for the future. The sub-groups reported to the DOS WG Plenary providing detailed suggestions for changes, improvements and next steps. Specific changes were made to a number of documents with suggestions for change to others. Actions arising and recommendations from the sub-group discussions were incorporated in a table titled “Recommendations from the Deliberations of Working Group #3” and placed in Annex 1.

Further, all recommendations from the 2011, 2012, 2013 and ISC 8 meetings were incorporated in tables in the Annex 1 so as to consolidate all results to date. A review of these recommendations was conducted such that completed or duplicated recommendations were removed from each subject meeting table and placed into another table titled “Recommendations not carried forward (from that subject meeting)”.

The intent of Annex 1 is to form the basis for all future work of the TFWG, and to provide, in a single location, a summary of all recommendations from all meetings dealing with DOS. The Annex 1 will be further reviewed to simplify the recommendations and to complete the tables with the additional information identified in column headers. This will be completed by the TFWG.

A final and more thorough WG meeting report will be provided to TSU once complete, however this summary and the details of Annex 1 provide a good overview of the actions and outcomes from this WG.