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Development of a National Policy and Strategy for Safety

Overview of IAEA Safety Requirement GS-R- part1

L.1.1

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Structure

- RESPONSIBILITIES AND FUNCTIONS OF THE GOVERNMENT
- THE GLOBAL SAFETY REGIME
- RESPONSIBILITIES AND FUNCTIONS OF THE REGULATORY BODY
Responsibilities and Functions of the Government

Requirement 1

The government, in cooperation with legislative bodies, shall establish a national policy and strategy for safety, the execution of which shall be subject to a graded approach, in accordance with the national circumstances and with the radiation risks associated with the facilities and activities, to achieve the fundamental safety objective and to apply the fundamental safety principles established in the Safety Fundamentals.
Responsibilities and Functions of the Government

**Requirement 2**

The government, in cooperation with legislative bodies, shall establish and maintain an appropriate governmental, legal and regulatory framework for safety within which responsibilities are clearly allocated.
Responsibilities and Functions of the Government

Requirement 3

The government shall, through its legal system, establish and maintain a regulatory body, and provide it with the legal authority and the competence and the resources necessary to fulfil its statutory obligation for the regulation of facilities and activities.
Responsibilities and Functions of the Government

**Requirement 4**

The government shall ensure that the regulatory body is *effectively independent* in its decision making and that it has functional separation from entities having interests or responsibilities that could unduly influence decision making by the regulatory body.
Responsibilities and Functions of the Government

Requirement 5

The government shall explicitly assign the prime responsibility for safety to the person or organization responsible for the facility or the activity, and shall provide the regulatory body with the authority to require such persons or organizations to comply with stipulated safety requirements, as well as to demonstrate this compliance.
Responsibilities and Functions of the Government

**Requirement 6**

The government shall stipulate that compliance with regulations and requirements promulgated by the regulatory body does not discharge person or organization of their prime responsibility for safety.
Responsibilities and Functions of the Government

Requirement 7

Where different authorities have responsibilities in the regulatory framework for safety, the government shall provide for the effective coordination of their regulatory functions, to avoid any omissions or undue duplication and to avoid conflicting requirements being placed on authorized parties.
Responsibilities and Functions of the Government

Requirement 8

The government shall provide for emergency preparedness that ensures a timely and effective response to a nuclear or radiological emergency.
Responsibilities and Functions of the Government

**Requirement 9**

The government shall establish an effective system for protective actions to reduce undue radiation risks associated with *unregulated sources* (of natural and artificial origin) and contamination from past activities or events, consistent with the principles of justification and optimization.
Responsibilities and Functions of the Government

Requirement 10

The government shall make provision for the safe decommissioning of facilities and the safe management and final disposal of radioactive waste arising from facilities and activities, and for the safe management of spent fuel.
Responsibilities and Functions of the Government

**Requirement 11**

The government shall make provision for building and maintaining the competence of all parties having responsibilities relating to the safety of facilities and activities.
Responsibilities and Functions of the Government

Requirement 12

The government shall ensure that adequate infrastructural arrangements for the interfaces between safety and nuclear security and the State system of accounting for and control of nuclear material are established within the governmental framework.
Responsibilities and Functions of the Government

Requirement 13

The government shall make provision, where necessary, for technical services relating to safety, such as services for personal dosimetry, environmental monitoring and calibration of equipment.
Global Nuclear Safety Regime

International Legal Instruments

Conventions and Codes of Conduct

IAEA Nuclear Safety Standards

Global Knowledge Network

IAEA Safety Reviews and Services

Global Experts’ Community

National and Regional Nuclear Infrastructure

Regulation Enforcement

Use and Operation

Research and Education
Global Safety Regime

Requirement 14

The government shall fulfil the relevant international obligations, shall participate in relevant international arrangements, including international peer reviews, and shall promote appropriate international cooperation to enhance safety globally.
Global Safety Regime

Requirement 15

The regulatory body shall make arrangements for analysis to be carried out to identify lessons learned from operating experience and regulatory experience, including experience in other States, and for the dissemination of the lessons learned and their implementation by authorized parties and the regulatory body and other relevant authorities.
Responsibilities and Functions of the Regulatory Body

Requirement 16

The regulatory body shall structure its organization and manage its resources so as to discharge its responsibilities and perform its functions effectively; this shall be accomplished in a manner commensurate with the radiation risks associated with facilities and activities.
Responsibilities and Functions of the Regulatory Body

**Requirement 17**

The regulatory body shall conduct its activities in a manner that does not compromise its **effective independence**.
Responsibilities and Functions of the Regulatory Body

**Requirement 18**

The regulatory body shall employ a sufficient number of qualified and competent staff, commensurate with the nature and number of the facilities and activities to be regulated, to carry out its functions and discharge its responsibilities.
Responsibilities and Functions of the Regulatory Body

Requirement 19

The regulatory body shall establish, implement, and assess and improve a management system that is aligned with its safety goals and contributes to their achievement.
Responsibilities and Functions of the Regulatory Body

**Requirement 20**

The regulatory body shall obtain technical or other expert professional advice or services as necessary in support of its regulatory functions, but this shall not relieve the regulatory body of its responsibilities.
Responsibilities and Functions of the Regulatory Body

Requirement 21

The regulatory body shall establish formal and informal mechanisms of communication with authorized parties on all safety related issues, conducting a professional and constructive liaison.
Responsibilities and Functions of the Regulatory Body

**Requirement 22**

The regulatory body shall ensure that the application of regulatory requirements is stable and consistent.
Responsibilities and Functions of the Regulatory Body

Requirement 23

Authorization by the regulatory body, including specification of the conditions necessary for safety, shall be a prerequisite for those facilities and activities that are not explicitly exempted or approved by a notification process.
Responsibilities and Functions of the Regulatory Body

**Requirement 24**

The applicant shall be required to submit an adequate demonstration of safety in support of an application for authorization.
Responsibilities and Functions of the Regulatory Body

Requirement 25

The regulatory body shall review and assess relevant information—whether submitted by the authorized party or the vendor, compiled by the regulatory body, or obtained from other sources—to determine whether they comply with safety requirements and conditions for their authorization. This review and assessment of information shall be performed prior to authorization and again over the lifetime of the facility or the duration of the activity, as specified in regulations or in the authorization.
Responsibilities and Functions of the Regulatory Body

**Requirement 26**

Review and assessment shall be commensurate with the radiation risks associated with the facility or activity, in accordance with a **graded approach**.
Responsibilities and Functions of the Regulatory Body

Requirement 27

The regulatory body shall carry out inspections of facilities and activities to verify that the authorized party is in compliance with the safety requirements and with the conditions upon which authorization is granted.
Responsibilities and Functions of the Regulatory Body

Requirement 28

Inspections shall include programmed inspections and reactive inspections; both announced and unannounced.
Responsibilities and Functions of the Regulatory Body

**Requirement 29**

Inspections shall be commensurate with the radiation risks associated with the facility or activity, in accordance with a *graded approach*.

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Structures, systems and components; operational activities; management systems; *contractors*; staff competence and training; safety culture, etc...
Responsibilities and Functions of the Regulatory Body

**Requirement 30**

The regulatory body shall establish and implement an **enforcement policy** within the legal framework, for responding to non-compliance by authorized parties with safety requirements or with any conditions specified in the authorization.
Responsibilities and Functions of the Regulatory Body

**Requirement 31**

The regulatory body shall require corrective actions to be taken if unsafe or potentially unsafe situations are discovered, including conditions not specified in the authorization.
Responsibilities and Functions of the Regulatory Body

**Requirement 32**

The regulatory body shall establish or adopt regulations and guides to promulgate the principles, requirements and associated criteria for safety upon which its regulatory decisions and actions are based.
Responsibilities and Functions of the Regulatory Body

**Requirement 33**

Regulations and guides shall be *reviewed and revised*, as necessary, to keep them up to date with due consideration of relevant international safety and technical standards and experience gained.
Responsibilities and Functions of the Regulatory Body

Requirement 34

The regulatory body shall notify interested parties and the public of the principles and criteria for safety used as the basis for its regulations and guides, and shall make these regulations and guides available upon request.
Responsibilities and Functions of the Regulatory Body

Requirement 35

The regulatory body shall provide for establishing, maintaining and keeping retrievable adequate records relating to the safety of facilities and activities.
Responsibilities and Functions of the Regulatory Body

Requirement 36

The regulatory body, to ensure transparency and openness, shall promote the establishment of appropriate means of informing and consulting interested parties and the public about the possible radiation risks associated with facilities and activities, and about the processes of the regulatory body and the related decisions.