

# **Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management (Joint Convention)**

## **Second Extraordinary Meeting of the Contracting Parties**

**12–13 May 2014, Vienna, Austria**

### **SUMMARY REPORT**

1. The Second Extraordinary Meeting of the Contracting Parties to the Joint Convention was held at IAEA headquarters from 12 to 13 May 2014.
2. Fifty-two Contracting Parties participated in the Extraordinary Meeting, namely: Albania, Argentina, Armenia, Australia, Austria, Belarus, Belgium, Brazil, Bulgaria, Canada, China, Croatia, Cyprus, Czech Republic, Denmark, Estonia, Finland, France, Germany, Ghana, Hungary, Indonesia, Ireland, Italy, Japan, Kazakhstan, Korea, Republic of, Latvia, Lithuania, Luxembourg, Malta, Montenegro, Nigeria, Norway, Oman, Poland, Portugal, Romania, Russian Federation, Saudi Arabia, Slovakia, Slovenia, South Africa, Spain, Sweden, Switzerland, Ukraine, United Arab Emirates, United Kingdom, United State, Viet Nam and EURATOM.
3. The meeting was opened by Mr Pil Soo Hahn, Director of the Division of Radiation, Transport and Waste Safety, Department of Nuclear Safety and Security, who welcomed all Contracting Parties. He noted that the meeting was a further effort by the Contracting Parties to improve the implementation of the safety conventions adopted under the auspices of the IAEA, in response to the Action Plan on Nuclear Safety, and reported that the Secretariat of the Joint Convention welcomed the overall effort made by Contracting Parties. Since the very beginning of the Joint Convention Review Meetings, specific meetings had been convened by the Contracting Parties to discuss improvements to the Joint Convention.
4. As further background to the meeting, Mr Hahn noted that, at the Fourth Review Meeting, Contracting Parties had agreed on several improvements to the rules and guidelines of the Joint Convention. These agreements implied further work, and several meetings had been convened by the leadership of the Joint Convention and the Convention on Nuclear Safety to discuss means to ensure coherence between the rules governing the review process of both Conventions. In addition, an Inter-Sessional Meeting had been held in April last year, which would be reported on at this meeting.
5. Pursuant to Rule 42.4 of the Rules of Procedure and Financial Rules: “*The President of the most recent Review Meeting shall act as President of the Extraordinary Meeting.*” As the President of the Fourth Review Meeting was unable to preside over this Extraordinary Meeting, in accordance with Rule 13.1 of the Rules of Procedure and Financial Rules, the President designated Ms Olena Mykolaichuk, Vice-President of the Fourth Review Meeting, to act as the President of this Extraordinary Meeting.

6. The provisional agenda for the Meeting, JC/EM2/01/Rev.1, had been distributed to Contracting Parties and was adopted (see Annex 1).

7. The meeting examined the credentials of delegates and accepted the credentials thus far submitted and, in accordance with the established practice, allowed the delegates for whom proper credentials had not yet been received to participate in the work of the Meeting on the understanding that they would submit credentials in due form as soon as possible, preferably before the end of the meeting.

8. The President also informed the Contracting Parties that, according to the Secretariat's records, there were no late ratifiers and no requests from Intergovernmental Organizations to attend this Extraordinary Meeting.

9. The Contracting Parties agreed on a number of changes to the Rules of Procedure and Financial Rules for the Joint Convention, INFCIRC/602/Rev.5, the Guidelines regarding the Review Process, INFCIRC/603/Rev.6 and the Guidelines regarding the Form and Structure of National Reports, INFCIRC/604/Rev.3, as set out in Annexes 2 to 4, respectively, of this report. While all of the agreed changes to the three INFCIRC documents would take effect immediately, it was agreeable to all Contracting Parties that, for the Fifth Review meeting, Contracting Parties may choose to stay with previous practice concerning the preparation of National Reports (INFCIRC/604/Rev.2) or to use the newly established procedures (INFCIRC/604/Rev.3).

10. The Contracting Parties also agreed to discontinue the Working Group of Experienced Officers of the Joint Convention and the Convention on Nuclear Safety, and instead, as practicable, to invite to the 'workshop of incoming and outgoing officers' of the Joint Convention the Presidency (the President and two Vice-Presidents) of the last Review Meeting of the Convention on Nuclear Safety and, where necessary, additional experienced officers, to informally share experience and lessons learned under the review processes of the Convention on Nuclear Safety; and to encourage the Contracting Parties of the Convention on Nuclear Safety to similarly invite to the 'officers' turnover meeting' of the Convention on Nuclear Safety the Presidency of the last Review Meeting of the Joint Convention and, where necessary, additional experienced officers, to informally share experience and lessons learned under the review processes of the Joint Convention.

11. The Contracting Parties also took note of the "Synopsis of relevant IAEA Safety Standards that relate to the issues addressed by Articles of the Joint Convention", and decided to establish an Editorial Group to further examine the document, with the aim of arriving at a text acceptable to all Contracting Parties. The Editorial Group should provide a report to the Contracting Parties two months in advance of the next Review Meeting, to enable the Contracting Parties to adopt the document. The Contracting Parties were requested to nominate representatives to participate in this Editorial Group within one month.

12. As provided for in Article 34 of the Joint Convention, a Summary Report was prepared and agreed upon, to be published at the end of the Extraordinary Meeting. The draft Summary Report was examined paragraph by paragraph on 13 May and amended as necessary. The final version was approved by the Contracting Parties by consensus.

13. The final Summary Report of the Second Extraordinary Meeting was issued as JC/EM2/04/Rev.1

14. Finally, it was noted that the Fifth Review Meeting of the Joint Convention would take place from 11 May 2015 at IAEA headquarters in Vienna.

List of annexes

1. Agenda of the meeting
2. INFCIRC/602/Rev.5, Rules of Procedures and Financial Rules, as agreed at the meeting
3. INFCIRC/603/Rev.6, Guidelines regarding the Review Process, as agreed at the meeting
4. INFCIRC/604/Rev.3, Guidelines regarding the Form and Structure of National Reports, as agreed at the meeting

**Annex I**  
**INTERNATIONAL ATOMIC ENERGY AGENCY**

**Joint Convention on the Safety of Spent Fuel Management and on the  
Safety of Radioactive Waste Management (Joint Convention)**

**Second Extraordinary Meeting of the Contracting Parties**

**12–13 May 2014, Vienna, Austria**

**Board Room D (C Building), Vienna International Centre**

**AGENDA**

1. Opening of the meeting
2. Adoption of the agenda
3. Credentials of participants
4. Report on the First Intersessional Meeting
5. Consideration of proposals made by Contracting Parties, and, review and adoption of
  - Draft INFCIRC/602/Rev.5, *Rules of Procedures and Financial Rules*;
  - Draft INFCIRC/603/Rev.6, *Guidelines regarding the Review Process*; and
  - Draft INFCIRC/604/Rev.3, *Guidelines regarding the Form and Structure of National Reports*
6. Any other business
  - a. Mandate of the Working Group of Experienced Officers of the Joint Convention and the Convention on Nuclear Safety
  - b. Revision of the “Synopsis of relevant IAEA Safety Standards that relate to the issues addressed by Articles of the Joint Convention”, issued as working material in 2008
  - c. Background information booklet prepared by the Secretariat (pursuant to INFCIRC/603/Rev.5, paragraph 6)
7. Examination of the President’s report
8. Closing of the meeting

# Information Circular

**INFCIRC/602/Rev.5\_Draft 2**

Date: 13 May 2014

**General Distribution**

Original: English

---

## Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

### **Rules of Procedures and Financial Rules**

### **As agreed at the Second Extraordinary Meeting**

1. The “Rules of Procedure and Financial Rules” adopted at the Preparatory Meeting of the Contracting Parties to the Joint Convention held from 10 to 12 December 2001 were modified at the First Review Meeting of Contracting Parties held from 3 to 14 November 2003, the Extraordinary Meeting of Contracting Parties held on 7 November 2005, the Third Review Meeting of Contracting Parties held from 11 to 20 May 2009 and the Fourth Review Meeting of Contracting Parties held from 14 to 23 May 2012.
2. The modified “Rules of Procedure and Financial Rules” are set forth in the Attachment hereto.

# Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

## Rules of Procedure and Financial Rules

### Contents

- A. GENERAL PROVISIONS
  - A.1. SCOPE
  - A.2. DEFINITIONS
  - A.3. VENUE OF MEETINGS
  - A.4. AGENDAS
  - A.5. SECRETARIAT
  - A.6. REPRESENTATION AND CREDENTIALS
  - A.7. FINANCIAL RULES
- B. PREPARATORY PROCESS FOR REVIEW MEETINGS
- C. REVIEW MEETINGS
  - C.1. OFFICERS
  - C.2. SUBSIDIARY BODIES
  - C.3. CONDUCT OF REVIEW MEETINGS
  - C.4. VOTING AND ELECTIONS
  - C.5. NATIONAL REPORTS
  - C.6. LANGUAGES AND RECORDS
  - C.7. ATTENDANCE AT MEETINGS
- D. EXTRAORDINARY MEETINGS
- E. AMENDMENT AND INTERPRETATION OF RULES
- F. AMENDMENT AND INTERPRETATION OF GUIDELINES

## **A. GENERAL PROVISIONS**

### **A.1. SCOPE**

#### **Rule 1 Scope**

These Rules of Procedure apply, *mutatis mutandis*, to any meetings of the Contracting Parties to the Convention.

### **A.2. DEFINITIONS**

#### **Rule 2 Definitions**

For the purposes of these Rules:

- A. "Convention" means the Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management adopted at Vienna on 5 September 1997 and opened for signature at Vienna on 29 September 1997;
- B. "Co-ordinator" means a person referred to in Rule 11 (2)(C);
- C. "Country Group" means a group of Contracting Parties established pursuant to Rule 17;
- D. "General Committee" means a Committee established pursuant to Rule 16;
- E. "Late ratifier" means a State, or a regional organization of an integration or other nature, which deposits its instrument of ratification, acceptance, approval or accession later than 90 days before the date fixed for the opening of the meeting concerned;
- F. "Meeting" means a meeting of the Contracting Parties pursuant to Chapter 6 of the Convention;
- G. "Observer" means any intergovernmental organization invited by the Contracting Parties to attend any meeting pursuant to Article 33 (2) of the Convention;
- H. "Organizational Meeting" means a meeting established pursuant to Rule 11;
- I. "Rapporteur" means a person referred to in Rule 11(2)(C);
- J. "Rapporteur's Report" means an oral report prepared pursuant to Rule 17 (3);
- K. "Subsidiary Body" means any body set up in accordance with Section C.2. of the Rules; and
- L. Other terms used in these Rules of Procedure shall have the same meaning that they have in the Convention.

### **A.3. VENUE OF MEETINGS**

#### **Rule 3 Venue of meetings**

Meetings of Contracting Parties to the Convention shall take place at the seat of the Secretariat, unless the Contracting Parties decide otherwise.

## **A.4. AGENDAS**

### **Rule 4 Agendas**

3. The Secretariat shall prepare, in consultation with the person elected pursuant to Rule 11(2)(a) by the Organizational Meeting as President, the provisional agendas for meetings of the Contracting Parties except for the Preparatory Meeting and the first Organizational Meeting, for each of which the provisional agendas shall be prepared by the Secretariat alone.
4. The provisional agenda shall be sent to Contracting Parties and observers by the Secretariat as far in advance as possible, and in any case not later than 60 days before the meeting.

## **A.5. SECRETARIAT**

### **Rule 5 Secretariat of meetings of the Contracting Parties**

In accordance with the Convention, the IAEA shall serve as the Secretariat of the meetings of Contracting Parties and meetings of Subsidiary Bodies and, as appropriate, shall:

- A. arrange for the interpretation of speeches or other interventions made at meetings;
- B. receive, translate pursuant to Rule 9, reproduce and circulate the documents of meetings of Contracting Parties;
- C. publish and circulate any reports or final documents of the meetings of Contracting Parties;
- D. arrange for the custody of any reports or final documents of the meetings of Contracting Parties in the archives of the IAEA, provide access to authentic copies of those documents to all serving Country Group Officers or access to records to any Contracting Parties, at their request, and ensure their confidentiality from disclosure, consistent with Articles 34 and 36 of the Convention~~as appropriate~~; and
- E. generally perform all the work related to the meetings of Contracting Parties within the terms of Article 37 (3) of the Convention.

### **Rule 6 Secretary of meetings of the Contracting Parties**

1. A senior official of the IAEA shall act as Secretary of the meetings of Contracting Parties. The Secretary, or his or her representative, shall act in that capacity at all meetings of Contracting Parties and meetings of Subsidiary Bodies.
2. The Secretary shall direct the staff required by the meetings.
3. The Secretary, or his or her representative, shall assist the President and the General Committee and shall prepare such written records as may be requested.

## **A.6. REPRESENTATION AND CREDENTIALS**

### **Rule 7 Delegations of Contracting Parties**

1. Each Contracting Party shall attend meetings of the Contracting Parties pursuant to Chapter 6 of the Convention and be represented at such meetings by one delegate, and by such alternates, experts and advisers as it deems necessary.
2. Each delegate may designate any member of his or her delegation to act in his or her place during a meeting.

### **Rule 8 Submission of credentials**

1. The credentials of delegates and the names of alternates, experts and advisers shall be submitted to the Secretary of a meeting of the Contracting Parties, if possible one week before the date fixed for the opening of that meeting. Credentials shall be issued by the Ministry for Foreign Affairs or, in the case of regional organizations of an integration or other nature, by the competent authority of that organization.
2. The Secretary shall submit to each meeting of the Contracting Parties a list of the participating delegations, together with any comments the Secretary may consider necessary. The meeting of the Contracting Parties shall decide upon the credentials of the delegates.

## **A.7. FINANCIAL RULES**

### **Rule 9 Financial Rules**

The costs of meetings of the Contracting Parties shall be met as follows:

- A. The following costs shall be met through the regular budget of the IAEA as determined by its policy-making organs within its programme and regular budget procedures:
  - (i) the costs of convening and preparing for meetings;
  - (ii) the costs of providing meeting rooms; and
  - (iii) the costs of normal secretariat services, including interpretation and translation as necessary, the reproduction and distribution of documents and the recording of meetings.
- B. Each Contracting Party shall pay its costs of participating in meetings of the Contracting Parties in connection with travel, maintenance of its delegation, preparation of its national report, and translation of its National Report into the designated language of the Review Meeting, consistent with Article 35 (2) of the Convention.
- C. If compensated, the Secretariat shall assume the translation into the designated language of reports submitted in any other language of the meeting, consistent with Article 35 (3) of the Convention.
- D. As foreseen in Article 37 (3) of the Convention, any services requested from the IAEA by consensus of the Contracting Parties which cannot be undertaken within its programme and regular budget may only be provided if voluntary funding from another source is made available.

## **B. PREPARATORY PROCESS FOR REVIEW MEETINGS**

### **Rule 10      Preparatory Meeting**

At the Preparatory Meeting, the Contracting Parties shall discharge the duties under Article 29 of the Convention and, *inter alia*:

- A. elect a President and Vice-President for the Preparatory Meeting;
- B. prepare and adopt by consensus Rules of Procedure and Financial Rules;
- C. establish in accordance with the Rules of Procedure, guidelines regarding the form and structure of National Reports, a date for the submission of such reports and the process for reviewing such reports;
- D. determine the date of the first Review Meeting and the associated Organizational Meeting;
- E. request the IAEA, through its Director General and Board of Governors, to approve the necessary arrangements for all meetings of the Contracting Parties; and
- F. consider procedural issues regarding the Preparatory Meeting, the Organizational Meeting and the Review Meeting, as appropriate.

### **Rule 11      Organizational Meetings**

1. Approximately twelve months prior to each Review Meeting, an Organizational Meeting shall be held. It shall be open for attendance by all Contracting Parties and by late ratifiers.

2. An Organizational Meeting shall, *inter alia*,

- A. elect the President and Vice-President for the forthcoming Review Meeting;
- B. establish Country Groups for the forthcoming Review Meeting;
- C. elect Country Group Co-ordinators, Rapporteurs, Chairpersons and Vice-Chairpersons for the forthcoming Review Meeting, and assign them to the Country Groups so that no Co-ordinator, Rapporteur, Chairperson or Vice-Chairperson is assigned to the Country Group of which his or her country is a member;
- D. decide whether it is appropriate to organize topic sessions, and, if so, make arrangements for such sessions;
- E. invite any observers to the forthcoming Review Meeting;
- F. recommend a budget for the Review Meeting on the basis of cost estimates provided by the Secretariat;
- G. decide on a provisional timetable for the Review Meeting; and
- H. consider any other matters relevant to implementation of the Convention, to the extent that they have not been dealt with at the Preparatory Meeting or at the most recent Review Meeting.

3. The President and the two Vice-Presidents of the most recent Review Meeting shall act as President and Vice-Presidents of the following Organizational Meeting and shall relinquish their functions at the end of the Organizational Meeting to the elected President and two Vice Presidents.

4. The Country Group Review Officers (Chairperson, Vice-Chairpersons, Rapporteur and Coordinator) of the most recent Review Meeting shall act as Country Group Officers until the following Organizational Meeting where they shall relinquish their functions as officers to the elected Country Group Officers.

## **C. REVIEW MEETINGS**

### **C.1. OFFICERS**

#### **Rule 12      Officers**

Each Review Meeting shall have the following officers: a President and two Vice-Presidents; a Rapporteur, a Chairperson, a Vice-Chairperson and a Co-ordinator for each Country Group.

#### **Rule 13      Acting President**

1. If the President is absent from a meeting or any part thereof, he or she shall designate one of the Vice-Presidents to take his or her place.
2. A Vice-President acting as President shall have the same powers and duties as the President.

#### **Rule 14      Voting rights of the President**

The President, or a Vice-President acting as President, shall not vote, but the voting right may be exercised by another member of his or her delegation.

#### **Rule 15      General powers of the President**

1. The President shall preside at the plenary sessions of the Review Meeting. The President shall declare the opening and closing of each session, direct the discussion, ensure observance of these rules, accord the right to speak, ascertain consensus, put questions to the vote on procedural matters or elections and announce decisions. The President shall rule on points of order. The President, subject to these rules, shall have complete control of the proceedings and over the maintenance of order. The President may propose to the Review Meeting the closure of the list of speakers, a limitation on the time to be allowed to speakers and on the number of times the delegate of each State may speak on any question, the adjournment or the closure of the debate and the suspension or the adjournment of a session. The President shall prepare a report on the procedural decisions taken by the Review Meeting for circulation to the Contracting Parties.
2. The President, in the exercise of his or her functions, shall remain under the authority of the Review Meeting.

### **C.2. SUBSIDIARY BODIES**

#### **Rule 16      General Committee**

1. The General Committee of the Review Meeting shall be composed of the President of the meeting, who shall preside, the two Vice-Presidents, and the Chairpersons of the Country Groups. No

two members of the General Committee of the Review Meeting shall be members of the same delegation. The General Committee shall be constituted so as to ensure its representative character.

2. If the President is unable to attend a meeting of the General Committee, he or she may designate one of the Vice-Presidents to preside at that meeting.
3. The General Committee of the Review Meeting shall assist the President in the general conduct of the business of the Review Meeting.
4. A majority of the members of the General Committee shall constitute a quorum.

#### **Rule 17 Country Groups**

1. Each Contracting Party to the Convention shall be represented in its allocated Country Group.
2. Each Country Group, taking into consideration the Preamble and Chapter I of the Convention, shall review the implementation of the Convention by the Contracting Parties within that Group.
3. The Rapporteur of each Country Group shall prepare an agreed working document as the basis for an oral report to be presented at a plenary session of the Review Meeting.

#### **Rule 18 Officers and procedures**

The rules relating to officers, the conduct of business and voting at Review Meetings shall be applicable, *mutatis mutandis*, to the proceedings of Subsidiary Bodies.

#### **Rule 19 Establishment of Subsidiary Bodies**

1. A Meeting may establish such other Subsidiary Bodies as it deems necessary for the performance of its functions.
2. A Meeting shall determine the matters to be considered by those Subsidiary Bodies.
3. Each Subsidiary Body shall elect its own officers, unless otherwise decided by the Meeting.

### **C.3. CONDUCT OF REVIEW MEETINGS**

#### **Rule 20 Quorum**

The President may declare a meeting open and permit the debate to proceed when a majority of the Contracting Parties participating in the Review Meeting are represented.

#### **Rule 21 Points of order**

A delegate may at any time raise a point of order, which shall be immediately decided by the President in accordance with these rules. An appeal against the ruling of the President shall be immediately put to the vote, and the President's ruling shall stand unless overruled by a majority of the delegates present and voting. A delegate may not, in raising a point of order, speak on the substance of the matter under discussion.

#### **Rule 22 Speeches and debate at plenary sessions**

1. No one may address a plenary session of a Review Meeting without having previously obtained the permission of the President. Subject to Rules 21 and 23, the President shall call upon speakers in the order in which they signify their desire to speak.
2. Debate shall be confined to the subject under discussion, and the President may call a speaker to order if his or her remarks are considered by the President not to be relevant thereto.
3. The Contracting Parties may, on a proposal from the President or from any delegate, limit the time allowed to speakers and the number of times the delegate of each Contracting Party may speak on a question. Permission to speak on a motion to set such limits shall be accorded only to two delegates in favour of and two opposing such limits, after which the motion shall be immediately put to the vote. In any event, the President shall limit interventions on procedural questions to a maximum of five minutes. When the debate is limited and a speaker exceeds the allotted time, the President shall call him or her to order without delay.

**Rule 23      Precedence**

The officers of the Country Groups may be accorded precedence for the purpose of explaining any conclusions arrived at by their Groups.

**Rule 24      Closing of list of speakers**

During the course of a debate, the President may announce the list of speakers and, with the consent of the meeting, declare the list closed. When the debate on an item is concluded, the President shall declare the debate closed. Such closure shall have the same effect as closure pursuant to Rule 28.

**Rule 25      Right of reply**

Notwithstanding Rule 24, the President may accord the right of reply to a delegate of any Contracting Party participating in the meeting. Such statements shall be as brief as possible and shall, as a general rule, be delivered at the end of the last session of the day.

**Rule 26      Suspension or adjournment of meeting**

A delegate may at any time move the suspension or adjournment of the meeting. No discussion on such motions shall be permitted and they shall, subject to Rule 29, be immediately put to the vote.

**Rule 27      Adjournment of the debate**

A delegate may at any time move the adjournment of the debate on the question under discussion. Permission to speak on the motion shall be accorded only to two delegates in favour of and two opposing the adjournment, after which the motion shall, subject to Rule 29, be immediately put to the vote.

**Rule 28      Closure of the debate**

A delegate may at any time move the closure of the debate on the question under discussion, whether or not any other delegate has signified his or her wish to speak. Permission to speak on the motion shall be accorded only to two delegates opposing the closure, after which the motion shall, subject to Rule 29, be immediately put to the vote.

**Rule 29      Order of motions**

The motions indicated below shall have precedence in the following order over all proposals or other motions before the meeting:

- A. to suspend the meeting;
- B. to adjourn the meeting;
- C. to adjourn the debate on the question under discussion;
- D. to close the debate on the question under discussion.

### **Rule 30          Submission of proposals and substantive amendments**

Proposals and substantive amendments shall normally be submitted in writing to the Secretary of the Review Meeting, who shall circulate copies to all delegations. Unless the Review Meeting decides otherwise, proposals and substantive amendments shall be discussed no earlier than 24 hours after copies have been circulated in all languages of the Review Meeting to all delegations. The President may, however, permit the discussion and consideration of non-substantive amendments or of motions as to procedure even though such amendments or motions have only been circulated the same day and only in the single designated language.

### **Rule 31          Withdrawal of proposals and motions**

A proposal or a motion may be withdrawn by its sponsor at any time before a decision on it has been taken, provided that it has not been amended. A proposal or a motion thus withdrawn may be reintroduced by any delegate.

### **Rule 32          Decisions on competence**

Any motion calling for a decision on the competence of the Review Meeting to adopt a proposal submitted to it shall be decided upon before a decision is taken on the proposal in question.

### **Rule 33          Reconsideration of proposals**

Proposals adopted or rejected may not be reconsidered unless the Review Meeting reaches a consensus on such reconsideration. Permission to speak on a motion to reconsider shall be accorded only to two speakers opposing the motion, after which it shall be immediately put to the vote.

## **C.4. VOTING AND ELECTIONS**

### **Rule 34          Voting rights**

Subject to Article 39 (4)(iv) of the Convention, only Contracting Parties shall have a vote and each Contracting Party shall have one vote.

### **Rule 35          Adoption of decisions**

1. Matters of substance shall be decided by consensus. Voting shall be restricted to matters of procedure and to elections.
2. Subject to Rule 37(2) and (3), decisions on matters of procedure and in elections shall be taken by consensus or, where that is not possible, by a majority of the delegates present and voting.
3. If the question arises whether a matter is one of procedure or of substance, the President of the Review Meeting shall rule on that question. An appeal against this ruling shall

immediately be put to the vote, and the President's ruling shall stand unless the appeal is approved by a majority of the delegates present and voting.

**Rule 36      Meaning of the phrase "the delegates present and voting"**

For the purposes of these rules, the phrase "the delegates present and voting" means delegates casting an affirmative or negative vote. Delegates who abstain from voting shall be considered as not voting.

**Rule 37 Elections**

1. All elections shall be held by secret ballot, unless the Contracting Parties decide otherwise in an election where the number of candidates does not exceed the number of elective places to be filled.

2. When only one elective place is to be filled and no candidate obtains in the first ballot the majority required, a second ballot shall be taken which shall be restricted to the two candidates who obtained the largest number of votes in the first ballot. If in the second ballot the votes are equally divided, the President shall decide between the candidates by drawing lots.

3. When two or more elective places are to be filled at one time under the same conditions, those candidates obtaining in the first ballot the majority required shall be elected. If the number of candidates obtaining the majority required is less than the number of elective places to be filled, there shall be not more than two ballots in respect of each elective place remaining to be filled. If in the first ballot for an unfilled elective place no candidate obtains the majority required, a second ballot shall be taken which shall be restricted to the two candidates who obtained the largest number of votes in the first ballot for that elective place. If in the second ballot for that elective place the votes are equally divided, the President shall decide between the candidates by drawing lots. A candidate who fails to be elected for any one elective place will be eligible for election to any other remaining elective place.

**C.5. NATIONAL REPORTS**

**Rule 38      National Reports**

1. Each Contracting Party shall submit to the Secretariat a National Report by a certain date not later than seven months before the Review Meeting. For each Review Meeting, this date shall be determined by the Contracting Parties at the previous Review Meeting. For States, except late ratifiers, ratifying the Convention within seven months before the Review Meeting, National Reports shall be submitted as soon as possible, but not later than 90 days prior to the Review Meeting.

2. Each Contracting Party has the right to submit a National Report in the form, length and structure it believes necessary to describe how it has implemented each of the obligations of the Convention, and containing the information specified in Article 32, in accordance with the document promulgated pursuant to Article 29(2)(iii)(a) of the Convention.

**C.6. LANGUAGES AND RECORDS**

**Rule 39      Working languages of meetings of the Contracting Parties**

1. For National Reports and the submission of questions and comments on such reports, the single designated language referred to in Article 35(2) of the Convention shall be English.

2. The Organizational Meetings shall be conducted in English.
3. Plenary sessions at the Review Meetings shall be conducted in Arabic, Chinese, English, French, Russian and Spanish, unless otherwise decided by the Contracting Parties at the Organizational Meeting. Extraordinary Meetings shall also be conducted in Arabic, Chinese, English, French, Russian and Spanish, unless otherwise decided by the Contracting Parties.
4. General Committee sessions shall be conducted in English.
5. In order to allow each Contracting Party to participate fully in the discussions of the Country Group to which it is allocated:
  - A. Country Group discussions of a National Report shall be conducted in English as well as, if requested by the Contracting Party presenting the report, in another working language. The request shall be filed at the Organizational Meeting.
  - B. If Contracting Parties can substantiate that they would otherwise not be able to participate effectively in the discussion of the Country Group to which they are allocated, they can request - within the budget limits - interpretation in another working language during the whole Country Group meeting. The request shall be filed at the Organizational Meeting.
6. Except for National Reports, documents for the plenary sessions of the Review Meetings shall be made available in Arabic, Chinese, English, French, Russian and Spanish, unless decided otherwise by the Contracting Parties at the Organizational Meeting.
7. At plenary sessions, a delegate may make an intervention in a language other than a working language if he or she provides for interpretation into a working language. Interpretation into the other working languages by interpreters of the Secretariat may be based on the interpretation given in that working language.
8. The summary reports of the Review Meetings shall be issued in Arabic, Chinese, English, French, Russian and Spanish.

#### **Rule 40        Records of meetings**

Voice recordings of the plenary sessions of the Review Meetings shall be made and kept by the Secretariat. Such recordings shall be made accessible to the Contracting Parties that participated in the particular Review Meeting at their request and in accordance with Article 36 of the Convention. Decisions to destroy such recordings shall be made only at Review Meetings. No voice recording shall be made of the meetings of the Country Groups or of the General Committee.

### **C.7. ATTENDANCE AT MEETINGS**

#### **Rule 41        Attendance at meetings**

Attendance at plenary sessions of a Review Meeting, and at meetings of the General Committee and Country Groups shall be limited to delegates and their alternates and advisers, experts of Contracting Parties and, in the case of plenary sessions, observers. A late ratifier may be permitted to participate at the Review Meeting, upon a consensus decision of the Contracting Parties.

## **D. EXTRAORDINARY MEETINGS**

### **Rule 42      Extraordinary Meetings**

1. If the Contracting Parties agree, according to the procedures under Article 31 of the Convention, that an Extraordinary Meeting shall be held, the Secretariat shall make arrangements to hold it within six months of receiving the relevant request.
2. The Secretariat shall prepare, in consultation with the President of the most recent Review Meeting, the provisional agenda for the Extraordinary Meeting, taking into account any specific matters referred to in the request for the meeting.
3. The Extraordinary Meeting shall be open for attendance by all Contracting Parties. A late ratifier may be permitted to attend the Extraordinary Meeting and to participate, as appropriate, upon a consensus decision of the Contracting Parties.
4. The President of the most recent Review Meeting shall act as President of the Extraordinary Meeting.

## **E. AMENDMENT AND INTERPRETATION OF RULES**

### **Rule 43      Amendments to the Rules of Procedure and Financial Rules**

These rules may be amended at any Review Meeting by consensus of the Contracting Parties pursuant to Article 30(2)(ii) of the Convention. These rules may be amended at an Extraordinary Meeting by consensus of the Contracting Parties.

### **Rule 44      Interpretation of the Rules**

In the event of any conflict between any provision of these rules and any provision of the Convention, the Convention shall prevail.

## **F. AMENDMENT AND INTERPRETATION OF GUIDELINES**

### **Rule 45      Amendment of Guidelines Documents**

Documents which have been adopted by the Contracting Parties as guidelines for implementation of the Convention may be amended only during the closing plenary session at any Review Meeting by consensus of the Contracting Parties pursuant to Article 30 of the Convention. Those documents may also be amended at an Extraordinary Meeting by consensus of the Contracting Parties.

### **Rule 46      Interpretation of Guidelines**

In the event of any conflict between any provision of these guidelines and any provision of the Convention, the Convention shall prevail.

## Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

### **Guidelines regarding the Review Process**

### **As agreed at the Second Extraordinary Meeting**

1. The “Guidelines regarding the Review Process” adopted at the Preparatory Meeting of the Contracting Parties to the Joint Convention held from 10 to 12 December 2001 were modified at the First Review Meeting of Contracting Parties held from 3 to 14 November 2003, the Extraordinary Meeting of Contracting Parties held on 7 November 2005, the Second Review Meeting of Contracting Parties held from 15 to 24 May 2006, the Third Review Meeting of Contracting Parties held from 11 to 20 May 2009 and the Fourth Review Meeting of Contracting Parties held from 14 to 23 May 2012.
2. The modified “Guidelines regarding the Review Process” are set forth in the Attachment hereto.

# Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

## Guidelines regarding the Review Process

### Contents

- I. INTRODUCTION
- II. BACKGROUND
- III. ORGANIZATIONAL MEETING AND NOMINATION OF OFFICERS
- IV. STRUCTURE OF REVIEW MEETING
- V. ASSIGNMENT OF CONTRACTING PARTIES TO COUNTRY GROUPS
- VI. THE COUNTRY GROUP REVIEW PROCESS
- VII. DUTIES OF A CONTRACTING PARTY AS A MEMBER OF A COUNTRY GROUP
- VIII. GUIDANCE TO OFFICERS ON HOW TO CONDUCT A COUNTRY GROUP SESSION
- IX. DISTRIBUTION OF NATIONAL REPORTS AND SUBSEQUENT ACTIONS
- X. SUMMARY REPORT
- XI. ANNEX: DUTIES AND QUALIFICATIONS OF OFFICERS FOR A REVIEW MEETING OF THE JOINT CONVENTION

## I. Introduction

1. These guidelines, established by the Contracting Parties under Article 29 of the Convention, are intended to be read in conjunction with the text of the Convention for the purpose of providing guidance to Contracting Parties on the process for reviewing national reports submitted under Article 32, in order to facilitate the efficient review of Contracting Parties' implementation of their obligations under the Convention.
2. The aim of the Review Process is to examine national reports thoroughly, so that Contracting Parties can learn from each other's solutions to common and individual safety problems concerning spent fuel management and radioactive waste management and, above all, contribute to achieving and maintaining a high level of safety worldwide through a constructive exchange of views. The success of the Review process is dependent on the commitment of each and every Contracting Party (1) to take a critical look at its national program and report issues and potential issues in a frank and candid manner, and (2) to ask each other difficult and sometimes disconcerting questions. A time chart of the steps leading up to a Review Meeting is given in Table 1.

## II. Background

3. Recognizing that reviews of national reports at periodic meetings under Article 30 of the Convention could be accomplished more efficiently through the establishment of subgroups, the Contracting Parties have decided to establish country groups for each Review Meeting. Each group will consider in detail the national report of each member of that group, discussing all the subject areas covered by the reports.
4. An Organizational Meeting held prior to a Review Meeting may decide to organize topic sessions at the Review Meeting to address more specifically particular subjects that may not be adequately considered within the country group arrangements.

## III. Organizational Meeting and Nomination of Officers

5. Not later than twelve months before each Review Meeting, an Organizational Meeting will be held to allocate Contracting Parties to country groups (see section V), and to elect the Review Meeting President and Vice-Presidents, and group Coordinators, Rapporteurs, Chairpersons, and Vice-Chairpersons.

~~6. In advance of the Organizational Meeting, the Secretariat shall circulate to the Contracting Parties a background information booklet-brochure containing guidance such as introducing the Joint Convention and its associated rules of procedure and guidelines. This background information booklet should also contain previous Country Group Review documents (e.g., Summary Reports, Organizational Meeting and Review Meeting President's Reports, synopses of guidance, and lessons learned)~~

### **III.1. Nomination of the President and Vice-Presidents**

7. Not later than three months before the Organizational Meeting, the Secretariat will request Contracting Parties to submit in writing the name of any individual that the Contracting Party is nominating for election to the position of President or Vice-President. Not later than two months before the Organizational Meeting, as part of such nomination, a Contracting Party shall provide, in writing, relevant biographical information on the candidate, the qualifications of the candidate, the issues that should be addressed by the Contracting Parties during the next three years and the position of the candidate on those issues. The Secretariat will circulate the names of candidates for the position of President or Vice President and materials supporting their candidacy to all Contracting Parties at least one month before the Organizational Meeting.
8. Contracting Parties will endeavour to reach consensus on the President and Vice President from the candidates nominated in accordance with Paragraph 7.
9. Each candidate for the elective places, or their representative, shall have the opportunity to make a short oral presentation to the Contracting Parties at the Organizational Meeting that addresses the items in the material supporting their candidacy and shall answer questions from the Contracting Parties.

### **III.2. Nomination of other officers**

10. Not later than three months before the Organizational Meeting, the Secretariat will request Contracting Parties to submit in writing the name of any individual that the Contracting Party is nominating for election to the position of Chairperson, Vice-Chairperson, Rapporteur, or Coordinator. Not later than one month before the Organizational Meeting, a Contracting Party should submit in writing the name of any individual that the Contracting Party is nominating for election to the position of Chairperson, Vice-Chairperson, Rapporteur, or Coordinator. The Secretariat will circulate the names of candidates to all Contracting Parties before the Organizational Meeting.

### **III.3. Additional Considerations**

11. Contracting Parties are encouraged to nominate candidates for the above elective places and to indicate the extent to which the candidates are willing to be considered for other elective places in the event that they are not elected to their first choice.
12. The Annex contains a list of desirable qualifications and experience of the above-mentioned officers, and a summary of their duties. Contracting Parties are encouraged to take that information into account when considering nominations as well as other factors such as geographic distribution.
13. Following the Organizational Meeting, a workshop of incoming and outgoing officers shall be held to describe the Review Meeting process in detail, including key documents, and to share experience and lessons learned. The National Contacts, as described in the Annex, shall be invited to participate, if they consider it appropriate, in this meeting.

## IV. Structure of the Review Meeting

14. Review Meetings are expected to have a duration of two weeks. During the meeting, Contracting Parties will meet in pre-assigned country groups in order to review national reports in detail. In addition to these country group sessions, there will be plenary sessions, and depending on the need, other meetings of various types.

### F.1. IV.1. Opening Plenary Session

15. At a short opening session in plenary, procedural matters will be addressed. National statements, if any, will be accepted in writing only.

### G. IV.2. Closing Plenary Session

#### ~~16. In the final plenary session of the Review Meeting~~

- (a) ~~for each country group in turn, the relevant group Rapporteur will make an oral report. This report should~~ One day prior to the closing plenary session of the Review Meeting, the Rapporteur for each country group will make available to all Contracting Parties a written report that takes account of the views expressed in the discussion on each national report discussed in that group and include good practices, suggestions, challenges and points of agreement and disagreement; ~~and summarize the overarching common issues identified by that country group, it should identify good practices, as well as highlighting any areas worthy of follow up, and draw out the main issues for discussion in plenary session;~~
- (b) ~~(16.)~~ In the closing plenary session of the Review Meeting:
  - i. ~~(a)~~ for each country group in turn, the relevant group Rapporteur will make a brief and concise oral report that summarizes the overarching common issues identified by the group and draws out these issues for discussion in the plenary session;
  - ii. ~~(b)~~ each Contracting Party will have an opportunity to respond to the questions raised and/or comments made on its national report;
  - iii. ~~(c)~~ there will be an opportunity for all Contracting Parties to comment on any national report and on the Rapporteurs' written and oral reports;
  - iv. ~~(d)~~ there will be a thorough and candid discussion of the overarching common issues identified in the Rapporteurs' reports; this should be followed by a discussion of the status of world-wide safety of spent fuel management and world-wide safety of radioactive waste management;
  - v. ~~(e)~~ suggestions concerning changes to any of the Convention's documents or procedures will be discussed;

- vi. ~~(f)~~ the date for the following Review Meeting, and the related schedule of deadlines, will be discussed and agreed;
- vii. ~~(g)~~ the meeting summary report will be discussed and approved by consensus of the Contracting Parties; and
- viii. ~~(h)~~ the President's report will be tabled.

17. Contracting Parties should note that the final plenary session has an uncertain duration. It can continue well past the normal time at which meetings end, due to the need for consensus on the meeting summary report. Delegates are therefore advised to avoid travel commitments on the final day of a Review Meeting.

### **IV.3. Intermediate Plenary Sessions**

18. Plenary sessions may be held at the call of the President at any time during a Review Meeting.

### **IV.4. Country Group Sessions**

19. These sessions will be conducted in the manner described in Sections VI and VII.

### **IV.5. Open-ended Group Sessions**

20. Contracting Parties in plenary session can decide to create one or more open-ended groups to meet during a Review Meeting. As the name suggests, any Contracting Party can attend any meeting of an open-ended group. The tasks assigned to the group should be documented. The purpose of such groups is to allow discussion and resolution of procedural and other issues relevant to the functioning of the Convention prior to their consideration by a plenary session. Open-ended group sessions should be scheduled so as to not conflict with plenary sessions and country group sessions.

## **V. Assignment of Contracting Parties to Country Groups**

21. At the Joint Convention's Preparatory Meeting held on 10-14 December 2001 in accordance with Article 29 of the Convention, the mechanism was set out for establishing country groups for Review Meetings. It was decided that:

- (a) The membership of country groups should not be such as to represent particular geographical areas;
- (b) the number of groups for a particular Review Meeting will be decided at the corresponding Organizational Meeting, taking into account the number of Contracting Parties;
- (c) in order to achieve sufficient breadth of experience to promote both effective and efficient discussion, each group should contain approximately equal numbers of Contracting Parties with experience of the management of spent fuel and radioactive waste associated with nuclear power plants;
- (d) the means adopted for ensuring this is to rank Contracting Parties by the number of their nuclear power reactors that have achieved criticality, including those that are being decommissioned and those that have

completed decommissioning in accordance with the definition in the Convention, and within that, alphabetically in English. These Contracting Parties are then distributed among the country groups, with the Contracting Party having the most power reactors in the first group, the Contracting Party having the next highest number of power reactors in the second group, and so on. When all the groups have been allocated a Contracting Party with nuclear power reactors, the distribution process starts again but in the reverse sequence of country groups, continuing to work through all the Contracting Parties with nuclear power reactors in descending order of the number of their power reactors;

- (e) the distribution between the country groups of the Contracting Parties without nuclear power reactors should be made on an alphabetical basis, continuing the process from where it stopped for the Contracting Parties referred to in paragraph 15(d). This should start with a randomly selected letter and then the use of the first letter of each Contracting Party's country name, spelt in English.

22. States or regional organizations of an integration or other nature which ratify the Convention after an Organizational Meeting but at least 90 days before the associated Review Meeting are obliged to join in the review process with other Contracting Parties. Such Contracting Parties should be added to existing country groups in sequential order of date of ratification, continuing the process from where it stopped under para. 15 (e).

23. Under the terms of Article 40(2), States or regional organizations of an integration or other nature which ratify later than 90 days before the date fixed for a Review Meeting (late ratifiers) will not become Contracting Parties until after that Review Meeting has begun. However they may, upon a consensus decision of the Contracting Parties, participate at the Review Meeting. To facilitate such participation, the President of the Review Meeting shall circulate to all Contracting Parties the proposal for the late ratifier to participate and seek their views thereon. If no Contracting Party objects, the late ratifier may be granted full participation rights in the Review Meeting. National reports produced by late ratifiers will be distributed as soon as possible by the Secretariat to all Contracting Parties. Such Contracting Parties should be added to existing country groups in sequential order of date of ratification, continuing the process from where it stopped under para.16.

24. Table 2 shows an example of such an allocation to country groups if there were five groups.

## **VI. The Country Group Review Process**

25. As provided for in Article 30(3) of the Convention, each Contracting Party shall have a reasonable opportunity to discuss the national reports of any other Contracting Party. In the period up to three months before each Review Meeting, all Contracting Parties may submit questions and/or comments on individual national reports. These questions and/or comments and the responses to them should be distributed to all Contracting Parties (see Section IX).

26. In order to facilitate the review process, Contracting Parties attending a Review Meeting are assigned to country groups (see Section V). The purpose of the country group sessions is to review together the national reports submitted by the Contracting Parties that are members of the country group. In order to attain the objectives of the Convention, this review should be thorough

and conducted by the country group members in a constructive manner and should promote robust and candid discussions of those issues, including good practices, suggestions and challenges, that are important to improving safety of radioactive waste and spent fuel management programs.

27. Country group sessions should be scheduled so as to not conflict with plenary sessions.
28. While any Contracting Party may attend any country group session, Contracting Parties are encouraged to provide the Secretariat at the latest two weeks before each Review Meeting with a list of which country group sessions they intend to attend, in order to allow the Secretariat to make the appropriate meeting space and logistical arrangements. A Contracting Party is expected to participate in all reviews carried out by the country group of which it is a member.
29. Contracting Parties should provide a leading role for their regulatory bodies in their delegations attending country group sessions.
30. Each country group shall allow an appropriate amount of time, not exceeding one full day, for the discussion of each national report. Reviews of shorter national reports can be scheduled for half a day, except when interpretation is used in the country group session, in which case additional time should be allocated. The total time available for group sessions will have been decided at the Organizational Meeting.
31. The review session in each country group should start with a short presentation from the particular Contracting Party whose report is to be reviewed. This Contracting Party should then discuss the substantive written questions previously sent to the group Co-ordinator and to the Contracting Party concerned. There should then be a discussion period on the report and on all the questions that have been submitted. A major objective of the review session should be to identify any good practices, suggestions, challenges or other issues that may be an overarching common issue that should be highlighted as important to improving safety. At the end of a session, the country group Rapporteur should present a summary report on the session to the participants. The Rapporteur should then prepare the report of the session, and obtain the agreement of the group members on the report.
32. The Rapporteurs' daily reports should be provided to the Review Meeting President and to the Secretariat within half a day of the end of the relevant country group session to facilitate preparation of the overall Review Meeting summary report.
33. This process should be repeated for each national report.
34. The country group members should discuss and agree on the content of the written and oral reports to be presented to the Contracting Parties ~~in plenary session~~ by the country group's Rapporteur.
35. The Secretariat will store the Rapporteurs' daily reports confidentially. During the meeting of officers immediately preceding the start of the next Review Meeting, a copy of the report for each Contracting Party will be given to all the officers of the country group. ~~to which that Contracting Party has been assigned (see para. 37).~~

## **VII. Duties of a Contracting Party as a Member of a Country Group**

36. Article 33 of the Joint Convention requires Contracting Parties to attend meetings of the Parties. Attendance at Review Meetings is therefore obligatory. The purpose of Review Meetings is to review national reports. This review is carried out in country groups. It therefore follows that an important obligation on each Contracting Party is to participate fully in its country group.

37. Each Contracting Party thus has two sets of duties, one being to undergo a review by Contracting Parties, and the other being to review the reports of other members of the country group to which it has been assigned.

38. As a member of a country group, a Contracting Party should:

- (a) study in detail the national reports of all other members of its group;
- (b) inform other Contracting Parties in the Country Group, both directly through the identified contact points, and through the relevant group Coordinator, of any questions and comments arising from its review of the national reports; and
- (c) during country group sessions, participate in an in-depth discussion of the national report of each member of the group.

39. In relation to undergoing a review by other Contracting Parties, a Contracting Party should:

- (a) prepare a detailed report as required by Article 32 of the Convention;
- (b) provide answers to the written questions and comments of other Contracting Parties on its national report;
- (c) endeavour to issue, at the latest one month before the start of the Review Meeting, a compilation of the questions, comments and associated answers on its national report to all other Contracting Parties, the group Coordinator, the group Rapporteur and the Secretariat;
- (d) present to its country group during the Review Meeting a report based on its national report and the ensuing questions and comments;
- (e) provide a copy of the presentation to the Country Group Chair by noon the day before the presentation is scheduled, so that it may be distributed to the Country Group officers and Country Group members before the close of business; and
- (f) arrive in the Country Group meeting room 15 minutes before the presentation to review logistics with the Country Group Chair.

## **VIII. Guidance to Officers on how to Conduct a Country Group Session**

40. The objective of the sessions of a country group during a Review Meeting of the Joint Convention is to review the national reports submitted by the Contracting Parties that are members of the country group. As stated in para. 20, this review should be comprehensive, constructive, and open. The officers for each country group play a crucial role in determining how well the country group achieves this objective.

41. The officers of a country group are the Chairperson, the Vice-Chairperson, the Coordinator, and the Rapporteur. These will all have been elected at the Organizational meeting held before the Review Meeting.

42. During the interim period between the Organizational Meeting and the Review Meeting, the national reports will have been distributed, and written questions, comments, and responses generated. The Coordinator receives national reports, questions, comments and answers for his/her country group, and will produce an analysis of the material, and identify any trends, before the start of the Review Meeting—(see Section IX). A copy of the analysis will be sent, confidentially, to the other officers and all Contracting Parties who are members of the country group. Following the adjournment of the Review Meeting, the Secretariat will upload all of these coordinators' analyses for each country review group on the Joint Convention secure website (<http://jcweb.iaea.org>).

43. Each country group officer should become familiar with the national reports from Contracting Parties that are members of the country group, and the Coordinator's analysis, before arriving for the Review Meeting.

44. Review Meeting officers should convene, together with the Secretariat staff members who will be participating in the Review Meeting, for two days immediately preceding the start of the Review Meeting. On the first of these two days, agreement should be reached on subjects such as the structure and content of the daily Rapporteurs' reports, the timing of sessions, how the General Committee will interact with country groups, the format of Rapporteurs' reports to the final plenary session, etc. The second day should be devoted to separate meetings of each set of country group officers, together with the Secretariat member who will be assisting the group. During these meetings, each group of officers should discuss the Coordinator's analysis in some detail, since this analysis identifies and summarizes the questions and comments on each Convention article, and the main issues emerging from those. The officers will also receive copies of the Rapporteurs' reports from the previous Review Meeting, for the Contracting Parties that are in the country group. These reports should be studied for any item on which follow-up was recommended. The officers should also discuss their intended method of operation during the Review Meeting.

45. In preparing for a country group session, the Chairperson of the country group should prepare an abbreviated version of the Coordinator's report, listing individual points under each of the reporting headings. Prior to the start of the country group session, the group's officers should each have a copy of this abbreviated listing.

46. During the presentation and subsequent discussion in the country group, the officers should use the abbreviated listing as a checklist for items to be discussed. If any item has not been mentioned, the Chairperson should make a point of raising it before closing the session. If necessary, the Chairperson should proactively encourage each member of the country group to participate in the discussion, especially of difficult items. By following this systematic approach, the Chairperson can ensure that the country group deals comprehensively with each national report and presentation, and by using teamwork, the workload involved can be distributed in a reasonable way between the officers of the country group.

47. The essence of the recommended approach is:

- (a) thorough preparation by the Chairperson, so that the Chairperson is familiar with the issues that are likely to be relevant, in advance of the country group session. The coordinator's report is the obvious starting point for the detailed preparation;

- (b) that all officers of the country group should also be familiar with the issues so that they can be effective team members during the country group sessions;
- (c) that officers should remember that they have a duty to encourage a full discussion and optimum dialogue after each national presentation;
- (d) that the Chairperson should manage the time available for considering each national report to ensure the Country Group optimizes the time for discussion within the allowed time period for the session and to promote a robust and candid discussion of those issues, including good practices, suggestions and challenges, that are important to improving the safety of radioactive waste and spent fuel management. The available time for the review session should be one-third for the presentation, one-third for the discussion period, and one-third for the preparation of and agreement on the Rapporteur's Daily Report on the session; and
- (e) that officers should be available to assist the Rapporteurs, as needed, in the preparation of the daily report from each country group, and the group's summary report to plenary. In order to achieve this, the Chairperson should be alert to the possible need to allow the Rapporteur to leave the session temporarily to write up a particularly complex or controversial part of the report while it is still fresh in the Rapporteur's mind. In such instances, it is suggested that the Vice-Chairperson temporarily assumes the role of the Rapporteur.

## **IX. Distribution of National Reports and Subsequent Actions**

48. At the latest seven months before each Review Meeting, each Contracting Party should submit ~~an appropriate number of copies of~~ its national report under Article 32 to the Secretariat of the Review Meeting, for circulation to all Contracting Parties and to the observers invited under Article 33(2) of the Convention. The National Reports should be submitted (a) electronically, to the secure web site, as a single PDF format file. The file size, including all graphics, charts, slides, etc. incorporated into the report, should not exceed 5 Megabytes; and (b) as one hard copy, to the Secretariat, as a single bound document comprising the main body as well as all annexes. States or regional organizations of an integration or other nature which ratify the Convention after an Organizational Meeting but at least 90 days before the associated Review Meeting are required to submit as soon as possible, and in any event not later than 90 days before the Review Meeting, a national report under Article 32 and are entitled to receive the other national reports.

49. Each Contracting Party should then review the national reports of Contracting Parties in their country group in detail, and the national reports of other Contracting Parties to the extent desired. Questions and comments on a national report of a Contracting Party should be sent to the contact point for that Contracting Party. These questions and comments shall be posted by the Contracting Party at least three months before each Review Meeting on to a secure and restricted database on the internet provided and operated by the Secretariat. The secure and restricted database is the means by which these questions and comments are distributed to all Contracting Parties. Written answers to the questions and comments should be provided not later than one month before a Review Meeting. Contracting Parties should endeavour to issue a compilation of the questions and comments on their national reports and of the respective answers to all other Contracting Parties, the group Coordinator, the group Rapporteur and the Secretariat one month prior to the Review Meeting. In this way each Contracting Party will be aware of all the issues raised and the associated responses on each national report before the Review Meeting.

50. Contracting Parties are encouraged to use electronic means, for submission and distribution of national reports, questions, comments, and answers, but use of traditional methods is also acceptable. Contracting Parties may elect to use batch uploading when appropriate. The Contracting Party's contact point is responsible for quality assurance that the uploaded questions and responses are correct, and that the responses successfully respond to the individual questions or comments raised by the National Report reviewers having submitted the questions and comments.

51. If a Contracting Party submits questions and comments late in the process (in light of the dates agreed for such submissions), those questions and comments should not be entertained unless the recipient Contracting Party and relevant country group Chairperson agree.

~~52. The group Co-ordinator will analyse the questions and comments on national reports in his/her country group, and identify any trends in them in order to assist the Chairperson in the conduct of the discussion. This analysis should be distributed, confidentially, to the officers and Contracting Parties who are members of this country group in advance of the Review Meeting.~~

## **X. Summary Report**

53. As provided for in Article 34 of the Convention, a summary report is required to be published at the end of each Review Meeting. The President should prepare this and submit it to the final plenary session for adoption by consensus by the Contracting Parties. The summary report is for public distribution and should be concise and clear. It should summarize major issues, possibly by combining significant points made in the Rapporteurs' reports that summarized the country group discussions. It should not identify any particular Contracting Party by name except as specified below, but should ~~highlight good practices and describe in a generic way areas where improvement is desirable~~ highlight the overarching common issues identified by the Contracting Parties. It should also make recommendations as appropriate for the future. The summary report will identify any Contracting Parties that did not submit national reports or attend the Review Meeting. The President should also prepare a "President's Report". This should summarize the main findings of the meeting and contain other information useful to the Secretariat such as appropriate logistical comments or suggestions, details of any modifications to supporting documents approved by the Review Meeting, and other similar material. This report should be presented to the Contracting Parties for consideration, but is not intended to be a public document.

Table 1: Time Chart \*

Organizational Meeting	Deadline for Submission of National Reports	Deadline for Submission of Questions and Comments	Deadline for Submission of Answers, and of optional Compilation of Questions and Answers	Deadline for Notification of Participation in Country Groups	Officers' Meeting	Start of Review Meeting
- 12 months	- 7 months	- 3 months	- 1 month	-2 weeks	-2 days	0 day
Rule 11.1. in the Rules of Procedures and Financial Rules	Rule 38 in the Rules of Procedures and Financial Rules	Paras. 25 & 49 of the Guidelines Regarding the Review Process	Paras. 39 (c) & 49 of the Guidelines Regarding the Review Process	Para 28 of the Guidelines Regarding the Review Process	Para 44 of the Guidelines Regarding the Review Process	Article 30 of the Convention

\*The time shown in this chart are approximate. The exact deadlines and timing of events will be determined in accordance with the Convention, the relevant rules and guidelines as well as any relevant practice.

Table 2: An Illustrative Example of the Mechanism for Forming Country Groups

Notes:

1. This table is for illustrative purposes only. The actual allocation of Contracting Parties to country groups will be made at each Organizational Meeting.
2. The numbers of nuclear power reactors given in brackets are for illustrative purposes. The actual numbers of nuclear power plant reactors would be confirmed by each Contracting Party at each Organizational Meeting.
3. For this example five country groups have been created.
4. For this example the random letter used as the starting point for allocating Contracting Parties with no nuclear power plant reactors is "A".
5. For this example the Contracting Parties at the date of 10 November 2004 have been used.

Group 1	Group 2	Group 3	Group 4	Group 5
USA (136)	France (71)	Japan (56)	UK (45)	Germany (36)
Spain (10)	Sweden (12)	Ukraine (17)	Korea, Republic of (18)	Canada (25)
Belgium (7)	Slovakia (7)	Bulgaria (6)	Czech Republic (6)	Switzerland (6)
Netherlands (2)	Lithuania (2)	Argentina (2)	Hungary (4)	Finland (4)
Romania (1)	Slovenia (1)	Australia (0)	Austria (0)	Belarus (0)
Croatia (0)	Luxembourg (0)	Latvia (0)	Ireland (0)	Greece (0)
Denmark (0)	Morocco (0)	Norway (0)	Poland (0)	

# Duties and Qualifications of Officers for a Review Meeting of the Joint Convention

## A. Background

As a result of experience at the first Review Meeting of Contracting Parties held from 3-14 November 2003, the following guidelines were developed which reflect the duties and qualifications of officers of a Review Meeting. The list, although not exclusive, identifies the major duties and essential qualifications of these officers.

## B. Duties of Officers

### B.1. President

- (a) To preside over plenary sessions of the Review Meeting;
- (b) To preside over meetings of the General Committee;
- (c) To generally direct and oversee the review process, and the functioning of the Review Meeting;
- (d) To represent the Review Meeting to the media as appropriate;
- (e) To prepare a draft summary report of the Review Meeting and a President's report on the Review Meeting; and
- (f) To direct the business of the General Committee in the period after the Review Meeting until the following Organizational Meeting.

### B.2. Vice-President

- (a) To act as the President of the Review Meeting, if necessary;
- (b) To participate in meetings of the General Committee;
- (c) To assist the President, as appropriate; and
- (d) To chair meetings of open-ended groups established by the plenary sessions if so decided by the Contracting Parties at the plenary session.

### B.3. Country Group Chair

- (a) To chair and generally manage the meetings of a country group;
- (b) To promote and stimulate discussion of relevant issues in the country group meeting;
- (c) To study the national reports of his/her country group, in advance of their presentation;
- (d) To be familiar with the main issues arising from the questions and answers on each of the national reports to be considered in his/her country group;
- (e) To support the Rapporteur in the preparation of the Rapporteur's reports;
- (f) To participate in meetings of the General Committee;
- (g) To implement in his/her country group the decisions of the General Committee; and

- (h) To report to the General Committee on the progress in the country group and on any organizational issues arising in connection therewith.

#### **B.4. Country Group Vice-Chair**

- (a) To act as the country group Chair, if necessary;
- (b) To support the Rapporteur in the preparation of the Rapporteur's reports; and
- (c) To act as Rapporteur if necessary during country group discussion, for example to allow the Rapporteur to leave the country group temporarily in order to capture promptly in written form the outcome of complex discussions or in the absence, otherwise, of the Rapporteur.

#### **B.5. Rapporteur**

- (a) To be familiar with the national reports to be presented in his/her country group and the Coordinator's analysis;
- (b) To record the essentials of the discussion of each of the national reports in his/her country group sessions;
- (c) To identify topics and issues that are agreed by the country group to be good practices, suggestions and challenges;
- (d) (c.bis) To highlight topics and issues that may be identified by the country group as overarching common issues. To identify topics and issues that are agreed by the country group to be areas where follow-up at a subsequent Review Meeting would be desirable;
- (e) To produce a report after each national presentation, summarizing the above items;
- (f) To revise the report after discussions in the country group;
- (g) To produce and present to ~~plenary~~ the Contracting Parties, a written report that summarizes the discussions that took place in the country group during the Review Meeting and their conclusions; and that summarizes the overarching common issues identified by the country group and to present an oral report in the plenary the summarizes the overarching common issues and
- (h) To produce the above reports in accordance with the format, timing, and other details as directed by the General Committee.

#### **B.6. Coordinator**

- (a) To develop major themes and issues arising from these questions, comments, and answers that should be raised in the discussion in his/her country group;
- (b) To do the above in accordance with the prescribed timetables and in agreed formats, and to follow up with national contact points when they seem likely to miss deadlines; and
- (c) To provide the country group officers with the above analysis so that they are well informed of the issues before the start of the Review Meeting.

#### **B.7. National Contacts**

National Contacts will be nominated by each Contracting Party and will be expected:

- (a) To have access to and regularly monitor the Joint Convention's secure and restricted database ("the Convention secure website"), together with the right to upload national documents, questions, and answers;
- (b) To disseminate, nationally, information promulgated on the Convention secure website;
- (c) To facilitate progress on issues related to the Convention in their own Member State;
- (d) To act as contact for the Country Group Coordinator prior to each Review Meeting; and
- (e) To consider participating in the one-day meeting of incoming and outgoing Officers of the Joint Convention.

## **C. Qualifications of Officers**

### **Note**

In general, it is desirable that a candidate for an officer position has experience in the Joint Convention, and especially in a previous Review Meeting of the Convention, although such experience need not have been as an officer.

### **C.1. President**

- (a) Have experience in chairing large international meetings;
- (b) Be available for:
  - (i) the Organizational Meeting in advance of the Review Meeting,
  - (ii) the duration of the Review Meeting, and
  - (iii) occasional meetings during a period of three years after the Review Meeting;
- (c) Be knowledgeable, either first hand or by being well briefed, on the Joint Convention and its processes, and on some of the major current issues in the safety of spent fuel and radioactive waste management; and
- (d) Be skilled at facilitating consensus.

### **C.2. Vice-President**

- (a) Same qualifications as in III.1 for President.

### **C.3. Country Group Chair**

- (a) Have a demonstrated aptitude for encouraging the discussion of issues;
- (b) Have a good command of the English language;
- (c) Be a good communicator;
- (d) Be available for the duration of the Review Meeting; and
- (e) Have no vested interests, either personal or national, in countries in his/her country group.

#### **C.4. Country Group Vice-Chair**

- (a) Same qualifications as in item III.3 for country group chair.

#### **C.5. Rapporteur**

- (a) Be able to summarize in writing succinctly and rapidly;
- (b) Have a good command of the English language;
- (c) Be available for the duration of the Review Meeting;
- (d) Have no vested interests, either personal or national, in countries in his/her country group: and
- (e) Have knowledge of spent fuel management and radioactive waste management issues.

#### **C.6. Coordinator**

- (a) Be able to extract, from a large volume of documentation, key issues that should be discussed at his/her country group sessions, and to advise his/her country group Chairperson accordingly in advance of the Review Meeting;
- (b) Be available for extensive work periods for some months before the Review Meeting;
- (c) Have knowledge of spent fuel management and radioactive waste management issues;
- (d) Be familiar with electronic database manipulation; and
- (e) Have access and ability to download and upload files on the Internet.

#### **C.7. National Contacts**

It is desirable that National Contacts possess the following qualities :

- (a) Be available for contact and work between the Review Meetings;
- (b) Have a knowledge of spent fuel and radioactive waste safety issues;
- (c) Be familiar with electronic database management; and
- (d) Have good English-language skills.

## ANNEX 2

### Common Understanding of the Terms “Good Practice”, “Suggestion”, and “Challenge”

#### **I. Good Practice**

A Good Practice is a new or revised practice, policy or program that makes a significant contribution to the safety of radioactive waste and spent fuel management. A Good Practice is one that has been tried and proven by at least one Contracting Party but has not been widely implemented by other Contracting Parties; and is applicable to other Contracting Parties with similar programs.

#### **II. Suggestion**

A Suggestion is an area for improvement. It is an action needed to improve the implementation of the obligations of the Convention.

#### **III. Challenge**

A Challenge is a difficult issue for the Contracting Party. It may be a demanding undertaking (beyond day-to-day activities); or a weakness that needs to be remediated.

# Information Circular

**INFCIRC/604/Rev.3\_Draft\_3**

Date: 13 May 2014

**General Distribution**

Original: English

---

**C.7.1.**

## Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

### Guidelines regarding the Form and Structure of National Reports

#### **As agreed at the Second Extraordinary Meeting**

1. The “Guidelines regarding the Form and Structure of National Reports” adopted at the Preparatory Meeting of the Contracting Parties to the Joint Convention held from 10 to 12 December 2001 were modified at the Second Review Meeting of the Contracting Parties held from 15 to 24 May 2006 and the Fourth Review Meeting of Contracting Parties held from 14 to 23 May 2012.
2. The modified “Guidelines regarding the Form and Structure of National Reports” are set forth in the Attachment hereto.

# Joint Convention on the Safety of Spent Fuel Management and on the Safety of Radioactive Waste Management

## Guidelines regarding the Form and Structure of National Reports

### I. Introduction

1. These guidelines, established by the Contracting Parties under Article 29 of the Convention, are intended to be read in conjunction with the text of the Convention. Their purpose is to provide guidance to the Contracting Parties on material that should be included in the National Reports required by Article 32 and thereby to facilitate the most efficient review of the implementation by the Contracting Parties of their obligations under the Convention.

### II. General

2. The basic concept of the Convention is the obligation of the Contracting Parties to apply widely recognized principles and tools for high-quality safety management and to submit National Reports on the implementation of these principles and tools to peer reviews with international participation. In accordance with Article 1, the National Reports should illustrate how the objectives of the Convention, especially a high level of safety in spent fuel and radioactive waste management, have been achieved.

3. The following matters should be taken into account in preparing reports:

- (a) each Contracting Party may submit a report with the form, length and structure it believes necessary in order to describe the measures taken to implement its obligations under the Convention;
- (b) the need for effective and efficient review makes it desirable that reports be in as similar a format as possible, to aid comparison;
- (c) a flexible approach can be adopted to the writing of reports, provided that the report strikes a balance between being sufficiently comprehensive to permit genuine evaluation of the extent of implementation of each obligation and being sufficiently concise to make both writing and reviewing the report practicable;
- (d) the first report may need to include more comprehensive information on the Contracting Party's spent fuel and radioactive waste management policy and practices than subsequent reports. Some of the information in the first report can be updated or supplemented as necessary for subsequent Review Meetings, instead of being repeated;

- (e) the National Report of a Contracting Party at subsequent meetings should contain updated information on matters covered in the first report, noting significant changes in applicable national laws, regulations and practices. It should also address safety issues which have been identified in the Contracting Party's previous report or which have arisen since the completion of the previous report. In particular, it should address progress in safety analysis and improvement programmes. Finally, it should respond to any recommendations adopted at plenary sessions of the previous Review Meeting of the Contracting Parties; and
  - (f) information on plans, methods, procedures etc. relating to spent fuel and radioactive waste management can be provided in a generic manner; however, a significant safety issue encountered in a particular situation or in respect of a particular facility should be described in a specific manner.
4. Each report should, as appropriate:
- (a) address all aspects of the obligations under the Convention;
  - (b) combine the article-by-article approach, following the subject matters of the Convention, with general sections, paying due regard to the concept of safety as a whole;
  - (c) clearly distinguish between requirements laid down in national regulations (formal compliance) and the status of the implementation of these requirements (factual compliance);
  - (d) avoid duplication both within the report and between the report and reports prepared for previous Review Meetings under this Convention;
  - (e) discuss the safety of spent fuel management and of radioactive waste management through the presentation of aggregated data and generic analyses showing overall trends of safety significance and - where appropriate - illustrated by the specific discussion of particular safety-related issues encountered at individual facilities; and
  - (f) include other official national reports and reports on national and international reviews requested by the Contracting Party as annexes.
5. National Reports should focus on describing by which specific measures the Contracting Party is implementing which specific article of the Convention; therefore, all information contained in National Reports should be explicitly connected to a specific Convention article.
- ~~6. Each National Report should contain a chapter in which the Contracting Party presents: its conclusions from the discussion of its National Report at the previous Review Meeting. In this chapter, details should be given as to what extent the discussion and comparisons with the practices of other Contracting Parties have made evident:~~
- ~~(a) strong features in its current practices; and~~
  - ~~(b) areas for improvement and major challenges for the future.~~
7. Although the practice of supplementing National Reports with a number of annexed documents is encouraged, the main body of the National Report itself should contain all key elements of

information needed to assess in what way the Contracting Party concerned is trying to attain Convention objectives.

8. The ratio between the length of a National Report and the amount of data supplied in annexes should not exceed a limit beyond which the transparency of the information provided could be compromised; a report/annexes ratio of roughly 1/3 would seem recommendable in this respect.
9. The number of pages of a National Report should not exceed a reasonable amount.
10. Contracting Parties are encouraged to report in Système International (SI) units.
11. In order to facilitate the physical handling of National Reports, Contracting Parties are encouraged to submit them as a single bound document containing the main report and all annexes; furthermore, it would be convenient if all National Reports were provided in a common, single format such as 297 x 210 mm, which is already being widely used.
12. Each National Report shall include an overview matrix to be used by the Rapporteur during the Country Group review. The format and definitions shall be agreed on by the Contracting Parties.

### **III. Suggested Form and Structure of the National Report**

13. It is suggested that National Reports follow the structure set out below. For each of the sections identified in the following paragraphs, the relevant articles of the Convention are listed, and suggestions are made regarding some of the issues which may be addressed. In each section, the following information should be provided, as appropriate:

- (a) a statement on the implementation of each article, including a description of the situation addressed in the section and the results achieved;
- (b) plans and measures needed for corrective actions, with an indication of any necessary international cooperation, as required;
- (c) explanations of terms used in the report, such as those associated with waste classification schemes; and
- (d) references to annexes or other material, as appropriate.

14. To determine the precise obligations, reference should be made to the text of the Convention for every article referred to in each section.

14bis. The IAEA Safety Standards, in particular Safety Fundamentals and Requirements, provide a basis for what constitutes a high level of safety and are objective, transparent and technologically neutral, which gives valuable guidance on how to meet the obligations of the Convention. Reference to the IAEA Safety Fundamentals and Requirements could be made when reporting on the obligations of the Convention.

#### **Section A. Introduction**

15. This section should consist of general introductory remarks, a survey of the main safety issues and main themes of the report and references to any matters not covered elsewhere in the report that the Contracting Party wishes to raise.

## **Section B. Policies and Practices**

16. This section covers the obligations under **Article 32 (Reporting), paragraph 1.**

17. It should include a statement outlining the national policy for spent fuel management and a description of national practices pertaining to spent fuel management, together with a statement outlining the national policy for radioactive waste management and a description of national practices pertaining to radioactive waste management. It should also specify the criteria used to define and categorize radioactive waste.

## **Section C. Scope of Application**

18. This section covers the obligations under **Article 3 (Scope of application).**

19. In this section, the position of the Contracting Party as regards the following matters should be stated clearly:

- (a) whether the Contracting Party has declared reprocessing to be part of spent fuel management, pursuant to Article 3(1);
- (b) whether any waste that contains only naturally occurring radioactive material and does not originate from the nuclear fuel cycle has been declared as radioactive waste for the purposes of the Convention, pursuant to Article 3(2), and, if so, where this radioactive waste appears in the inventory; and
- (c) whether any spent fuel or radioactive waste within military or defence programmes has been declared as spent fuel or radioactive waste for the purposes of the Convention, pursuant to Article 3(3).

## **Section D. Inventories and Lists**

20. This section covers the obligations under **Article 32 (Reporting), paragraph 2.**

21. Contracting Parties are encouraged to use clearly defined waste categories when reporting inventories.

## **Section E. Legislative and Regulatory System**

22. This section covers the obligations under the following articles:

**Article 18. Implementing measures**

**Article 19. Legislative and regulatory framework**

**Article 20. Regulatory body**

23. This section should summarize the legislative and regulatory system, including the national safety requirements, the licensing system, the inspection, assessment and enforcement process and the allocation of responsibilities for the safety of spent fuel management and radioactive waste management; the means by which the effective independence of the regulatory functions from those of

spent fuel management and radioactive waste management is ensured; and the actions to improve the transparency in regulatory activities and communication with the public. It should also describe the considerations taken into account in deciding whether to regulate radioactive materials as radioactive waste. In the first report, this section should be as comprehensive as possible - to be amended as necessary in subsequent reports.

## **Section F. Other General Safety Provisions**

24. This section covers the obligations under the following articles:

**Article 21. Responsibility of the licence holder**

**Article 22. Human and financial resources**

**Article 23. Quality assurance**

**Article 24. Operational radiation protection**

**Article 25. Emergency preparedness**

**Article 26. Decommissioning**

25. This section should describe the steps taken to implement the obligations regarding general safety provisions set out in this group of articles. It should also describe how the obligations are addressed at the national level and, as appropriate, at the facility level.

## **Section G. Safety of Spent Fuel Management**

26. This section covers the obligations under the following articles:

**Article 4. General safety requirements**

**Article 5. Existing facilities**

**Article 6. Siting of proposed facilities**

**Article 7. Design and construction of facilities**

**Article 8. Assessment of safety of facilities**

**Article 9. Operation of facilities**

**Article 10. Disposal of spent fuel**

27. This section should give a comprehensive description of the steps taken to protect individuals, society and the environment against radiological hazards associated with spent fuel management. These steps should be described for existing facilities, for proposed facilities and for facilities being brought into operation. The section should concentrate on how the obligations under each article are being addressed. It should be noted that the obligations apply to the management of spent fuel from nuclear power plants and research reactors. Where criteria have been applied in assessing the level of safety or the need for safety improvements, Contracting Parties are encouraged to report those criteria.

## **Section H. Safety of Radioactive Waste Management**

28. This section covers the obligations under the following articles:

- Article 11. General safety requirements**
- Article 12. Existing facilities and past practices**
- Article 13. Siting of proposed facilities**
- Article 14. Design and construction of facilities**
- Article 15. Assessment of safety of facilities**
- Article 16. Operation of facilities**
- Article 17. Institutional measures after closure**

29. This section should give a comprehensive description of the steps taken to protect individuals, society and the environment against radiological and other hazards associated with radioactive waste management. These steps should be described for existing facilities and past practices, for proposed facilities, for facilities being brought into operation and for disposal facilities that have been closed. The section should concentrate on how the obligations under each relevant article are being addressed. Where criteria have been applied in assessing the level of safety or the need for interventions or safety improvements, Contracting Parties are encouraged to report those criteria.

## **Section I. Transboundary Movement**

30. This section covers the obligations under **Article 27 (Transboundary movement)**.

31. Contracting Parties are encouraged to report here on their experiences concerning transboundary movements.

## **Section J. Disused Sealed Sources**

32. This section covers the obligations under **Article 28 (Disused sealed sources)**.

33. This section should give a comprehensive description of the legislative and regulatory system governing the management of disused sealed sources, including the following issues:

- status of disused sealed sources within the framework of its national legislation;
- national strategy for the management of disused sealed sources, including the legal responsibilities, of manufacturers, suppliers, owners and users of sealed sources for their end-of-life management;
- for Contracting Parties in which suppliers of sealed sources are or were located:
  - the framework concerning the re-entry of disused sealed sources into its territory for return to a manufacturer qualified to receive and possess the disused sealed sources and,
  - the retrieval approach, if any, of sealed sources considered as having a national origin from a foreign state.

## **Section K. ~~Planned Activities~~ General Efforts to Improve Safety**

34. This section provides an opportunity to give a summary of safety issues of concern identified earlier and of planned future actions to address those issues, including, where appropriate, measures of international co-operation.

34.bis This section should also summarize

(a) measures taken to address suggestions and challenges identified at previous Review Meetings

(b) strong features in its current practices, possible areas for improvement, major challenges that the Contracting Party has identified for itself and how the Contracting Party plans to address these issues

34.ter. This section should:

-For those countries hosting, having hosted, or planning to host international peer review missions and follow-up missions, include a description of policies, plans and schedules for such peer review missions;

- Include the measures taken by the Contracting Party to voluntarily make public the reports on their international peer review missions.

34. quard. This section should include information on the actions to enhance openness and transparency in the implementation of the obligations under the Convention.

## **Section L. Annexes**

35. The following may be included as annexes to the National Reports:

- (a) List of spent fuel management facilities;
- (b) List of radioactive waste management facilities;
- (c) List of nuclear facilities in the process of being decommissioned;
- (d) Inventory of spent fuel;
- (e) Inventory of radioactive waste;
- (f) References to national laws, regulations, requirements, guides, etc.;
- (g) References to official national and international reports related to safety;
- (h) References to reports on international review missions performed at the request of a Contracting Party; and
  - (i) Other relevant material.

**ANNEX TO GUIDELINES REGARDING  
THE FORM AND STRUCTURE OF NATIONAL REPORTS:  
VOLUNTARY PRACTICES REGARDING PUBLICLY AVAILABLE INFORMATION**

To achieve greater transparency in the review process for interested parties, Contracting Parties are encouraged to implement, on a voluntary basis, the following practices:

(1) Contracting Parties are encouraged to make public their National Reports under Article 32 of the Convention or summaries thereof. In particular, it is recommended that the National Reports or the summaries be placed on the Internet to increase their availability to interested parties.

(2) Contracting Parties are also encouraged to make public the questions and comments received from other Contracting Parties during the review process pursuant to Article 30(3) of the Convention, including the responses to these questions and comments, or summaries thereof, without naming the Contracting Parties that submitted the questions or comments.

(3) National Reports of the Contracting Parties may also serve as an information source for other purposes, if they are made public by the Contracting Parties. They provide comprehensive information on the safety of spent fuel management and on the safety of radioactive waste management in the State concerned in a clearly arranged manner. Many countries use them for the training of personnel.