



International Atomic Energy Agency

# INFORMATION CIRCULAR

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INF

INFCIRC/604

1 July 2002

GENERAL Distr.

Original: ENGLISH

## **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**

1. At the Preparatory Meeting of the Contracting Parties to the Joint Convention held from 10 to 12 December 2001, three documents were adopted concerning the rules and arrangements for conducting meetings of Contracting Parties to the Convention. As announced in the Report on the Preparatory Meeting (GOV/INF/2002/3), these three documents are being made available as INFCIRCS.
2. Accordingly, herewith attached are the Guidelines regarding the Form and Structure of National Reports. Also being made available are the Rules of Procedure and Financial Rules (INFCIRC/602) and Guidelines regarding the Review Process (INFCIRC/603).

**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**

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**

1. 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.

2. 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.
3. 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.

4. 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.

5. 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.

6. 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.

7. 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.

8. The number of pages of a National Report should not exceed a reasonable amount.

9. Contracting Parties are encouraged to report in Système International (SI) units.

10. 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.

### **III. SUGGESTED FORM AND STRUCTURE OF THE NATIONAL REPORT**

1. 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 co-operation, 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.
2. To determine the precise obligations, reference should be made to the text of the Convention for every article referred to in each section.

### **Section A. Introduction**

3. 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**

4. This section covers the obligations under **Article 32 (Reporting), paragraph 1.**
5. 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**

6. This section covers the obligations under **Article 3 (Scope of application).**
7. 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**

8. This section covers the obligations under **Article 32 (Reporting), paragraph 2.**
9. Contracting Parties are encouraged to use clearly defined waste categories when reporting inventories.

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

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

**Article 18. Implementing measures**

**Article 19. Legislative and regulatory framework**

**Article 20. Regulatory body**

11. 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. 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**

12. 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**

13. 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**

14. 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**

15. 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**

16. 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**

17. 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**

18. This section covers the obligations under **Article 27 (Transboundary movement)**.
19. Contracting Parties are encouraged to report here on their experiences concerning transboundary movements.

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

20. This section covers the obligations under **Article 28 (Disused sealed sources)**.
21. Each Contracting Party is encouraged to report whether it allows the reentry of disused sealed sources into its territory for return to a manufacturer.

## **Section K. Planned Activities To Improve Safety**

22. 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.

## **Section L. Annexes**

23. 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.