THE HANDBOOK FOR ADDRESSING INSTANCES OF DENIALS/DELAYS OF SHIPMENT OF RADIOACTIVE MATERIAL

October 2010
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1. Introduction

Scope

The intent of this Handbook is to provide Tools helpful for all involved in the solving and facilitating of instances of denials/delays of shipment, e.g. the National Focal Point (NFP), the Regional Coordinator (RC), the members of the International Steering Committee (ISC) and of the Management Team (MT), and the Denials Secretariat (DenSec).

This Handbook is especially designed to assist National Focal Points in discharging their responsibilities and playing their role as recommended by the International Steering Committee on denials and delays of shipment of radioactive material,

- by following a proposed Code of Conduct (*Annex A*),
- by acting as a proactive person (Chapter 5),
- belonging to a structure (Chapter 3),
- assuming roles and responsibilities (Chapter 4)
- in coordination with Regional Coordinator (Chapter 9),
- the International Steering Committee (Chapter 10)
- and the Denials Secretariat (Chapter 11),
- able to report instances of denials/delays of shipment and providing facilitation or solving of cases of denials (Chapter 8)
- according to a reporting process (*Annex F*),
- using a report form (*Annexes F and G*),
- building and maintaining a National Network (Chapter 6)
- and the knowledge (Chapter 7)
- to better deal with denials/delays of shipment, including Communication toolkit (*Annex E*).

History and framework

The role of the National Focal Point (NFP) for denials and delays of shipment of radioactive material is pivotal to ensuring that the causes and, in some cases, instances of denials and delays of shipment of radioactive material are addressed and successfully resolved accordingly. The NFP acts as the Focal Point for all IAEA matters related to denials and delays of shipment of radioactive material in their country. The proposed Code of conduct (as guidance) with associated “commitment declaration” is presented in *Annex A*. This Code of Conduct is valid for a NFP, but also for all involved in the solving and facilitating of instances of denials/delays of shipment.

Radioactive materials are transported for use in medicine, industry, research and for production of power. Transport of such materials is governed by national and international regulations which are based on the IAEA Regulations for the Safe Transport of Radioactive Material. In the recent years there were many reported instances of denial of radioactive shipment despite compliance with national and international regulatory requirements and good transportation practices.

General Conference Resolution GC(49)/RES/9 of September 2005, encouraged the Agency to constitute an International Steering Committee to oversee the resolution of the issue of denials of shipments of radioactive material.
General Conference resolution GC(51)/RES/11 of September 2007, urges the Secretariat to actively facilitate the work of the [International] Steering Committee on denials of shipment of radioactive material and identifies key tasks.

The IMO subsequently developed a suitable amendment to their database that is jointly administered by the IMO, ICAO and IAEA. In order to facilitate the ease of communication between the [International] Steering Committee and Member States, the [International] Steering Committee identified the need for a National Focal Point (NFP) to be nominated by each member state. This was to occur no later than 30 December 2007.

As at August 2010, 69 Member States have identified and duly nominated individuals to act as NFPs for the Denial of Shipping of Radioactive Material. Throughout 2007, 2008 and 2009 many regional workshops were conducted, involved approximately 300 participants and dealt with the issue of delays and denials of radioactive material. NFPs are expected to work together with these individuals to assist in the development of strong national networks.

At international level, a common recommendation to the [International] Steering Committee was that a technical meeting should be held for the NFPs. It was decided by the [International] Steering Committee to have the first technical meeting for NFPs on Delay and Denials of Shipment of Radioactive materials held in the same week as the Regional Coordinators meeting and the Fifth International Steering Committee on Denials and Delays of Shipment of Radioactive Material.

Due to their excessive human and monetary cost, IAEA set the goal to make sure that denials and delays of shipment of radioactive material would be reduced to a level not worthy of reporting by 2013.

2. Definitions and FAQ

- What is a denial?

In the frame of roles and responsibilities definition of NFP, as agreed by ISC5 meeting, a denial is after all "(explicit or implicit) refusal to carry a shipment of radioactive material though it conforms to all the applicable Regulations". Then, the non-compliance of Regulations CANNOT lead to Denial Reporting/Notification.

Please note:
1/ The consultation of NFPs after ISC5 meeting lead to specify "It conforms to all the applicable Regulations" by adding "international AND national" to become "It conforms to all the applicable international AND national Regulations". Nevertheless, some national and/or local regulations may be too onerous and de facto inapplicable.
2/ The International Steering Committee in their 5th meeting had been agreed that, for possible potential delays and denials related to national or local regulation, "Special treatment" should be carried out via the Secretariat by approaching the Member State missions in Vienna. The reasoning behind this is that several national focal points expressed the view that it would be inappropriate for them to be seen take part in activity that might be interpreted as questioning their national regulations.
3/ The accurate definition of delay will be provided in a future version of the Handbook and consider so far that the concept of denial covering the delay’s one.
4/ In terms of semantic, IMO adopted the word “difficulty” to cover all these unexpected events, like denials and delays. The IMO database is hosted under the name “Dangerous Goods Carriage Difficulties”.
• How denials/delays related problems can be solved?

The means/methods/mechanisms established by NFPs to initiate and maintain the system to facilitate the solving of Instances of Denial and Delay (ID&D) of Shipment of Radioactive Material are flexible and adaptable to the varying situations and to the emergence of such difficulties.

• Why reporting?

No report equals to no denials; it means that complete harmonization between countries relevant regulations (including local regulations) is obtained. By reporting instances of denials and delays, we can make stakeholders aware of the problem and start actions aiming to minimize or eliminate such instances.

• How can I report?

A procedure – including form in Annex G - was developed for report sustainability problems in transport of radioactive material. The so called reporting process is presented in Annex F of this Handbook. Communication toolkit in Annex E may help for that concern.
- **What happens once a denial is reported?**

The reporting phase is followed by 2 phases: analysis of the denial (causes and root causes), action plan to solve this denial (corrective and preventive actions).

The report is sent to the Regional Coordinator and to the Denials Secretariat, who feed their database. A periodical analysis of the new reports by both Regional Coordinator and Denials Secretariat provides input to updates.

3. **New structure**

In its 5th meeting, the International Steering Committee (ISC) was challenged to decide who should be the Committee members, how the ISC should be managed and to accept working toward a goal of making sure denial and delay of shipment would be reduced to a level not worthy of reporting by 2013. The structure of the ISC, regional networks and national groups were reviewed and a more cohesive approach was recommended, with a skeleton made up of the national, regional and international government nominated representatives.

This skeleton was fleshed out by adding other representatives from transport industry, suppliers and other relevant bodies. It was recognized that there is a need for continuous cooperation between all involved parts. The diversity of participants was understood as essential to fulfill all of the required actions. In this regard, the relationship among the various actors and stakeholders are to be optimized. In the same way, communication has proven to be a key in this process and credit shall be given to it as the valuable tool in solving D&D problems.

Facilitation rather than coordination is the main role of the ISC leaving to the Management Team the identification of the need, scope and expected products of meetings. Regional Coordinators and Management Team will work closely in guiding and supporting National Focal Points.

The figure below graphically represents the above.

![Figure 1: New organization structure for facilitation.](image-url)
4. Roles and Responsibilities of NFP

The roles and responsibilities of an NFP include:

- To serve as the principal Focal Point for intimating and advising appropriate agencies (both governmental/non-governmental) on all aspects of denials and delays of shipment of radioactive material (RAM);

- To serve as the interface between his/her government, the Regional Coordinators and the Denials Secretariat in all matters related to planning, facilitating and monitoring of shipments of radioactive material and evaluating the reasons for denials;

- To serve as a resource centre for knowledge about the IAEA’s denials of shipment programme and ensure that lessons learned and proposed corrective actions, adaptations and innovations for future solutions are documented and reported to the Regional Coordinators and Denials Secretariat;

- To interact with network members, NFP counterparts, Regional Coordinators and the Denials Secretariat with a view to resolving issues relating to the denial/delay of shipments of radioactive material.

Annex B gives a more detailed list of roles and responsibilities of National Focal Points as approved by the International Steering Committee (5th meeting).

Annex C provides the list of on-going activities involving NFPs, which have been extracted from the 2009 International Steering Committee (ISC) Action Plan.
5. **Indicative NFP Competency Profile (Guidance)**

A senior/high ranking official with appropriate managerial and technical competence to serve as the NFP, should be appointed and given the appropriate authority, resources and infrastructure by the Member State to fulfil their roles and responsibilities.

*NOTE: In some Member States, the workload may be more than can be expected of one person, especially since they will deal with non-IAEA related duties. In these cases a group approach is suggested, with Assistant(s) who share NFP responsibilities (either in the same organization, or possibly from the national network (see below)). This permits a structure whereby specific duties can be assigned to a subordinate in order to improve overall management.*

The effectiveness of the NFP is highly dependent upon a set of competencies that reflect core knowledge and judgment, management aptitudes and behaviours, and leadership skills to drive proactively the cooperation process with a results-based approach and inspire innovation and organizational learning. These include:

<table>
<thead>
<tr>
<th>Competence</th>
<th>A person displaying this competence can:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Leadership</td>
<td>Successfully design and implement strategies that integrate and maximize available resources within the internal and external environment for achieving the vision, mission and goal of the organization;</td>
</tr>
<tr>
<td>Strategic thinking</td>
<td>Take an overview as well as look at details, look for patterns and connections, be proactive rather than reactive, formulate effective strategies with a long term perspective. Determine objectives and set priorities. Anticipate potential threats or opportunities;</td>
</tr>
<tr>
<td>Innovative solution delivery (change management)</td>
<td>Plan, test, and implement all aspects of the transition, delivering a structured approach to transitioning from the current state to a desired future state. Develop new insights into situations and apply innovative solutions to make improvements; create an environment that encourages creative thinking and innovation.</td>
</tr>
<tr>
<td>Supervision</td>
<td>Providing an environment that encourages accomplishment. Guide, support and assist service providers to carry out their duties and assigned tasks so as to achieve planned goals. Ensure people are appropriately selected, developed, utilized, appraised, and rewarded; takes corrective action.</td>
</tr>
<tr>
<td>Coordination and relationship building with stakeholders</td>
<td>Develop networks and build alliances; Balance interests of a variety of stakeholders; Readily readjust priorities to respond to pressing and changing stakeholder demands;</td>
</tr>
</tbody>
</table>

Based on these competencies we would expect the following results in relation to denials/delays of shipment:

- Creation of national focal Committees or working groups to address issues arising from all stakeholders.
- Anticipation of complexities involved in the transport of RAM.
- Alignment of national plans to tackle denials/delays with the policy of the Global and Regional Action plans.
- Addressing of problems related to transporting RAM in different or new scenarios and devising of new solutions.
- Production of periodic deliverables coming from the Global, Regional and National Action plans.
- Catalyzing the integration and obtaining synergy amongst interested parties (stakeholders).
6. Establishing a National Network

As a National Focal Point you will require an established network so that you may keep abreast of changing circumstances within your respective country. The information contained in this section is an example of who should be involved in a national network and what you as a NFP need to do to establish this national network. As a NFP you should:

- Identify and establish effective communication with key stakeholders in relation to the sustainable transport of radioactive material in line with government policies and approaches;
- Ensure coordination with all relevant national stakeholders relating to the preparation, and prioritization of solutions for denials/delays of shipment;
- Establish a National Committee, if necessary, for coordinating work related to formulating and executing national action plans in line with the regional action plans;
- Remain aware of national institutions taking part in activities related to denials/delays of shipments, and to inform the Denials Secretariat of new activities.
- Develop a list of contacts for each stakeholder and the level of involvement that they have in the national network.

![Diagram of a National Network]

Figure 2: Examples of which stakeholders could be involved in a National Network.

Annex D provides examples of which stakeholders could be involved in a National Network.
7. Knowledge Management and Information Dissemination

As a National Focal Point, you will be required to collect and consolidate knowledge on denial/delay of shipment related to your country. The information contained in this section is an example of what could be made available as knowledge and tools for the national network: As a NFP you should:

- Serve as the centre for knowledge management related to current knowledge on the status of denials/delays of shipment in the country and on facilitation of shipments of radioactive material;
- Monitor lessons learned and best practices;
- Build a knowledge base for national facilitation and identify potential areas for regional collaboration and the participation of others;
- Ensure that the benefits of identified solutions are known and understood by all relevant units of industry, government, Regional Coordinators and the Denial Secretariat;
- Set up a web page;
- Identify discrepancies between national and international regulations for the safe transport of radioactive material, e.g. in ports.
8. Delivery Management

As a National Focal Point, you will require to solve or to facilitate the solving instances of denial/delay of shipment related to your country. The information contained in this section is an example of actions that you may perform to ensure the efficiency of your national network:

As a NFP you should:

- Identify instances of denials and input them into the regional denials database and provide the report to Denials Secretariat to input them in the IAEA/IMO/ICAO denials database;
- Ensure timely execution of activities as per the approved action plans;
- Evaluate and review the implementation of the national action plans, ensuring that review and evaluation procedures are carried out in a timely manner;
- Liaise with the relevant authorities to identify and recommend the suitable candidates to the meetings/conferences/workshops in the area for denials/delays of shipment of radioactive material;
- Ensure that policies and procedures for solutions related to denials/delays of shipment are disseminated, understood and adhered to within the country;

Simplified reporting process is described in Annex F. The notification form is presented in Annex G, the same form with highlighted blanks to be filled for initial notification is presented in Annex H.

Because IMO was involved initially for facilitation of shipment of dangerous goods, IMO developed for sea transport a working process for Monitoring, Facilitating and Coordinating Resolution of Difficulties in the carriage of IMDG Code class 7 radioactive material (Annex 3 of IMO-FAL-34/11/2) presented in Annex H.

Pre requisites to optimize reporting

- Circulate the report form (see Annex G) and reporting process (see Annex F) – make them available.
- Collect input from those reporting
- Remind key stakeholders of the importance of reporting on a regular basis by providing feedback
9. **Link to Regional Network**

The roles and responsibilities of a Regional Coordinator (RC) are:

- Networking with UN agencies and NFPs, forming alliances and partnerships to facilitate delivery activities and to address national/regional priorities;
- Organize the preparation and submission of half-yearly/annual reports;
- Provide feedback to other Regional Coordinators and Denials Secretariat on the success or failure of delivered solutions;
- To assist NFPs in facilitating actions, as necessary;
- Through NFP counterparts, to keep up to date on progress, problems and actions concerning denials of shipment and facilitate solutions by making interventions as necessary;
- Establish contacts with other Regional Coordinators

**Figure 3:** Examples of which stakeholders could be involved in a Regional Network.

**Annex I** gives a more detailed list of roles and responsibilities of Regional Coordinator as approved by the International Steering Committee (5th meeting).

**Annex J** provides the list of on-going activities involving RCs, which have been extracted from the 2009 ISC Action Plan.
10. **Link to International Steering Committee**

The roles and responsibilities of the International Steering Committee are:

- To prioritize and manage implementation of actions determined by the [International] Steering Committee according to national priorities;
- Assist with the feeding of the database on incidents of denials;
- Cooperate with the [International] Steering Committee and its work;

*Annex K* provides the list of on-going activities involving the International Steering Committee, which have been extracted from the 2009 ISC Action Plan.

11. **Link to Denials Secretariat**

The Denials Secretariat includes the Secretariats of UN bodies involved in denials of shipment, e.g. IAEA, OMI, ICAO, and UNECE.

*Annex L* provides the list of on-going activities involving the Denials Secretariat, which have been extracted from the 2009 ISC Action Plan.
Annex A: Proposed Code of Conduct (Guidance)

INTRODUCTION

Radioactive material is used in medical diagnosis, therapy, industrial applications, production of nuclear power and research purposes. Every day a few million diagnostic procedures are carried out all around the world using radioactive material. Despite the strong safety record and general good performance, concerns remain regarding the transport of radioactive material. While governmental and non-governmental bodies have safety and security concerns, others feel that the current regulation is adequate. The increase in denial and delay of shipments of radioactive material is not only generating economic problems but also turning into a social concern since it is attenuating the peaceful applications of nuclear energy on a global level. Because this problem may be considered as a worldwide social, economic and human problem, a real commitment is called for from professionals involved in the peaceful use of radioactive material and nuclear energy.

THE IMPORTANCE OF COORDINATED ACTIVITIES AT THE REGIONAL LEVEL

In a new strategy to avoid or decrease denial and delay cases, it is necessary to consider a higher involvement of the activities in the region as a whole. Members of the regional network are expected to join forces to develop alternative solutions.

The participation of stakeholders who are directly and indirectly contributing to the movement of Class 7 cargo is equally important and crucial for keeping the sustainability of the transport activities. It is also necessary to emphasize greater integration of efforts carried out in different regions of the world, and the participation of both governments and the private sector firms to confront the issues in unison to arrive at suitable solutions for the denials/delays of shipment of radioactive material. Solving the denials problem can further the future socio-economic development of most countries. The strategy should be to start with simple actions guided by the updated action plans of the IAEA and to motivate all stakeholders to tackle the problems in a pro-active manner. Many important initiatives can be set rolling at the regional level. In that sense it is recognized that all efforts will not be successful if there does not exist focused action from all parties affected by this issue. The harmonious interaction between National Focal Points and Regional Coordinators is the real key to get good results.

COMMITMENT DECLARATION

We, as involved in the solving and facilitating of instances of denials/delays of shipment, e.g. as National Focal Point, as Regional Coordinator (RC), as member of the International Steering Committee, as member of the Management Team, as Denials Secretariat, in accordance with the roles and responsibilities assigned, as a matter of urgency, to implement an action plan in all its aspects as well as to secure a global commitment to enhancing coordination and intensification of national, regional and international efforts to avoid or decrease cases of denials and delays of shipment of radioactive material in a comprehensive and adequate manner;

Deeply convinced that the peaceful use of nuclear energy and radioactive material is beneficial to humankind, and cases of denials and delays constitute a negative impact on humanity’s right to obtain legitimate healthcare products and technology at reasonable costs which in turn globally affect societal welfare at all levels — national, community, family and individual;
Recognizing the fundamental importance of strengthening national, regional and sub-regional capacities to address an effective action plan, that will require increased and sustained technical resources through strengthened national action and cooperation and increased regional, sub-regional and international cooperation;

Solemnly declare our commitment to address a proactive participation by taking action according to the international community, taking into account the diverse situations and circumstances in different regions and countries throughout the world.

We also understand that our role as involved in the solving and facilitating of instances of denials/delays of shipment of radioactive material shall not, in any circumstances, be in conflict with the functions, compromise and commitments we have agreed and accepted due our regular duties and responsibilities.
Annex B: Roles and Responsibilities of National Focal Points (Guidance)

**Strategic Planning**
(Communication, cooperation, analysis and evaluation)

1. To serve as the interface between his/her Government, the Regional Coordinators and the Denials Secretariat in all matters and aspects of denials and delays of shipments of radioactive material and evaluating the reasons for denials reported.

2. Identify and validate reported instances of denials and delays to determine whether or not it is in fact a denial or delay that should be submitted to the Denials Secretariat.

3. To coordinate and communicate at the national level with all stakeholders in the solution of denials and delays, including the National Government Representatives.

4. Update and disseminate information at a national level and the Denials Secretariat for wider distribution (e.g. solutions for denials and delays, training material etc.)

5. To liaise with the relevant authorities to identify and recommend the suitable candidates to the meetings/conferences/workshops in the area for denials and delays of shipment of radioactive material.

**Approach Determination**
(Identification, approach and solutions)

6. Initiates a process for solving denials and delays.

7. To assist NFP counterparts in actions to solve denials and delays, as necessary.

8. To identify national needs including training in the area of denials and delays of shipment of radioactive material with the cooperation of the stakeholders.

9. To review the successes and failures of interventions and provide feedback to the Regional Coordinators and the Denials Secretariat.

10. To develop and oversee the development of the national action plan in line with the regional action plan in cooperation with relevant stakeholders and Regional Coordinators.

**Operational Actions**
(Implementation, measurement and report)

11. Will maintain a record of his/her activities regarding the denial and delay of radioactive material.

12. To initiate and/or maintain a national network for coordinating work related to the denials and delays of shipment of radioactive material.
Annex C: On-going activities of National Focal Points (Guidance)

Note: Reference is made to actions extracted from 2009 action Plan.

- Database of national and local competent authorities to be established. IAEA will request a listing of local competent authorities involved in the transport of dangerous goods from member states (Action 8).

- Report details of relevant national and local competent authorities to IAEA (Action 9)

- Identify appropriate recipients for low-cost training (Action 20).

- Create a consolidated list of training information, including consideration of languages (action 24).

- Write to manufacturers to suggest they hold general awareness seminars with transporters (Action 38). [Hold general awareness seminar for transporters and report on effectiveness to next [International] Steering Committee meeting named individuals] (Action 39)

- Identify opportunities for furthering the efforts of the [International] Steering Committee (Action 43).

- Identify stakeholders, who are key to sustainability of radioactive material transport (Action 44).

- Develop an outreach programme involving conference participation; journal articles etc to positively influence the stakeholders; Incorporate in action plan (Action 46).

- Provide examples of what has been done pro-actively to facilitate the safe and cost-effective transport of radioactive material in accordance with the IAEA Regulations (Action 49).

- Identify a lead person to whom issues of denial are to be communicated, and then for that information to be coordinated and circulated to industry (Action 54).

- Respond to the request for information (action 71). Response should incorporate an indication of what that website should be used for, i.e. domestic rail transport, domestic road transport, in transit international etc (Action 72).

- Create a webpage for the links from Action 72 (Action 73).

- Ensure that each Member State’s information is kept up to date (Action 74).

- To collect all texts related to the transport of RM (Action 75).

- To identify Stakeholders for sensitizing (Action 79).

- To elaborate topics and supports for sensitizing (Action 80).

- To conduct sensitizing campaigns (Action 81).

- To organize trainings for trainers (Action 83).
• To elaborate a strategy for lobbying (Action 87).

• To make distributed report of data base recommended by the ISC and the data base developed in the region (Action 99).

• Elaboration of technical report including successful actions (Action 100).

• To promote the awareness of the problem of D/DoS to the National Agencies involved on dangerous goods cargo (Action 104).

• Submission of status reports to IAEA (with copies to RC) (Action 105).

• Establishment of a National Committee for D/DoS - Evolve a mechanism to interconnect all agencies with NFPs as the node (Action 108).

• Initiate/create a mechanism to register all problems relating to D/DoS of radioactive material (Action 109).
# Annex D: Examples of stakeholders to be involved in national networks

## Duty Holders
- Package designer
- Packaging manufacturer
- Packer/filler
- Consignor
- Carrier
- Driver/Pilot/Captain
- Dockside/airside loaders
- Clearing Agents

## Other Authorities
- Airport authorities
- Port authorities
- Rail authorities
- Tunnel authorities

## Regulators
- Environment
- Transport – Road
- Transport – Rail
- Transport – Air
- Transport – Sea
- Radiation Protection
- Nuclear Safety
- Law Enforcement
- Security

## Emergency Services
- Police
- Fire
- Ambulance
- Coastguard

## Transport Workers
- Vehicle loaders and unloaders
- Distribution depot staff
- Freight forwarders
- Cargo handlers
- Consignee

## Other Groups
- Trade unions
- Local council
- Stakeholder groups
- Radiation Protection Advisor
- DG Safety Advisor
- Trade associations
- Training providers
- Media
- General public
- End user (e.g. healthcare patients)
Annex E: Communication Toolkit

E1. General Health of the Population

- General awareness of the Radioactive Industry within your country
- Sustainable National Network that remains active and up to date with current events
- Ongoing National Campaign

E2. National Focal Points – DR ABC (first response)

D – **Danger**: What is the danger of becoming involved?

R – **Review**: What are the facts surrounding the issue?

A – **Activate**: Who should I activate from the National or Regional Networks?

B – **Big**: How big is the problem? (Single package, single company, entire industry, national, regional, global)

C – **Cost**: What is the cost of this problem? (Financial, Humanitarian, Environmental)

E3. Triage Approach

- Develop set of questions for NFP to use to establish the next response.
- Develop actions for NFP undertake.

<table>
<thead>
<tr>
<th></th>
<th>Communication</th>
<th>Harmonization of Regulations</th>
<th>Reducing Economic Burden</th>
<th>Training</th>
<th>Awareness</th>
<th>Lobbying</th>
</tr>
</thead>
<tbody>
<tr>
<td>Regional</td>
<td>Toolkit Level III</td>
<td></td>
<td>Cost Analysis</td>
<td>IMO E-Learning</td>
<td></td>
<td></td>
</tr>
<tr>
<td>National</td>
<td>Toolkit Level II</td>
<td></td>
<td>Cost Analysis</td>
<td>IMO E-Learning</td>
<td></td>
<td></td>
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<tr>
<td>Local</td>
<td>Toolkit Level I</td>
<td></td>
<td></td>
<td>Targeted Training Modules</td>
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</tbody>
</table>
E4. Transport regulations

The UN model regulations\(^1\) are the basis of the modal regulations in many Member States for the transport of dangerous goods, including Class 7. Individual states may require additional documentation or notification from the organisations and individuals involved in the shipment. Subject to these requirements being met the regulations permit the transport of dangerous goods throughout the world in a prescribed and safe manner.

It should be remembered that whilst the regulations permit the transport of dangerous goods they do not force a company to carry dangerous goods; it is therefore a business decision of each company to accept or decline the carriage of dangerous goods.

E5. Safety record

The safety record of transporting Class 7 dangerous goods is extremely impressive with over several million packages transported each year throughout the world without significant radiological injury or environmental damage caused by the package content. Nonetheless the shipment of radioactive material as Class 7 dangerous goods can be problematic particularly where the choice of available routes and carriers is limited.

E6. The IAEA and National Focal Points

The International Atomic Energy Agency (IAEA) in Vienna has recognised the problem of denial of shipments and has set up an International Steering Committee\(^2\) and a network of National Focal Points (NFP)\(^3\) to help remedy the situation.

E7. If you experience a denial of shipment for Class 7 dangerous goods what should you do?

1/ NOTIFY YOUR NATIONAL FOCAL POINT!
A list of National Focal Points and Regional Coordinators is given on the IAEA website\(^4\).

2/ You should send to the National Focal Point (NFP):
- Your name and contact details (telephone number /e-mail address),
- The UN number of the Class 7 dangerous goods, and, whether it is a shipment by air, road or sea.

3/ The NFP will keep your information confidential.
He / she will contact you to discuss the matter and to reach an agreement with you on a way forward.

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\(^1\) [http://www.unece.org/trans/danger/publi/unrec/rev15/15fword_e.html](http://www.unece.org/trans/danger/publi/unrec/rev15/15fword_e.html)
## Annex F: Process for reporting a denial of shipment of Radioactive Material

<table>
<thead>
<tr>
<th>Step</th>
<th>Action</th>
<th>1st actor</th>
<th>Other actors</th>
<th>Document produced</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Step 1</strong></td>
<td>Inform promptly on ID&amp;D when difficulty arises</td>
<td>Industry (Shipper / Consignor)</td>
<td>User / Consignee</td>
<td>Initial notification (limited information) (sent to NFP*)</td>
<td>Minimum information to be provided as highlighted in notification record and report form (ISC5-WG1). <a href="#">Link to report form</a></td>
</tr>
<tr>
<td><strong>Step 2</strong></td>
<td>Identify / Validate reported ID&amp;D</td>
<td>NFP*</td>
<td>Industry, RC, DenSec, Ports, CA, Carriers, Consignor, Consignee, Stakeholders</td>
<td>Report of ID&amp;D or Report of non-ID&amp;D (***), (sent both to DenSec and RC)</td>
<td>The reported ID&amp;D includes identification of causes and root causes; NFP contacts industry to validate info and check if the concern is a valid denial or delay Notification, Investigation and Facilitation-Mediation and Reporting according to Annex 3 of <a href="#">IMO-FAL-34/11/2</a></td>
</tr>
<tr>
<td><strong>Step 3</strong></td>
<td>Coordinate / communicate at national-regional-global level on solution of ID&amp;D</td>
<td>NFP*</td>
<td>NN / RN / ISC</td>
<td>Updated action plan Information bulletin / webpage</td>
<td></td>
</tr>
<tr>
<td><strong>Step 4</strong></td>
<td>Feed database with new reports Perform analysis of new database inputs</td>
<td>DenSec**</td>
<td>NFP / RC / ISC / stakeholders</td>
<td>Periodical analysis</td>
<td>A 6-month analysis is consistent with feedback optimization.</td>
</tr>
</tbody>
</table>

(*) If NFP refuses reporting on the ID&D or if the NFP has not been appointed yet, refer to RC or at last to DenSec.

(**): DenSec has the exclusive access to all the data included in the database.

(***): To keep record of such cases of “false” denials and delays with the precise description of non compliances as this could help the national/international efforts to improve/harmonize regulations regarding the safe transport of RAM.

DenSec: Denials Secretariat (either IAEA/TSU, or ICAO, or IATA, or IMO); includes IATA and ICAO and IAEA for air transport, includes IMO and IAEA for sea transport.

ID&D: Instance of Denial and Delay of Shipment of Radioactive Material

Annex G: Report Form (on difficulties encountered in relation to the carriage of Class 7 Dangerous Goods – Radioactive Material)

<table>
<thead>
<tr>
<th>Report submitted by.⁵</th>
<th>Date of Report (dd/mm/yyyy):</th>
</tr>
</thead>
</table>

### Details of Product Shipped

<table>
<thead>
<tr>
<th>Product name</th>
<th>UN number</th>
<th>Proper shipping name</th>
<th>Dangerous Goods Class or Division</th>
<th>Shipment reference number (consignor ID)</th>
</tr>
</thead>
</table>

### Details of Consignment

<table>
<thead>
<tr>
<th>Consignor</th>
<th>Consignee</th>
<th>Carrier</th>
<th>Mode of transport:</th>
<th>Name of aircraft/ship/vehicle</th>
<th>Type of aircraft/ship/vehicle</th>
<th>Aircraft tail/IMO ship/vehicle identification number</th>
<th>Flight number/voyage reference/route reference</th>
<th>Location of loading: (Airport/Port/Pickup)</th>
<th>Origin Airport/Port/City</th>
<th>Arrival Airport/Port/City</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
<td>Air</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td>City/Town/State</td>
<td>Country</td>
<td>Date</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>Sea</td>
<td></td>
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<td></td>
<td>Rail</td>
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<td>Road</td>
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<td></td>
<td></td>
<td>Transit</td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

The carriage of the above consignment was delayed □ denied □

---

⁵ Name of Member Government’s Civil Aviation, Maritime Administration or other Government Organisation or Non-Governmental Organization with consultative status, Manufacturer/Producer/Shipper submitting the Report.
<table>
<thead>
<tr>
<th>Details of Difficulty</th>
</tr>
</thead>
<tbody>
<tr>
<td>Date of difficulty</td>
</tr>
<tr>
<td>Name of entity with whom the alleged difficulty</td>
</tr>
<tr>
<td>Location(s) and date(s) of transit</td>
</tr>
<tr>
<td>Destination</td>
</tr>
<tr>
<td>Brief description of events</td>
</tr>
<tr>
<td>Reasons stated for difficulty of carriage</td>
</tr>
<tr>
<td>Actions taken to resolve the matter (if any)</td>
</tr>
<tr>
<td>Consequences of the development(s)</td>
</tr>
<tr>
<td>Other relevant information or comments</td>
</tr>
<tr>
<td>Suggestions (if any)</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Details of Contact</th>
</tr>
</thead>
<tbody>
<tr>
<td>Name</td>
</tr>
<tr>
<td>Title</td>
</tr>
<tr>
<td>Address</td>
</tr>
<tr>
<td>City, State, Country, Postal Code</td>
</tr>
<tr>
<td>Telephone Number</td>
</tr>
<tr>
<td>Email Address</td>
</tr>
</tbody>
</table>
Annex H: Report Form (on difficulties encountered in relation to the carriage of Class 7 Dangerous Goods – Radioactive Material) Only the highlighted information will be made available to the IAEA International Steering Committee, all other information will remain confidential in the IMO.

<table>
<thead>
<tr>
<th>Report submitted by: (name)</th>
<th>Date of Report (dd/mm/yyyy):</th>
</tr>
</thead>
</table>

**Details of Product Shipped**

<table>
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<tr>
<th>Product name</th>
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**The carriage of the above consignment was**

<table>
<thead>
<tr>
<th>delayed</th>
<th>denied</th>
</tr>
</thead>
</table>

**Details of Consignment**

<table>
<thead>
<tr>
<th>Consignor</th>
<th>Consignee</th>
<th>Carrier</th>
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<tr>
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<th>City/Town/State</th>
<th>Country</th>
<th>Date</th>
</tr>
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<table>
<thead>
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<th>Arrival Airport/Port/City</th>
</tr>
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</table>

*6 Name of Member Government’s Civil Aviation, Maritime Administration or other Government Organisation or Non-Governmental Organization with consultative status, Manufacturer/Producer/Shipper submitting the Report.*
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<tr>
<td>Email Address</td>
</tr>
</tbody>
</table>
Annex I: Roles and Responsibilities of Regional Coordinator
(Guidance)

Strategic Planning
(Communication, cooperation, analysis and evaluation)

1. To serve as a Coordinator and a conduit for disseminating knowledge about the IAEA’s
denials of shipment (DoS) programme to NFPs. To ensure that the lessons learned
and proposed corrective actions, adaptations and innovations for future solutions from
the region are documented and reported to the Denials Secretariat.

To serve as the interface between the NFPs of the region, the ISC and the Denials
Secretariat in all matters related to all aspects of denials and delays of shipment of
RAM. To ensure that the lessons learned and proposed corrective actions, adaptations
and innovations for future solutions from the region are documented and reported to
the Denials Secretariat.

2. To inform the ISC/IAEA, on the severity and importance of specific cases of denials and
delays of shipment of RAM in the region and to support National Focal Points to seek
adequate solutions to the problems with the help of agencies like IMO, ICAO, IATA etc.

3. To represent the region at the meetings of the ISC and assist the ISC in formulating
relevant policies and strategies

4. To build a knowledge base for regional facilitation and identify potential areas for
national/regional/international collaboration and the participation of others

5. To support a regional web page through the IAEA platform.

Approach Determination
(Identification, approach and solutions)

6. To maintain current knowledge on the status of denials of shipments in the region and
encourage resolution of issues that preclude the effective shipment of radioactive
material;

7. To coordinate with representatives of the international organizations, associations and
NFPs in the region for training needs.

Operational Actions
(Implementation, measurement and report)

8. Through other Regional Coordinators:
   • keep up to date on progress, problems and actions concerning denials of shipment and,
   • facilitate solutions by taking actions as necessary, and,
   • replicate processes which have been found to be effective in different networks.

9. To coordinate implementation of actions determined by the [International] Steering
   Committee according to regional priorities.

10. To develop, evaluate and review the implementation of the regional action plans.
11. To review the success or failure of delivered solutions and to provide feedback to the Denials Secretariat;

12. To assist other Regional Coordinators as necessary;

13. To monitor and encourage timely completion of activities as per the regional action plans

14. To organize the preparation and submission of half-yearly/annual updates to the Denials Secretariat.
Annex J: On-going activities of Regional Coordinator (Guidance)

- Create a consolidated list of training information, include consideration of languages (Action 24).

- Identify opportunities for furthering the efforts of the [International] Steering Committee. (Action 43).

- Identify stakeholders, who are key to sustainability of radioactive material transport. (Action 44).

- Develop an outreach programme involving conference participation, journal articles etc to positively influence the stakeholders incorporate in action plan. (Action 46).

- Hold worldwide, region by region, meetings involving all relevant stakeholders (similar to the fact finding discussion forum) to facilitate exchange of information, and include awareness building of potential issues related to future security regulations, to ensure regional harmonization of its security measures. (Action 47).

- Identify administrative burdens and how they impinge on sustainability (with emphasis on those refusing shipment) (Action 51).

- Issue letter to MSs setting out role of NFPs and Regional Coordinators and seek to improve rate of appointment of NFPs (Action 55).

- To analyze the texts (related to the transport of RM) collected in Action 75 (Action 76).

- To organize trainings for trainers (Action 83).

- To establish a permanent network between NFP and RC (Action 84).

- To elaborate a strategy for lobbying (Action 87).

- Stakeholders dealing directly or indirectly with denials of shipment to be invited to join the Regional Network (Action 94).

- To harmonize technical concepts and reviewing of cases of DoS occurred in the region (Action 101).

- To provide the experience gained by each region to the other regions. (Action 103).

- Submission of status reports to IAEA (with copies to NFPs) (Action 106).
Annex K: On-going activities of the International Steering Committee (Guidance)

- ISC members to provide IAEA with presentations completed and progress updates (Action 27)

- To identify opportunities for furthering the efforts of the [International] Steering Committee. (Action 43)

- To identify stakeholders, who are key to sustainability of radioactive material transport. (Action 44)

- To develop an outreach programme involving conference participation, journal articles etc to positively influence the stakeholders. Incorporate in action plan. (Action 46)

- To monitor action plan and record changes resulting from it at [International] Steering Committee annual meeting. (action 60)

- Via [International] Steering Committee annual report to the Director General, to communicate back to Member States, via an agreed communication point, and through them to industry, to report action taken. (Action 61)

- To elaborate an effective strategy of communication (Action 85)

To elaborate a strategy for lobbying (Action 87)
Annex L: On-going activities of the Denials Secretariat (Guidance)

- One database with one report form to be developed jointly by UN agencies in co-operation for the purpose of
  1) Recording denials/delays
  2) Identifying underlying issues
  3) Identifying patterns
  4) Noting solutions
  5) Noting successes
  6) Identifying responsible persons
  7) Target dates for dealing with issues (Action 1).

- To ensure that all data from other ISC member databases are inserted into the single UN database (Action 2).

- To amend IMO input form to be a general multimodal version (Action 3).

- Database functionality to be improved (Action 7).

- To report on success to the ISC and IAEA GC & BOG (Action 22).

- ISC members to provide IAEA with presentations completed and progress updates (Action 27).

- Identify opportunities for furthering the efforts of the [International] Steering Committee (Action 43).

- Develop an outreach programme involving conference participation, journal articles, etc, to positively influence the stakeholders. To be incorporated in action plan (Action 46).

- To hold worldwide, region by region, meetings involving all relevant stakeholders (similar to the fact finding discussion forum) to facilitate exchange of information, and include awareness building of potential issues related to future security regulations, to ensure regional harmonization of its security measures (Action 47).

- To issue IAEA draft message to industry operating in each Member State identifying NFPs (Action 56).

- To analyze submitted data semi-annually. Results to be incorporated in newsletter updates (Action 59).

- To report to TRANSSC the outcome of the previous ISC meeting especially where those issues affect TRANSSC for its consideration of changes to the transport safety standards (Action 62).

- To appoint the Regional Coordinators (Action 77).

- To appoint National Focal Point (Action 78).

- To elaborate a strategy for lobbying (Action 87).

- Regional Workshop on the use of Class 7 RAM and report on success (Action 91).
• To establish an inventory of existing training, reference material and fact sheets for the D&D web page (Action 92).

• To make distributed report of data base recommended by the ISC and the data base developed in the region (Action 99).

• To hold a coordination meeting to develop/finalize national/regional action plans (Action 107).
Annex M: Abbreviations

DNH: Denials Network Handbook
GC: General Conference
IAEA: International Atomic Energy Agency
IATA: International Air Transport Association
ICAO: International Civil Aviation Organisation
IMDG Code: International Maritime Dangerous Goods Code (issued by IMO)
IMO: International Maritime Organization
ISC: International Steering Committee
NFP: National Focal Point
RAM: RadioActive Material
RC: Regional Coordinator
TSU: Transport Safety Unit (IAEA/NSRW/RIT)
UN: United Nations
UNECE: United Nations Economic Commission for Europe