NUCLEAR SAFETY REQUIREMENTS
BSR-4.1.1-2017

RULES ON THE ISSUE OF CERTIFICATES FOR TRANSPORT OF NUCLEAR FUEL CYCLE, NUCLEAR AND FISSIONABLE MATERIALS

CHAPTER I
GENERAL PROVISIONS

1. The Nuclear Safety Requirements BSR-4.1.1-2017 'Rules on the Issue of Certificates for Transport of Nuclear Fuel Cycle, Nuclear and Fissionable Materials' (hereinafter – the Requirements) define documents and requirements for documents supplied for the issue of certificates specified in Article 22^1(1)–(2) of the Republic of Lithuania Law on Nuclear Safety (hereinafter – the LNS).

2. These Requirements shall be binding on all persons who intend to engage or are engaged in the activities of transport of nuclear fuel cycle materials, nuclear or fissionable materials in the established amounts specified in Annex 1 to the LNS (hereinafter – radioactive materials) which may be carried by water, rail or road transport, where permitted by legal acts regulating transport of dangerous good by road in the Republic of Lithuania by the respective type of transport, documents and international treaties specified in subparagraphs 3.2–3.6 of the Requirements.

3. The procedures of transport of radioactive materials shall comply with the provisions of the following legal acts, documents and international agreements:

3.1. Technical Annexes A and B to the European Agreement concerning the International Carriage of Dangerous Goods by Road (ADR) – for transport by road;

3.2. International Maritime Dangerous Goods Code (IMDG) of the International Maritime Organisation – for transport by water;

3.3. Annex to Appendix C 'Regulation concerning the International Carriage of Dangerous Goods by Rail' of the Convention concerning International Carriage by Road (COTIF) of 9 May 1980 and Annex 2 'Rules for Carriage of Dangerous Goods' to the Agreement on International Goods Transport by Rail (SMGS) of the Organisation for Cooperation between Railways – for transport by rail;

3.4. Republic of Lithuania Law on Carriage of Dangerous Goods by Road, Rail and Inland Waterways;

3.5. Lithuanian Hygiene Standard HN 73:2001 'Basic Standards of Radiation Protection' approved by Order No 663 of the Minister of Health of the Republic of Lithuania of 21 December 2001 on approval of the Lithuanian Hygiene Standard HN 73:2001 'Basic Standards of Radiation Protection';

3.6. Regulations for the Safe Transport of Radioactive Material (No SSR-6, 2012) (hereinafter – the SSR-6) of the International Atomic Energy Agency (hereinafter – the IAEA).

4. Terms used in these Requirements and their definitions correspond to the terms defined in Technical Annexes A and B to the European Agreement concerning the International Carriage of Dangerous Goods by Road, the International Maritime Dangerous Goods Code (IMDG Code), Annex to Appendix C 'Regulation concerning the International Carriage of Dangerous Goods by Rail' of the Convention concerning International Carriage by Road (RID), Annex 2 'Rules for Carriage of Dangerous Goods' to the Agreement on International Goods Transport by Rail (hereinafter – the international transport agreements), the Republic of Lithuania Law on Carriage of Dangerous Goods by Road, Rail and Inland Waterways, the Republic of Lithuania Law on Nuclear Energy, the LNS, the Republic of Lithuania Law on Nuclear Safety and the SSR-6.

CHAPTER II
PROCEDURE OF NOTIFICATION OF THE STATE NUCLEAR POWER SAFETY

INSPECTORATE AND COMPETENT AUTHORITIES OF OTHER COUNTRIES OF SHIPMENT OF RADIOACTIVE MATERIALS

5. The first shipment of any package of radioactive materials for which the certificate specified in Article 22^1(1)(3) of the LNS is required according to the procedure set forth in paragraph 557 of the SSR-6 in observance of provisions of paragraph 559 of the SSR-6 must be notified to the State Nuclear Power Safety Inspectorate and competent authorities of each country through or to which the consignment is to be transported.

6. Each shipment of radioactive materials for which the certificates specified in Article 22^1(1)(1) of the LNS are required according to the procedure set forth in paragraph SSR-558 in observance of provisions of paragraph 559 of the SSR-6 must be notified to the State Nuclear Power Safety Inspectorate and competent authorities of each country through or to which the consignment is to be transported.

7. The notification referred to in paragraphs 5 and 6 of these Requirements shall be sent to the State Nuclear Power Safety Inspectorate and competent authorities of each country through or to which the consignment is to be transported prior to the commencement of the notified shipment at least 7 (seven) business days in advance.

8. A separate notification of shipments of radioactive materials referred to in paragraphs 5 and 6 of the Requirements to the State Nuclear Power Safety Inspectorate and competent authorities of each country through or to which the consignment is to be transported shall not be mandatory if the information referred to in paragraphs 5 and 6 of these Requirements is specified in the application for the approval certificates specified to in these paragraphs.

CHAPTER III
APPLYING FOR CERTIFICATES SPECIFIED IN ARTICLE 22^1 (1) AND (2) OF THE LNS

9. The applicant shall submit the application for any of the certificates specified in Article 22^1(1) and (2) of the LNS and documentary evidence of compliance of radioactive materials or use of package design and shipment of these materials with the requirements for issue of a shipment approval certificate or of a design approval certificate to the State Nuclear Power Safety Inspectorate directly, by post, by electronic means or via the Contact Centre of Services and Products. The applications shall be submitted according to the forms approved by the Head of the State Nuclear Power Safety Inspectorate in observance of requirements of this Chapter.

10. Having received the application for any of the certificates specified in Article 22^1(1) and (2) of the LNS, the State Nuclear Power Safety Inspectorate shall send to the applicant the acknowledgement of receipt of the application for the certificate within 5 (five) business days of the day of receipt of the application. The acknowledgement of receipt shall include the following information:

10.1. the time limit for taking the decision on issue of the certificate;

10.2. the remedies available to the applicant in the case of a dispute with the State Nuclear Power Safety Inspectorate;

10.3. the fact that if the applicant does not receive the answer within the fixed time limit it shall not be considered that the certificate was issued.

11. If the applicant submits not all documents specified in the Requirements necessary for obtaining the certificate, the submitted documents do not meet the Requirements, the provided information is inaccurate or does not reflect the current situation, the State Nuclear Power Safety Inspectorate shall, not later than within 5 (five) business of the day of receipt of those documents, notify the applicant of the need to submit the missing documents, information or to clarify the documents and shall apprise that time limit for taking the decision on issue of the certificate shall be counted from the day of receipt of all duly formalised documents.

12. The application for the shipment approval certificate of radioactive materials shall include the following requisites of the applicant (consignor (holder), consignee and carrier of

radioactive materials: the applicant's name (forename and surname of a natural person), legal form, code (personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate requested by the applicant, the transport route of radioactive materials, the radioactive materials to be shipped, the envisaged type of conveyance and the mode of transport. The application shall be accompanied by the documents and information specified in Chapter IV of the Requirements.

13. The application for the design approval certificate of radioactive materials shall include the following requisites of the applicant (designer or manufacturer of design): the applicant's name (forename and surname of a natural person), legal form, code (personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate requested by the applicant, mass and dimensions of design of radioactive materials, the name and activity limits of radionuclide(s), the type of the ionising radiation emitted, and the amount of generated heat. The application shall be accompanied by the documents and information specified in Chapter V of the Requirements.

14. The application for the package design approval certificate shall include the following requisites of the applicant (designer or manufacturer of the package): the applicant's name (forename and surname of a natural person), legal form, code (personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate requested by the applicant, mass and dimensions of the package design, proposed radioactive contents of the package and their activity levels, physical chemical state, the highest activity level of the proposed radioactive contents of the package, the type of the ionising radiation emitted, and the amount of generated heat. The application shall be accompanied by the documents and information specified in Chapter VI of the Requirements.

15. The application for a single certificate of package design and shipment approval of radioactive materials shall include the following requisites of the applicant (consignor (holder), designer or manufacturer of the package design), carrier, consignee of radioactive materials): the applicant's name (forename and surname of a natural person), legal form, code (personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate requested by the applicant, mass and dimensions of the package design, proposed radioactive contents of the package and their activity levels, their physical and chemical state, the highest activity level of the proposed radioactive content of the package, the type of the ionising radiation emitted, and the amount of generated heat. The application shall be accompanied by the documents and information specified in Chapter VI of the Requirements.

16. The application for endorsement of the shipment approval certificate of radioactive materials issued by a competent authority of another country shall include the following requisites of the applicant and carrier: the name of the applicant and carrier (forename and surname of a natural person), legal form, code (in personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate supplied for endorsement, the identification mark, the issue date and an expiry date, the name of the certificate requested by the applicant, the transport route of radioactive materials. The application shall be accompanied by the documents specified in Chapter VII of the Requirements.

17. The application for endorsement of the package design approval certificate of radioactive materials issued by a competent authority of another country shall include the following requisites of the applicant (holder): the name of the applicant (forename and surname of a natural person), legal form, code (personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate supplied for endorsement, the identification mark, the issue date and an expiry date, the name of the certificate requested by the applicant. The application shall be accompanied by the documents Requirements specified in Chapter VII of the Requirements.

18. The application for endorsement of the shipment approval certificate of radioactive materials and of the package design approval certificate shall include the following requisites of the

applicant and carrier: the name of the applicant and carrier (forename and surname of a natural person), legal form, code (personal identification number of a natural person), residence (address), contact details (phone, fax numbers and/or e-mail address, if applicable), the name of the certificate supplied for endorsement, the identification mark, the issue date and an expiry date, the name of the certificate requested by the applicant, the transport route of radioactive materials. The application shall be accompanied by the documents Requirements specified in Chapter VII of the Requirements.

19. The applicant (designer, manufacturer of design or consignor of radioactive materials) for any of the certificates referred to in Article 22^1(1)–(3) and Article 22^1(2) of the LNS the shall provide in the application a specification of the management system used in their activities including:

19.1. the description of the structure of the management system;

19.2. the description of the arrangement of the management system, including descriptions of processes of activities to be carried out according to the certificate and of the responsibilities of staff who will be involved in the activities carried out according to the certificate;

19.3. the description of management of human resources, including staff training;

19.4. the description of the organisation of controls, self-assessment and independent assessment of the processes of activities to be carried out according to the certificate;

19.5. the description of servicing and maintenance of used equipment and mechanisms;

19.6. the description of controls of the process of procurement and other acquisitions;

19.7. the description of procedures of preventive detection and correction of inconsistencies.

CHAPTER IV
INFORMATION AND DOCUMENTS SUPPLIED TOGETHER WITH THE APPLICATION FOR THE SHIPMENT APPROVAL CERTIFICATE OF RADIOACTIVE MATERIALS

20. The documents to be supplied together with the application for the shipment approval certificate of radioactive materials:

20.1. the description of the nuclear, radiation and physical safety (hereinafter – safety) measures and of the administrative and operational control measures;

20.2. the instruction with regard to the stowage of the consignment and its preparation for shipment;

20.3. the description of responsibilities of the entity's specialist for safety of transport of dangerous goods;

20.4. the description of actions to be undertaken before each shipment of the consignment of radioactive materials;

20.5. the description of emergency response preparedness;

20.6. the document including details on packaging, labelling and marking of radioactive materials;

20.7. the description of subsidiary hazard of the consignment to people, their property and environment where the radioactive material to be transported is hazardous not only because of risk of ionising radiation, but also because of explosiveness, flammability, toxicity, corrosiveness, thermal exposure and factors pertaining to other dangerous properties.

21. The documents indicated in paragraph 20 of the Requirements shall include the information on carriage duration for which the approval is requested, all intended safety or administrative or operational controls to be applied during carriage.

22. In the case of shipment of radioactive materials under a special arrangement the application shall be accompanied by the information indicated in paragraph 21 of the Requirements, state the reason for intended shipment under the special arrangement and explain the measures ensuring safety in such case.

CHAPTER V
INFORMATION AND DOCUMENTS SUPPLIED TOGETHER WITH THE APPLICATION FOR THE RADIOACTIVE MATERIAL DESIGN APPROVAL CERTIFICATE

23. The application for the radioactive material design approval certificate shall be submitted together with the documents and information specified in paragraph 803 of the SSR-6, except for the information specified in point (d) of paragraph 803 of the SSR-6, instead of which the information specified in paragraph 19 of these Requirements shall be supplied.

CHAPTER VI
INFORMATION AND DOCUMENTS SUPPLIED TOGETHER WITH THE APPLICATION FOR THE PACKAGE DESIGN APPROVAL CERTIFICATE

24. The application for the package design approval certificate for the package designed to contain 0.1 kg or more of uranium hexafluoride shall be accompanied by the information evidencing that requirements of paragraphs 631–634 of the SSR-6 were met.

25. The application for Type B(U) and Type C package design approval certificate shall be accompanied by the information and documents specified in paragraph 809 of the SSR-6, except for the information in point (i) of paragraph 809 of the SSR-6, instead of which the information specified in paragraph 19 of these Requirements shall be supplied.

26. The application for Type B(M) package design approval certificate shall be accompanied by the information and documents specified in paragraph 809 and 812 of the SSR-6, except for the information in point (i) of paragraph 809 of the SSR-6, instead of which the information specified in paragraph 19 of these Requirements shall be supplied.

27. The application for the fissile material package design approval certificate shall be accompanied by the information evidencing that requirements of paragraph 673 of the SSR-6 were met.

28. The application for package design approval certificate indicated in this Chapter shall include the description of the emergency arrangements for the package design.

CHAPTER VII
DOCUMENTS SUPPLIED TOGETHER WITH THE APPLICATION FOR ENDORSEMENT OF THE CERTIFICATE ISSUED BY A COMPETENT AUTHORITY OF ANOTHER COUNTRY

29. The application for endorsement of the radioactive materials shipment approval certificate, package design approval certificate or radioactive materials shipment and package design approval certificate of another country shall be accompanied by the following documents:

29.1. a copy of the certificate issued by a competent authority of another country the endorsement of which is requested certified by a notary or by other equivalent means;

29.2. a translation into Lithuanian of the certificate issued by a competent authority of another country the endorsement of which is requested and of all accompanying documents confirmed by the qualified translator's signature and seal of the agency which made the translation or by the notary's seal.

CHAPTER VIII
PROCEDURE OF ISSUE, SUSPENSION AND REVOCATION OF CERTIFICATES SPECIFIED IN ARTICLE 22[1](1)–(2) OF THE LNS

30. The documents accompanying the application shall be revised, examined, assessed, the decision on the issue of certificates shall be taken and the certificate shall be issued within the time limits set in Article 26[1](4)–(8) of the LNS.

31. The decision to issue the approval certificate shall be formalised by order of the Head of the State Nuclear power Safety Inspectorate.

32. The decision to suspend or revoke the approval certificate shall be formalised by order of the Head of the State Nuclear power Safety Inspectorate.

CHAPTER IX
FORM AND CONTENT OF CERTIFICATES SPECIFIED IN ARTICLE 22[1](1)–(2) OF THE LNS

33. The shipment approval certificate shall be prepared according to requirements of paragraphs 832 and 837 of the SSR-6. In observance of point (k) of paragraph 837 of the SSR-6 and having regard to the information supplied by the applicant according to subparagraph 20.5 of these Requirements, the certificate shall include the information about the required emergency response and applicable emergency arrangements. In observance of point (l) of paragraph 837 of the SSR-6 the certificate shall include the specification of the management system applied by the applicant. In observance of point (m) of paragraph 837 of the SSR-6 the certificate shall include the reference to the identity of the applicant.

34. The shipment approval certificate for a special arrangement shall be prepared according to requirements of paragraphs 832 and 836 of the SSR-6. In observance of point (m) of paragraph 836 of the SSR-6 the reason for shipment under a special arrangement shall be indicated. In observance of point (q) of paragraph 836 of the SSR-6 and having regard to the information supplied by the applicant according to subparagraph 20.5 of these Requirements, the required emergency response and applicable emergency arrangements shall be specified. In observance of point (r) of paragraph 836 of the SSR-6 the specification of the management system applied by the applicant shall be provided. In observance of point (s) of paragraph 836 of the SSR-6 the reference to the identity of the applicant shall be provided.

35. The radioactive material design approval certificate (design approval certificate for special form radioactive material or low dispersible radioactive material) shall be prepared according to requirements of paragraphs 832 and 834 of the SSR-6, including the reference to the identity of the applicant as required in point (k) of paragraph 834.

36. Approval certificates for package design endorsement shall be prepared according to requirements of paragraphs 832 and 838 of the SSR-6. In observance of point (u) of paragraph 838 of the SSR-6 and having regard to the information supplied by the applicant according to paragraph 28 of these Requirements, the required emergency response and applicable emergency arrangements shall be specified. In observance of point (v) of paragraph 838 of the SSR-6 the reference to the identity of the applicant shall be provided.

37. The single package design and radioactive materials shipment approval certificate shall be prepared according to requirements of paragraphs 832, 837 and 838 of the SSR-6. In observance of point (k) of paragraph 837 of the SSR-6 and having regard to the information supplied by the applicant according to subparagraph 20.5 of these Requirements, the certificate shall include the information about the required emergency response and applicable emergency arrangements. In observance of point (m) of paragraph 837 of the SSR-6 point (v) of paragraph 838 of the SSR-6 the reference to the identity of the applicant and carrier shall be provided.

38. The endorsement of the shipment approval certificate of radioactive materials and/or of package design approval issued by a competent authority of another country shall be prepared according to requirements of paragraphs 832 of the SSR-6.

CHAPTER X
ADMINISTRATION OF CERTIFICATES SPECIFIED IN ARTICLE 22^1(1)–(2) OF THE LNS

39. The State Nuclear Power Safety Inspectorate shall not require the applicant to supply the documents and/or information which had already been supplied by the applicant, unless the data and/or information supplied to the State Nuclear Power Safety Inspectorate have changed or can be accessed by the State Nuclear Power Safety Inspectorate in observance of Article 3(8) of the Republic of Lithuania Law on Public Administration.

40. The State Nuclear Power Safety Inspectorate shall provide information about decisions on the issue, suspension and revocation of certificates to the Licence Information System in observance of Resolution No 937 of the Government of the Republic of Lithuania of 18 July 2012 on approval of the licensing framework description.

41. All information and/or documents pertaining to the process of issue of certificates, an application for certificate, a decision to issue certificate, a refusal to issue certificate, a notice of certificate suspension, a decision to suspend certificate, to cancel suspension or to revoke a certificate, the documents of assessment of supervision over compliance with activities regulated by the certificate shall be public, unless the respective information and/or documents may not be made public by virtue of laws.

42. The applicant and/or certificate holder may obtain information and/or documents pertaining to the issue of certificates specified in Article 22^1(1) of the LNS and to the activities regulated by such certificates from the State Nuclear Power Safety Inspectorate directly, by post, by electronic means or via the Contact Centre of Services and Products.

CHAPTER XI
RIGHTS AND RESPONSIBILITIES OF CERTIFICATE HOLDERS

43. A certificate holder must engage in activities indicated in the certificate in observance of these Requirements and the certificate, use the product of the approved design only according to the conditions specified in the certificate.

CHAPTER XII
GENERAL PROVISIONS

44. A person who breaches these Requirements shall be held liable in accordance with the procedure set forth by Article 47(3) of the Republic of Lithuania Code of Administrative Offences.

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