

Codebook for Radiological Trade Controls Measure Level Database

Version 2019

To better understand what the Stimson Center's Radiological Trade Controls Measure Level Database shows, please reference this Codebook. This Codebook outlines the 39 variables used to develop the database, what they mean, and any coding rules related to each variable. Additionally, this document includes information on the Stimson Center's coding strategy and search strategy to find and analyzed the laws and regulations contained in the database. Should you have questions about the Codebook or the database, please contact Dr. Richard T. Cupitt, Director of the Partnerships in Proliferation Prevention Program: rcupitt@stimson.org.

Variable 001

Variable Name: State Name

Variable Description: UN Member State Names

Variable Values and Labels: e.g., Afghanistan Zimbabwe

Source: <https://unstats.un.org/unsd/methodology/m49/>

Special Coding Rules: N/A

Variable 002

Variable Name: State Code

Variable Description: UN Member State M49 ISO codes

Variable Values and Labels: 4-894

Source: <https://unstats.un.org/unsd/methodology/m49/>

Special Coding Rules: N/A

Variable 003

Variable Name: State Measure Identifier

Variable Description: UN Member State M49 ISO code plus unique number for each measure

Variable Values and Labels: M49 ISO code plus 0.001-0.999

Source(s): <https://unstats.un.org/unsd/methodology/m49/>

Special Coding Rules: N/A

Variable 004

Variable Name: State Measure Title

Variable Description: Official Title of Measure

Variable Values and Labels: N/A

Source(s): Measure

Special Coding Rules: Official full title or official short title, but if not available put "unofficial" in parentheses.

Variable 005

Variable Name: Language of Origin

Variable Values and Labels:

Variable Description: Original Language of Measure

Source(s): Measure

Special Coding Rules: N/A

Variable 006

Variable Name: Language Used

Variable Description: Language of Measure Used in Data Collection

Variable Values and Labels:

Source(s): Measure

Special Coding Rules: Include a URL link in parentheses.

Variable 007

Variable Name: Rad Trade Control Bodies

Variable Description: The name(s) of the government bodies in the measure that exercise regulatory jurisdiction over main elements of law or regulation.

Variable Values and Labels: N/A

Source(s): Measure

Special Coding Rules: The regulatory bodies need not be a specialized nuclear regulatory authority. If the measure lists a regulatory body within a Ministry or higher bureaucratic body, link to the agency, not the higher body. Include a URL to each body in parentheses.

Variable 008

Variable Name: Number of Regulatory Bodies

Variable Description: The number of government bodies in the measure that exercise regulatory jurisdiction over main elements of law or regulation.

Variable Values and Labels: 0, 1, 2, ...

Source(s): Measure

Special Coding Rules: N/A

Variable 009

Variable Name: Regulatory Body Type(s)

Variable Description: The type(s) of the government bodies in the measure that exercise regulatory jurisdiction over main elements of law or regulation.

Variable Values and Labels: Recode as 1 = Nuclear Regulatory Authority; 2 = Other Authority; 3 = Both 1 and 2

Source(s): Measure

Special Coding Rules: N/A

Variable 010

Variable Name: Export Authorization Category 1

Variable Description: Measure creates licensing requirements for exporting IAEA Category 1 sources

Variable Values and Labels: 1 = Has requirements; 0 = No requirements

Source(s): Measure

Special Coding Rules: 1 means that the measure creates any trade authorization requirements on stakeholders, even if relatively general. 0 means that the measure does not note trade authorization requirements on stakeholders.

Variable 011

Variable Name: Other Export Authorization(s)

Variable Description: Measure requires an authorization/licensing system to export rad sources other than just Category 1 sources

Variable Values and Labels: 1 = Has requirements; 0 = No requirements

Source(s): Measure

Special Coding Rules: N/A

Variable 012

Variable Name: Notify Importing State

Variable Description: Measure creates obligations to notify the State importing radioactive sources

Variable Values and Labels: 1 = Requires notification; 0 = No requirements

Source(s): Measure

Special Coding Rules: N/A

Variable 013

Variable Name: Exceptions to Authorization

Variable Description: Measure establishes exceptions beyond exigent circumstances for export authorizations

Variable Values and Labels: 1 = Has exceptions; 0 = No exceptions

Source(s): Measure

Special Coding Rules: Exceptions must exist other than those for extraordinary circumstances.

Variable 014

Variable Name: Import Authorization

Variable Description: Measure requires authorization for the import of radioactive sources

Variable Values and Labels: 1 = Requires authorization; 0 = No requirement

Source(s): Measure

Special Coding Rules: N/A

Variable 015

Variable Name: Transit Controls

Variable Description: Measure has controls transit of radioactive sources

Variable Values and Labels: 1 = Establishes controls; 0 = No controls

Source(s): Measure

Special Coding Rules: Transit controls refers to goods in a vessel that stay in that vessel and never enter the economy of a country (or enter the country's customs jurisdiction).

Variable 016

Variable Name: Transshipment Controls

Variable Description: Measure has controls on transshipment of radioactive sources

Variable Values and Labels: 1 = Establishes controls; 0 = No controls

Source(s): Measure

Special Coding Rules: Transshipment controls refers to goods in a vessel that are placed in a new vessel and may or may not enter a country's economy.

Variable 017

Variable Name: Re-Export Controls

Variable Description: Measure has controls on re-export of radioactive sources

Variable Values and Labels: 1 = Establishes controls; 0 = No controls

Source(s): Measure

Special Coding Rules: N/A

Variable 018

Variable Name: List of Types of Controlled Sources

Variable Description: Measure establishes, contains or refers to a list of types of controlled radioactive sources

Variable Values and Labels: 1 = Establishes, contains or refers to a list; 0 = No list

Source(s): Measure

Special Coding Rules: N/A

Variable 019

Variable Name: Prohibitions

Variable Description: Measure identifies prohibited activities

Variable Values and Labels: 1 = identifies prohibited activities; 0 = does not identify prohibited activities

Source(s): Measure

Special Coding Rules: These include prohibitions of actions without a license.

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Variable 020

Variable Name: Text Location of Prohibitions

Variable Description: Specific paragraph or article identifying prohibited activities

Variable Values and Labels: N/A

Source(s): Measure

Special Coding Rules: N/A

Variable 021

Variable Name: Offences or Violations

Variable Description: Measure defines offences or violations (i.e. criminal or intentional unauthorized acts)

Variable Values and Labels: 1 = identifies offences or violations; 0 = does not identify offences or violations

Source(s): Measure

Special Coding Rules: N/A

Variable 022

Variable Name: Text Location of Offences or Violations

Variable Description: Specific paragraph or article of definitions of offences or violations (i.e. criminal or intentional unauthorized acts)

Variable Values and Labels: N/A

Source(s): Measure

Special Coding Rules: Only list the articles where the offenses are defined.

Variable 023

Variable Name: Death Penalty

Variable Description: Inclusion of death as a penalty.

Variable Values and Labels: 1 = Has the death penalty; 0 = does not have the death penalty

Source(s): Measure

Special Coding Rules: N/A

Variable 024

Variable Name: Max Prison

Variable Description: The maximum prison sentence for any defined offense or violation in months.

Variable Values and Labels: 0-360 or greater, with no prison penalty option counted as 0

Source(s): Measure

Special Coding Rules: Life imprisonment = 600 months

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Variable 025

Variable Name: Max Min Prison

Variable Description: The maximum for any minimum prison sentence for any defined offense or violation in months

Variable Values and Labels: 0-600, with no minimum prison penalty counted as 0

Source(s): Measure

Special Coding Rules: N/A

Variable 026

Variable Name: Max Monetary Local

Variable Description: The maximum monetary penalty for any defined offense or violation, in national currency

Variable Values and Labels: 0-999,999,999, with no monetary penalty option counted as 0

Source(s): Measure

Special Coding Rules: N/A

Variable 027

Variable Name: Max Min Monetary Local

Variable Description: The maximum minimum monetary penalty for any defined offense or violation, in national currency

Variable Values and Labels: 0-999,999,999, with no monetary penalty option counted as 0

Source(s): Measure

Special Coding Rules: N/A

Variable 028

Variable Name: Max Fine USD

Variable Description: The maximum fine for any defined offense or violation, in USD

Variable Values and Labels: 0-999,999,999, with no fine penalty counted as 0

Source(s): Measure

Special Coding Rules: N/A

Variable 029

Variable Name: Max Min Fine USD

Variable Description: The minimum fine prison for any defined offense or violation, in USD

Variable Values and Labels: 0-999,999,999, with no monetary penalty counted as 0

Source(s): Measure

Special Coding Rules: N/A

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Variable 031

Variable Name: Graduated Penalties

Variable Description: Measure has graduated penalties for more serious offenses

Variable Values and Labels: 1 = Has graduated penalties; 0 = does not have graduated penalties

Source(s): Measure

Special Coding Rules: Increased penalties for repeat offenders counts as graduated.

Variable 031

Variable Name: Combined Penalties

Variable Description: Measure allows for combinations of penalties for offenses (e.g., fines and imprisonment)

Variable Values and Labels: 1 = Allows for combined penalties for offenses; 0 = does not allow for combined penalties

Source(s): Measure

Special Coding Rules: N/A

Variable 032

Variable Name: Other Penalties

Variable Description: Penalties other than imprisonment, fines, licensing, warning, or corrective action identified in other variables

Variable Values and Labels: 1 = Has other penalties; 0 = does not have other penalties

Source(s): Measure

Special Coding Rules: Other type of penalties include: license revocation, seizures, etc.

Variable 033

Variable Name: Text Location for Other Penalty or Penalties

Variable Description: Specific paragraph or article of the other penalties (e. g., seize)

Variable Values and Labels: N/A

Source(s): Measure

Special Coding Rules: Only list the articles where the other penalties are defined.

Variable 034

Variable Name: Enforcement Bodies

Variable Description: The name(s) of the government bodies in the measure that exercise jurisdiction over offenses and violations

Variable Values and Labels: N/A

Source(s): Measure

Special Coding Rules: Include a URL to each body in parentheses.

Variable 035

Variable Name: Number of Enforcement Bodies

Variable Description: The number of government bodies in the measure that exercise jurisdiction over offenses and violations

Variable Values and Labels: 0, 1, 2, ...

Source(s): Measure

Special Coding Rules: N/A

Variable 036

Variable Name: Enforcement Body Type(s)

Variable Description: The type(s) of government bodies in the measure that exercise enforcement over offenses and violations

Variable Values and Labels: Recode as 1 = nuclear authority; 2 = other authority; 3 = combination

Source(s): Measure

Special Coding Rules: N/A

Variable 037

Variable Name: Training for Stakeholders

Variable Description: Does the measure establish or maintain a training program for stakeholders (e.g., users, industry, other government ministries)?

Variable Values and Labels: 1 = Has a training program; 0 = Does not have a training program

Source(s): Measure

Special Coding Rules: N/A

Variable 038

Variable Name: Awareness Raising for Stakeholders

Variable Description: Does the measure establish or maintain awareness raising for stakeholders, e.g., users, industry?

Variable Values and Labels: 1 = Has an awareness raising program; 0 = Does not have an outreach program

Source(s): Measure

Special Coding Rules: Awareness raising includes general education on import and export of radioactive sources.

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Variable 039

Variable Name: Awareness Raising for the Public

Variable Description: Does the measure establish or maintain awareness raising for the general public?

Variable Values and Labels: 1 = Has an awareness raising program; 0 = Does not have an outreach program

Source(s): Measure

Special Coding Rules: Awareness raising includes general education on import and export of radioactive sources.

Search Strategy Decisions

- Only include acts that include radioactive, radiological, or nuclear in the text. Exclude general customs, health or environmental acts without specific references to those terms.
- Start with the measures listed in the 1540 Matrix for each country, using OP3 (c) and (d).
- Include Customs laws.
- Review the VERTIC database on nuclear measures for that country.
- Search for additional measures on the websites of the national regulatory bodies.
- Review PaLii, NATLEX, FAO, Lexadin, Wipolex, or similar databases.
- Special search terms: penalty, violation, offence (or offense), regist(ry), cadastre, fine, (im)prison, death, life, warn(ing), license, authoriz(ation), nuclear, radio(active/logical), atomic, sanction, infringe(ment), infraction, seize, import, export, transit, trans(s)hipment, re-export.
- Review statements by States at the IAEA General Conferences since 2014 for new measures and other IAEA presentations.