

 IAEA <small>International Atomic Energy Agency</small>	Department NS	Code SPESS B	Rev. No 2.2	Date of entry into force 2015-11-16	Page 1 of 51
Quality Management System – Safety and Security Coordination Section					
<p style="text-align: center;"> STEP BY STEP PREPARATION AND REVIEW PROCESS </p> <p style="text-align: center;"> Manual for the review process for draft Nuclear Security Series Publications and for the application of SPESS A for the IAEA Safety Standards </p> <p style="text-align: center;"> Version 2.2 – 16 November 2015 </p>					

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This step-by-step manual sets out in detail the process for planning, drafting, review, approval and establishment of a safety standard as described in SPESS A Section 3.D. It also encompasses the planning, drafting, review, approval and establishment of a Nuclear Security Series publication. This document doesn't describe the line management responsibilities, but complements these by addressing those responsibilities associated with the implementation of the review and approval process.

It is assumed that all steps relating to the collection and analysis of feedback and the review of existing publications have been performed.¹ The result of these is the first input into the steps described in this step-by-step manual.

This step-by-step manual may be considered to be “a description of the processes to be implemented to achieve the policies and the specification of which organizational unit is to carry them out.”² To avoid unnecessary detail, footnotes refer supporting guidance and detailed working documents, where appropriate.

The step-by-step process for safety standards is set out graphically in Annex I to this manual, while Annex II describes the procedure for obtaining co-sponsorship of safety standards and Annex III lists the aspects covered by the review by the technical editor.

The Annex IV describes in a synthetic manner the overall review process for Safety Standards and Nuclear Security Series publications, including situations where there exists an interface between the two series.

¹ The process for development of this report will be set out elsewhere; responsibilities in this regard for the safety standards are set out in Section 3.C of SPESS A

² INTERNATIONAL ATOMIC ENERGY AGENCY, Application of the Management System for Facilities and Activities, IAEA Safety Standards Series No. GS-G-3.1, IAEA, Vienna (2006).

STEP 1: Preparing a Document Preparation Profile (DPP)

INPUT: Report on the review of an existing publication or set of publications, or report on feedback analysis, including gap analysis

Step 1a (preparing the DPP)

Division director/section head:

- **Ensures** that **resources** for development of the safety standard or Nuclear Security Series publication (thereafter named draft publication) are properly reflected in the IAEA's Programme and Budget
- **Assigns a technical officer** responsible for preparation of the draft publication

Technical officer:

- Using as a basis, where appropriate and in particular for the revision of a safety standards, the report on the review of an existing publication or set of publications, or the report on feedback analysis, including gap analysis, **prepares a DPP**, using the correct template³, for a revision of or an addendum to a publication, or a set of publications or for a new publication. For safety standards, this should be prepared in accordance with the criteria described in SPESS A Section 2.B and the reference list for the long-term set of safety guides⁴.
- Ensures that all other areas of the Department of Nuclear Safety and Security (and where appropriate other Departments) are offered an opportunity to **collaborate on the draft DPP**, and, if appropriate, proposes to the Section Head the addition of one or more co-technical officers from other areas.
- For the purposes of internal clearance (Step 2), attaches to the DPP a justification in the event that intra-departmental collaboration with certain areas has not been offered.

³ Available on the NS Portal under KM Portal//Safety Standards/Background important papers and as a template in MS Word under File/New/On my computer.../NS-Dept (IAEA-internal links).

⁴ See the reference list on the Knowledge Management portal:

<http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=23197050&objAction=browse&sort=name>

- **Attaches the feedback report** to the DPP where appropriate and in particular for the revision of a safety standards.
- **Obtains Section Head approval** (via internal approval process).
- **Proposes a lead review Committee among EPreSC, NUSSC, RASSC, WASSC, TRANSSC and NSGC** for the review of the DPP and the draft and potential co-sponsors (see annex II, procedure for obtaining co-sponsorship).
- For Nuclear Security Series Technical Guidance, a fast track process may be proposed for urgently needed documents such that, if approved by the NSGC at the step 3 the draft would not be subject to 4 to 10 and be provided at step 11 to NSGC to take note of the final draft before publication. In such cases, a justification for proposing the fast track process for the document in question should be included in the DPP.
- **Sends the DPP to the coordinator** of the lead Committee for the topical area

Step 1b (first verification of the DPP)

Committee coordinator:

- **Checks** that the current template is used and that **the DPP** is correctly filled out

Knowledge management for Step 1: Report on gap analysis and/or report on feedback

Value added at Step 1: Draft DPP produced in accordance with identification of a need for a new draft based on a gap analysis or a need for the revision of an existing publication or a set of existing publications based on a report on feedback. Proposals for its place in the safety standards structure or Nuclear Security Series structure and for the lead Committee and review Committees.

Minimum time for Step 1: 1 month

OUPUT: Draft DPP with feedback report from the Secretariat

STEP 2: Internal review of the DPP

INPUT: Draft DPP with feedback report from the Secretariat

Step 2a (submitting the draft DPP to the internal review process)

Lead Committee coordinator

- **Submits** the draft DPP to the **Coordination Committee secretary** by email in sufficient time (one week) for the Coordination Committee to consider the draft DPP well before review Committee meetings.

Coordination Committee secretary:

- **Verifies compliance** of the DPP with what is required for Step 1a, including evidence that intra-departmental collaboration has been offered; if there is no compliance, returns the DPP to the lead Committee coordinator
- **Puts the draft DPP on the agenda** of the Coordination Committee for discussion at its next meeting.
- Puts the draft DPP on the Coordination Committee livelink site⁵.

Step 2b (internal review of the DPP)

Coordination Committee:

- **Reviews the draft DPP** according to its Terms of Reference⁶ for clearance for submission to the review Committees. Considers in particular the robustness of the proposal, the quality of the justification, its compliance with the criteria in terms of structure of the Safety Standards Series or of the Nuclear Security Series and the necessary internal coordination and/or collaboration and verifies the selection of the lead Committee and the other review Committees as well as the proposed potential co-sponsors. The Coordination Committee also provides a recommendation to the Interface

⁵ KM Portal/Management/Coordination Committee/SC and CC Meetings (IAEA-internal link).

⁶ Annex X of SPESS A.

Group on which review Committees should be involved during the review and approval process (EPRReSC, NUSSC, RASSC, WASSC, TRANSSC, NSGC) of the proposed document.

Coordination Committee secretary:

- **Informs** the technical officer, via the Committee coordinators, **of the outcome** of the review of the draft DPP⁷.

Step 2c (addressing internal review of the DPP)

Technical officer:

- **Evaluates comments** by Coordination Committee
- If the draft DPP was cleared, incorporates any comments and proceeds to Step 3
- If the draft DPP was not cleared, either:
 - revises the draft DPP according to comments and returns to Step 2a; or
 - requests Coordination Committee for permission to argue decision and returns to Step 2a; or
 - process ends.

Lead Committee coordinator, if the draft DPP was approved:

- **For safety standards, enters the relevant data into ManTIS⁸**, thereby assigning a DS number to the project, and assigns the status of the project in ManTIS to “Step 2: DPP approved by the Coordination Committee”
- **For Nuclear Security Series publication, assigns a NST number and updates the database of projects**

⁷ Minutes of Coordination Committee meetings are available at KM Portal/Management/Coordination Committee/SC and CC Minutes (IAEA-internal link).

⁸ ManTIS: Manuscript Tracking Information System, IAEA-internal database.

CSS coordinator, for safety standards:

- Includes the DPP as a **project on the status.doc**⁹

Knowledge management for Step 2: Database record, Coordination Committee minutes, status.doc

Value added at Step 2: Internal validation of the DPP, including of the justification for its need, the planned internal coordination and the proposed publication's place in the safety standards or Nuclear Security Series structure

Minimum time for Step 2: 1 month

OUTPUT: Draft DPP for submission to the lead review Committee and other proposed review Committees

⁹ <http://www-ns.iaea.org/committees/files/CSS/205/status.pdf>

STEP 3: Review of the DPP by the review Committee(s)

INPUT: Draft DPP for submission to the proposed review Committees

Step 3a (submitting the draft DPP to review by the review Committees)

Coordination Committee Secretary

- **Sends the draft DPP to the Interface Group** (See annex IV) with the recommendation from the Coordination Committee on which review Committees should be involved during the review and approval process (EPRReSC, NUSSC, RASSC, WASSC, TRANSSC, NSGC) (Exception: DPPs for Nuclear Security Technical Guidance are not sent to the Interface Group.)

Interface Group

- **Concludes on the allocation of review Committees**

Technical officer:

- **Sends the draft DPP to the relevant Committee coordinators** at least 2 months before the next meeting of the first review Committee that will review the DPP

Coordinator of the lead review Committee:

- **Puts the draft DPP on the agenda** of the review Committees for discussion at its next meeting¹⁰
- Puts the draft DPP and the feedback report on the review Committee website¹¹ at least 2 months before the next meeting of the first review Committee that will review the DPP

¹⁰ For Nuclear Security Series Technical Guidance, when a fast track process is proposed, approval of the DPP by the NSGC at step 3 is required through a tacit approval process conducted by electronic means. If NSGC approves the DPP and the fast track process, the draft would not be subject to the steps 4 to 10 and be provided at step 11 to NSGC to take note of the final draft before publication.

¹¹ For safety standards, draft DPPs and draft standards are available for comment by Committee members at <http://www-ns.iaea.org/committees/comments/default.asp>

- **Sends the draft DPP and the feedback report to coordinators of the other review Committees**, as necessary, at least 2 months before the next meeting of the first review Committee that will review the DPP

Step 3b (before the review Committee meeting: review of the draft DPP by the review Committee(s) members)

Review Committee(s):

- **Review the draft DPP** in accordance with its Terms of Reference¹² and provides comments three weeks in advance of the meeting.
- **Provide feedback** on the use of previous publications and comments on the report prepared by the Secretariat to support the proposal.

Technical officer:

- **Documents feedback** and comments from the review Committees to guide the subsequent drafting stage.
- Prepare on the appropriate form a list of comments received, **stating how each comment was resolved**, for availability for the review Committee(s) one week before the meeting of the first Committee to meet.

Step 3c (at the meeting of the review Committee(s))

Technical officer:

- **Presents the draft DPP** at the meeting of the review Committee

Review Committee(s):

- **Resolve any outstanding issues**
- **Decision on the DPP**

¹² Annex IX of SPESS A for the Safety Standards Committees.

Step 3d (after the meeting of the review Committee(s): addressing review of the draft DPP by the review Committee(s))

Chairpersons of the review Committee(s) (in the case of a DPP subject to review by several Committees)

- Discuss and **resolve any conflicting issues between Committees** (by exchange of emails or at the meetings of the Chairs).

Technical officer:

- **Evaluates comments** by the review Committee(s)
- If the DPP was approved, incorporates comments in cooperation with the Chair of the lead Committee and proceeds to Step 4 for safety standards and documents with safety/security interface. For draft security series publication without safety interface, proceeds to Step 5
- If the draft DPP was not approved, either:
 - revises draft DPP according to comments and return to Step 3a; or
 - process ends.

Lead Committee coordinator:

- **For safety standards updates** draft status in **ManTIS** to “Step 3: DPP approved by Committees” or “Withdrawn”, as appropriate
- **For nuclear security series, update the database of projects**

Knowledge management for Step 3: database record, status.doc, Review Committee minutes¹³

Value added at Step 3: Validation, from a Member State point of view, of need, validation of the scope and the place in the structure, in accordance with the scope of the Committee.

¹³ Meeting reports of the Safety Standards Committees are available on <http://www-ns.iaea.org/committees/>

Minimum time for Step 3: 2 months

OUTPUT: Draft DPP with feedback reports from the Secretariat and the review Committee members

STEP 4: Review of the DPP by the CSS or information of the CSS

INPUT: Draft DPP with feedback reports from the Secretariat and the review Committee members

For a DPP for safety standards, implement the steps 4a to 4d

For a DPP for security series publication identified as an interface document, the CSS coordinator provides the DPP to the CSS for information, then go to Step 5.

For a DPP for security series publication not identified as an interface document, go to Step 5

Step 4a (submitting the draft DPP to review by the CSS)

Technical officer:

- **Sends the draft DPP**, via the lead Committee coordinator, **to the CSS coordinator** at least 2 months before the next CSS meeting

CSS coordinator:

- **Puts the draft DPP on the agenda** of the CSS for discussion at its next meeting
- Puts the draft DPP on the CSS website¹⁴ at least 2 months in advance of the next CSS meeting

Step 4b (before the CSS meeting: review of the draft DPP by the CSS members)

CSS:

- **Reviews the draft DPP** in accordance with its Terms of Reference¹⁵ for endorsement of the decision of the Committees and provides comments three weeks in advance of the meeting.

¹⁴ Draft DPPs and standards are available for comment by CSS members at <http://www-ns.iaea.org/committees/csscomments/default.asp>

¹⁵ Annex VIII of SPESS A.

Step 4c (at the meeting of the CSS)

Technical officer:

- **Presents the draft DPP** at the meeting of the CSS

CSS:

- **Resolve any outstanding issues**
- **Decision on approval** of the DPP

Step 4d (after the meeting of the CSS: addressing review of the draft DPP by the CSS)

Technical officer:

- **Evaluates comments** by CSS
- If the decision on the DPP was endorsed, incorporates the comments from the CSS, in cooperation with the Chair of the lead Committee, and proceeds to Step 5
- If the decision on the DPP was not endorsed, either:
 - revises draft DPP according to comments and return to Step 4a; or Step 2a if recommended by the CSS
 - process ends.

Lead Committee coordinator:

- **Updates** draft status in **ManTIS** to “Step 4: DPP approved by Commission” or “Withdrawn”, as appropriate and, if approved, change the status from “planned” to “working” thereby automatically placing the DPP on the standards website.

CSS coordinator:

- **Updates** the **status.doc** and places the newly approved **DPP on the safety standards website**

Knowledge management for Step 4: ManTIS record, CSS minutes¹⁶, status.doc, safety standards website

Value added at Step 4: Endorsement of the decision on the DPP with validation of need for Member States, prioritization, scope, identification of Committees to be involved in the review process and place in the safety standards structure.

Minimum time for Step 4: 2 months

OUTPUT: Endorsed decision on the DPP with feedback reports as a basis for the drafting process

¹⁶ Meeting reports of the CSS are available on <http://www-ns.iaea.org/committees/>

STEP 5: Preparing the draft publication¹⁷

INPUT: Endorsed decision on the DPP with feedback reports as a basis for the drafting process

Lead Committee coordinator:

- **For safety standards, updates** draft status in **ManTIS** to “Step 5: Draft being prepared”

Technical officer:

- **Proposes** external **experts** in the field, for approval by the relevant Directors of the Department of Nuclear Safety and Security, to assist in the drafting, including experts proposed by the Committees members, taking into account the policy on stakeholder involvement¹⁸.
- **Convenes** one or more consultants **meetings for drafting**, ensuring that the scheduling of meetings is appropriate.¹⁹
- **Prepares the draft text** (for safety standards, in accordance with the responsibilities listed in SPESS A Section 3.D), liaising with technical editor if necessary
- **Keeps** the relevant **Committee coordinators informed** of the status of the draft publication
- Implements the **internal coordination for the development of the draft, including where necessary coordination with other Technical Officers on other drafts being under development**
- **Organizes, as appropriate Technical Meetings**

¹⁷¹⁷ A draft in this context may be composed of a set of proposal for amendment of existing publications

¹⁸ For safety standards, see SPESS A Section 2.H

¹⁹ Advice is provided in Part VII of the Administrative Manual <http://adminonline.iaea.org/AdminManual> (IAEA-internal link)

- Decides, together with the Section Head and the lead Committee coordinator, when the draft is ready to be sent to the Coordination Committee and the review Committee(s) for review and **sends the draft publication to the relevant Committee coordinators**

Section Head:

- **Verifies** that the necessary **internal coordination** has been performed

Knowledge management for Step 5: Database record, status.doc, successive versions of the draft, list of meetings and contributors

Value added at Step 5: First draft of the publication

Minimum time for Step 5: 2 to 12 months (2 months for an addendum)

OUTPUT: Draft for review by the Coordination Committee

STEP 6: First internal review of the draft publication

INPUT: Draft for review by the Coordination Committee

Note: In the case of an addendum, the process described from steps 6 to 13 are implemented as for a new publication or a revision, with the only difference that only the added part, which could be issued as a table of changes as appropriate, is subject to review and approval. An addendum may also propose changes to be made to several existing publications in a concomitant manner, through only one review and approval process.

Step 6a (submitting the draft to the internal review process)

Lead Committee coordinator:

- **Sends** the draft publication to **the Coordination Committee secretary** by email in sufficient time (two weeks) for the Coordination Committee to consider the draft well before review Committee meetings.

Technical officer:

- **Sends** the draft publication to NS-SSCS for review by the **technical editor**.

Coordination Committee secretary:

- **Puts the draft on the agenda** of the Coordination Committee for discussion at its next meeting
- **Reviews the draft**, in particular its consistency with other publications and compliance with the approved DPP
- Puts the draft on the Coordination Committee livelink site

Step 6b (internal review of the draft)

Coordination Committee:

- **Reviews the draft for clearance** for submission to the review Committee(s) according to its Terms of Reference
- **Resolves any coordination issues**

Coordination Committee secretary:

- **Informs** the technical officer, via the lead Committee coordinator, **of the outcome** of the review of the draft

Technical editor:

- **Carries out preliminary review** of draft and liaises with technical officer to resolve comments and queries

Step 6c (addressing internal review of the draft)

Technical officer:

- **Evaluates comments** by Coordination Committee
- If the draft was cleared by the Coordination Committee, incorporates comments and proceeds to Step 7
- If the draft was not cleared, either:
 - revises draft according to comments and return to Step 6a; or
 - process ends.

Lead Committee coordinator:

- **For safety standards, updates** draft status in **ManTIS** to “Step 6: Approved by the Coordination Committee before submission to MS” or “Withdrawn”, as appropriate
- **For security series updates the database of projects**

Knowledge management for Step 6: Database record, status.doc, Coordination Committee minutes, livelink NS Knowledge Portal that keeps successive version of the drafts submitted to the CC, records of resolution of technical editor’s comments

Value added at Step 6: Verification of quality of the draft, compliance with the approved DPP, coherency, consistency, and validation of inter-divisional coordination

Minimum time for Step 6: 1 month

OUTPUT: Draft for review by the review Committees

STEP 7: First review of the draft publication by the review Committee(s)

INPUT: Draft for review by the review Committees

Step 7a (submitting the draft to review by the review Committee(s))

Technical officer:

- **Sends** the draft publication **to the lead review Committee coordinators** at least two months before the next meeting of the first review Committee that will review the draft.

Lead Committee coordinator:

- **Puts the draft on the agenda** of the lead review Committee for discussion at its next meeting.
- **Puts the draft on the Committees' website** as soon as available and at the latest two months in advance of the next meeting of the first review that will review the draft.
- **Sends** the draft as soon as available and at the latest two months in advance of the review Committee meetings to **coordinators of other review Committees**, as necessary.

Step 7b (before the review Committee meetings, review of the draft by the review Committee(s) members)

Review Committee(s):

- **Reviews the draft** and provides comments three weeks before the meeting of the first Committee to meet. For interface documents; the review Committee members should verify that the security measures proposed in draft nuclear security series publications don't compromise safety and that the safety measures proposed in draft safety standards don't compromise security. They also verify that the appropriate cross-references between the two series are mentioned.

Technical officer:

- Prepare on the appropriate form a list of comments received, **stating how each comment was resolved**, for availability on the review Committee website one week before the meeting of the first Committee to meet.

Step 7c (at the meeting of the review Committee(s))

Technical officer:

- **Presents the draft publication** and the resolution of comments

Review Committee(s):

- **Address outstanding issues** in as much detail as is considered necessary for the draft to be submitted to Member States for comment
- **Decision on the next actions** for proceeding with the Member States consultation

Step 7d (after the meeting of the review Committee(s): addressing review of the draft by the review Committee(s))

Chairpersons of the review Committees (in the case of a draft publication subject to review by several committees)

- At the meeting of the Chairs, discuss and **resolve any conflicting issues between Committees**. (If Chairs are unable to resolve issues, return to the Secretariat for further revision and hence again to Step 7a.)

Technical officer:

- **Evaluates comments** by the review Committee(s)
- If the draft was cleared, incorporates agreed changes in cooperation with the Chair of the lead Committee and proceeds to Step 8
- If the draft was not cleared, either:
 - revises draft according to comments and return to Step 7a; or
 - reverts to Step 5 for further drafting; or
 - process ends.

Chair of lead Committee:

- **Reviews and verifies changes** resulting from the Committees' review

Lead review Committee coordinator:

- **For safety standards, updates** draft status in **ManTIS** to “Step 7: Approved by Committees for submission to Member States” or “Withdrawn”, as appropriate
- **For security series, updates the database of projects**

Knowledge management for Step 7: Database record, status.doc, SSC minutes, tables of resolution of review Committees comments

Value added at Step 7: Quality of text, accuracy of text, approval for Member State consultation

Minimum time for Step 7: 2 months

OUTPUT: Draft for review by the Member States

STEP 8: Soliciting comments by Member States

INPUT: Draft for review by the Member States

Step 8a (submission for 120-day MS review²⁰)

Technical officer:

- **Prepares clearance sheet** for submission of draft publication and collects relevant signatures
- **Initiates procedure for translation and clearance of note verbale** through MTCD's DocTrack online system, allowing at least 2 weeks between clearance within NS and issuance of note verbale
- **Inserts new front page and 'draft' watermark** on draft publication, converts file to pdf format, and submits draft to the lead review Committee coordinator

Lead review Committee coordinator:

- **For safety standards, updates** draft status in **ManTIS** to "Step 8: Draft sent to Member States", thereby automatically placing reference to draft standard on safety standards website to solicit formal comment from Member States and international organizations
- **For security series, update the database of project**
- **Sends note verbale** in all languages (including all attachments) and draft in pdf format to CSS coordinator

Coordination Committee Secretary:

- Performs **QA check** to ensure that draft and note verbale are in order

²⁰ These steps are explained in detail on the NS departmental Knowledge management portal <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=23208790&objAction=browse&viewType=1>

- Sends draft and note verbale to safety and security website editor for **uploading note verbale** to the relevant page of the safety and security website²¹

Step 8b (review by MS)

Member States:

- **Provide comments** within time limit of 120 calendar days (approx 4 months) in standard format. It is expected that each Member State consults its national stakeholders, provides then a synthesis of the comments collected, and that all comments from Member States are provided at this stage, and not postponed to a later stage.

Knowledge management for Step 8: Database record, status.doc, record of Member State comments

Value added at Step 8: International consensus building

Minimum time for Step 8: 4.5 months (0.5+4)

OUTPUT: Member States comments on draft publication

²¹ Drafts posted for official comment by Member States are available at <http://www-ns.iaea.org/standards/documents/draft-ms-posted.asp>

STEP 9: Addressing comments by Member States

INPUT: Member States' comments on draft publication

Lead review Committee coordinator:

- For safety standards, after 120 days have elapsed, **updates** draft status in **ManTIS** to “Step 9: Incorporating comments from MS”, thereby removing the reference to the draft standard from the safety standards website
- For security series, after 120 days have elapsed, request the safety and security web site editor to remove the draft and the note verbale from the web site

Technical officer:

- **Collates all MS comments** and any relevant comments from observers and prepares on the appropriate form²² a list of comments received
- In the case of comments received after the deadline, considers them as far as practicable
- If necessary, **initiates consultants' meeting or Technical Meeting** to address comments
- **Prepares a revised draft and a table of resolution** of Member States comments received
- Obtains approval from Section Head and **sends the draft publication to the lead review Committee coordinators** for submission to the Coordination Committee

Knowledge management for Step 9: Database record, status.doc, record of comments from MS and their resolution

Value added at Step 9: Incorporation of comments reflecting international consensus

Minimum time for Step 9: 1 month

²² The appropriate form is attached as part of the note verbale for soliciting formal comment from Member States

OUTPUT: Table of resolution of Member State comments, clean draft and draft in revision marked version that incorporates the Member States comments

STEP 10: Second internal review of the draft publication

INPUT: Table of resolution of Member State comments, clean draft and draft in revision marked version that incorporates the Member States comments

Step 10a (submitting the draft to the internal review process)

Lead Committee coordinator:

- **Send the draft to the Coordination Committee secretary** by email in sufficient time (two weeks) for the Coordination Committee to consider the draft well before review Committee meetings

Technical officer:

- **Sends** the draft standard to NS-SSCS for review by the **technical editor**.

Coordination Committee secretary:

- **Puts the draft on the agenda** of the Coordination Committee for discussion at its next meeting
- **Reviews the draft**, in particular its consistency with other publications and compliance with the approved DPP
- Puts the draft on the Coordination Committee livelink site

Step 10b (internal review of the draft)

Coordination Committee:

- **Reviews the draft for clearance** for submission to the review Committee(s), according to its Terms of Reference

Technical editor:

- **Begins comprehensive textual review** of the draft (for safety standards, in accordance with responsibilities in SPESS A Section 3.D) and the aspects set out in Annex III of this manual

Coordination Committee secretary:

- **Informs** the technical officer, via the lead Committee coordinator, **of the outcome** of the review of the draft by the Coordination Committee

Step 10c (addressing internal reviews of the draft)

Technical officer:

- **Evaluates comments** by Coordination Committee and the DDGM
- If the draft was cleared, incorporates any comments proceeds to Step 10e
- If the draft was not cleared, either:
 - revises draft according to comments and return to Step 10a; or
 - process ends.

Step 10d (technical editorial review of the draft).²³

Technical editor:

- **Completes comprehensive textual review** and liaises with technical officer to resolve comments and queries

Technical officer:

- Sends to the review Committee coordinator for **uploading to the review Committee website** a version of the draft publication with marked accepted changes from the technical editor.
- Prepares a list of any substantial changes from the technical editorial review that needs to be discussed by the review Committees

Lead Committee coordinator:

- **Updates** draft status in **ManTIS** to “Step 10: Approved by the Coordination Committee before final endorsement” or “Withdrawn”, as appropriate

²³ If timing allows for a complete technical editorial review before submission of the draft to the review Committees. If this is not feasible, and on exceptional basis to be discussed with the Chairs of the relevant Committees, technical editorial review of draft safety guides can be carried out in parallel with Step 11b.

Knowledge management for Step 10: Database record, status.doc, CC minutes, record of comment resolution

Value added at Step 10: Quality of the draft and internal consistency

Minimum time for Step 10: 2 months

OUTPUT: Table of Member States comments resolution, clean draft and draft in revision marked version that incorporates the Member States comments and if feasible review by Technical Editor for submission to the review Committees as well as a list of any substantial changes from the technical editorial review

STEP 11: Second review of the draft publication by the review Committee(s)

INPUT: Table of Member States comments Resolution, clean draft and draft in revision marked version that incorporates the Member States comments for final submission to the review Committees as well as a list of any substantial changes from the technical editorial review

Step 11a (submitting the draft to review by the review Committee(s))

Technical officer:

- **Submits the draft** and table of resolution of Member State comments **to the lead Committee coordinator** at least 2 months before the next meeting of the first review Committee that will review the draft²⁴

Lead review Committee coordinator:

- **Puts the draft on the agenda** of the review Committee for discussion at its next meeting
- Puts the draft and table of resolution of Member State comments on the review Committee website two months in advance of the next meeting of the first SSC that will review the draft
- Sends the draft and table of resolution of Member State comments to coordinators of other review Committees, as necessary

²⁴ For Nuclear Security Series Technical Guidance, when a fast track process was proposed at step 3 the draft is provided at step 11 to NSGC to take note of the final draft before publication.

Step 11b (before the review Committee(s) meeting(s), review of the draft by the review Committee(s) members)

Review Committees(s) members:

- **Reviews the draft** with a view to ensuring that MS comments have been appropriately taken into account and provide comments accordingly, at least three weeks in advance of the meeting of the first Review Committee. (It is not expected that new comments will be received at this stage; only comments on how Member State comments have been addressed are expected).

Step 11c (at the meeting of the review Committee(s))

Technical officer:

- **Presents the draft publication**, and reports on **any changes proposed by review Committee members** and **any substantive changes** proposed by the technical editor

Review Committee(s), at the meeting:

- **Resolve any outstanding issues** on how Member State comments have been addressed
- **Decision on the next actions** for proceeding to the next step

Step 11d (after the meeting of the review Committee(s): addressing comments on the draft by the review Committee(s))

Chairpersons of the review Committees (in the case of a draft publication subject to review by several review Committees)

- At the meeting of the Chairs, discuss and **resolve any conflicting issues between Committees**.

Technical officer:

- **Evaluates comments** by review Committee(s) and prepares on the appropriate form a list of comments received stating how each comment was resolved
- If the draft was approved, incorporates any comments and proceeds to Step 12
- If the draft was not approved, either:
 - revises draft according to comments and return to Step 11a; or

- process ends.

Chair of lead Committee:

- **Reviews and verifies changes** resulting from the review by the Committees

Lead review Committee coordinator:

- **For safety standards, updates** draft status in **ManTIS** to “Step 11: Approved by the Committees; awaiting approval by the Commission” or “Withdrawn”, as appropriate
- **For security series, update the database of projects**

Knowledge management for Step 11: Database record, status.doc, SSC minutes, records of technical editor’s changes and suggestions

Value added at Step 11: Validation of the consideration of MS comments; conformance with requirements of the Safety Standards or Nuclear Security Series, the IAEA Safety and Security Glossary and the Agency’s mandate and policies; final technical approval

Minimum time for Step 11: 2 months

OUTPUT: Draft for final endorsement

STEP 12 for Safety Standards: Review of the draft publication by the CSS

INPUT: Draft for final endorsement

Step 12a (submitting the draft standards for review by the CSS)

Lead review Committee coordinator:

- **Submits draft to CSS coordinator** at least 2 months before next CSS meeting.
- **Consults the review Committee Chairs** on any changes made after approval of the draft by the review Committee(s)
- **Initiate the submission of the draft to the Publications Committee**²⁵ with a view to receiving any comments before the meeting of the CSS (See Step 13a)

CSS coordinator:

- **Puts the safety standard on the agenda** of the CSS for discussion at its next meeting
- Puts the draft on the CSS website at least 2 months before the next CSS meeting (if changes were made to the draft since its approval by the SSCs, posts also a revision-marked version on the CSS website)

Step 12b (before the CSS meeting, review of the draft by the CSS members)

CSS:

- **Reviews the draft standard for endorsement of the decision of the Committees** and provides comments at least two weeks in advance of the meeting. (At this stage it is not expected to receive new technical comments; rather only policy related comments are expected.)

²⁵ In accordance with procedure set out in http://oasis.iaea.org/OASIS/OASIS/MTCD/References/Publishing_References/Publications_Committee_FAQs.htm (IAEA-internal link)

Step 12c (at the meeting of the CSS)

Technical officer:

- **Presents the draft standard** together with proposals with regard to the resolution of CSS comments

CSS:

- **Address outstanding issues**
- **Decision on endorsement** of the decision on the standard's approval by the Committee(s)

Step 12d (after the meeting of the CSS: addressing review of the draft by the CSS)

Technical officer:

- If the Committees' decision was endorsed, incorporates any comments resolution adopted at the CSS, if necessary in consultation with the CSS Chair and the Chair of the lead Committee, and proceeds to Step 13
- If the Committees' decision was not endorsed, either:
 - revises draft according to comments and return to Step 12a; or
 - process ends.

CSS coordinator:

- **Updates** draft status in **ManTIS** to "Step 12: Endorsed by the Commission" or "Withdrawn", as appropriate

Knowledge management for Step 12: ManTIS record, status.doc, CSS minutes

Value added at Step 12: Endorsement of the Committees' decision to approve the draft to the BoG or the DG for establishment as a safety standard

Minimum time for Step 12: 2 months

OUTPUT: Endorsed decision on approval of the draft publication for submission to the establishment process

STEP 12 for Nuclear Security Series draft publications: DDG's decision on whether additional consultation is needed

INPUT: Draft for final endorsement

Step 12a (submitting the draft publication for DDG decision)

Lead review Committee coordinator:

- **Submits draft to the Head of the Safety and Security Publications Unit.**

Head of the Safety and Security Publications Unit

- **Submit the draft to the Safety and Security Coordination Section Head for consultation of the DDG for decision on whether, for interface documents, further consultation is deemed necessary in order to ensure good cooperation and implementation of the four principles of the Joint AdSec CSS report to the DG²⁶**
- **Organizes** accordingly the **further consultation steps** as decided by the DDG, until endorsement by the DDG

NSGC coordinator

- Updates the database of projects

Knowledge management for Step 12: Database record, status.doc, meeting minutes

Value added at Step 12: Endorsement for submission to the BoG or the DG for establishment as a Nuclear Security Series publication

Minimum time for Step 12: 1 week

OUTPUT: Endorsed draft publication for submission to the establishment process

²⁶ See <http://www-ns.iaea.org/committees/files/adsec/820/FinalReportoftheJointSession.pdf>

STEP 13: Establishment as an IAEA safety standard or an IAEA Nuclear Security Series publication

by the Publications Committee and/or Board of Governors (for Safety Fundamentals, Nuclear Security Fundamentals, Safety Requirements and Nuclear Security Recommendations))

INPUT: Endorsed draft publication for submission to the establishment process

Step 13a (submission to Publications Committee)

Technical officer:

- Initiates **submission to Publications Committee**²⁷, allowing at least 6 weeks for approval

Publications Committee:

- **Reviews draft publication** in accordance with its Terms of Reference²⁸ and sends any comments to technical officer

Technical officer:

- **Deals with any changes** proposed by the Publications Committee in consultation with the Coordination Committee Secretary, who consults with the Chair of the lead Committee and, where appropriate, the Chair of the CSS

²⁷ In accordance with procedure set out in http://oasis.iaea.org/OASIS/OASIS/MTCD/References/Publishing_References/Publications_Committee_FAQs.htm (IAEA-internal link)

²⁸ The Terms of Reference of the Publications Committee are set out in <http://adminonline.iaea.org/AdminManual/documents/amp1s14pF.pdf> (IAEA-internal link)

(For Safety Guides) CSS coordinator:

- **Updates** draft status in **ManTIS** to “Step 13: Approved by BoG/Publications Committee” or “Withdrawn”, as appropriate

(For Nuclear Security Series publication) NSGC coordinator:

- **Updates the database of projects**

Step 13b (submission to Board of Governors) (for Safety Fundamentals, Nuclear Security Fundamentals, Safety Requirements and Nuclear Security Recommendations²⁹)

Technical officer:

- **Initiates submission to Board of Governors**, allowing 1 month for completion of SEC/PMO clearance process

Technical editor:

- As soon as possible after Step 12 is complete, **submits draft publication for translation** into official languages to Language Services - Contact Point, allowing 2 months for translation

Board of Governors:

- **Reviews draft publication** for establishment as a safety standard or a nuclear security series publication

Technical officer:

- **Evaluates comments** by the Board of Governors, in consultation with the Section Head and Directors

²⁹ Need confirmation that Nuclear Security Recommendations have to be submitted to the BoG

- If the draft was approved, incorporates any comments, in consultation with the Coordination Committee Secretary, who consults with the Chair of the lead Committee and, where appropriate, the Chair of the CSS, and proceed to Step 14
- If the draft was not approved, either:
 - revises draft according to comments in consultation with the Coordination Committee Secretary, who consults with the Chair of the lead Committee and, where appropriate, the Chair of the CSS and return to Step 13b; or
 - process ends.

(For Safety Requirements/Fundamentals) CSS coordinator:

- **Updates** draft status in **ManTIS** to “Step 13: Approved by BoG/Publications Committee” or “Withdrawn”, as appropriate

(For nuclear security series publications) NSGC coordinator

Updates the database of projects

Knowledge management for Step 13: Database record, status.doc, BoG minutes, PC minutes

Value added at Step 13: Establishment as a safety standard or a nuclear security series publication

Minimum time for Step 13:

Safety Fundamentals, Nuclear Security Fundamentals, Safety Requirements and Nuclear Security Recommendations: 5 months (2+3)

Guides: 2 months (2)

OUTPUT: Established IAEA Safety Standard or IAEA Nuclear Security Series Publication for publication

STEP 14: Publication

INPUT: Established Safety Standard or Nuclear Security Series Publication for publication

Division director/section head:

- **Ensures** that **funding** for printing and, if necessary, translation of the publication is made available

Technical editor and technical officer:

- **Submit approved draft publication to MTCD** for editing, printing and, if necessary, translation. In the case of an addendum, although only the added part was subject to the review and approval process, the manuscript submitted for publication should generally be a revision of the previous publication as a whole that incorporates all approved changes. An electronic version of the addendum itself may nevertheless be published separately. The new complete publication will supersede the previous one and will indicate on the cover page that this is a new edition, such as indicating “2013 Edition”.

MTCD editor:

- Oversees the **production** process³⁰

Technical editor and technical officer

- **Review final proofs** and return to MTCD editor
- **Track** carefully any **changes to the English text** made following the Board and the Publications Committee, to facilitate updating the translations of Safety Fundamentals, Nuclear Security Fundamentals, Safety Requirements and Nuclear Security Recommendations already translated for the Board of Governors

³⁰ See http://oasis.iaea.org/OASIS/OASIS/MTCD/References/Publishing_References/index.htm (IAEA-internal link)

MTCD:

- Informs CSS coordinator that new Safety Standard is published/translation is complete
- Informs the CSS coordinator and the NSGC coordinator that a new security series is published/translation is complete
- Places **pdf** file of new publication **on MTCD website** and thereby also on the standards website for safety standards

For safety standards, CSS coordinator:

- **Updates** draft status in **ManTIS** to “Step 14: Published” thereby automatically removing the draft from the website list of standards under development
- **Updates** the list of published safety standards
- Update the status file

For safety standards, Technical editor:

- **Classifies** Safety Standard **for uploading to the Safety Standards website**

Knowledge management for Step 14: Database record, status.doc

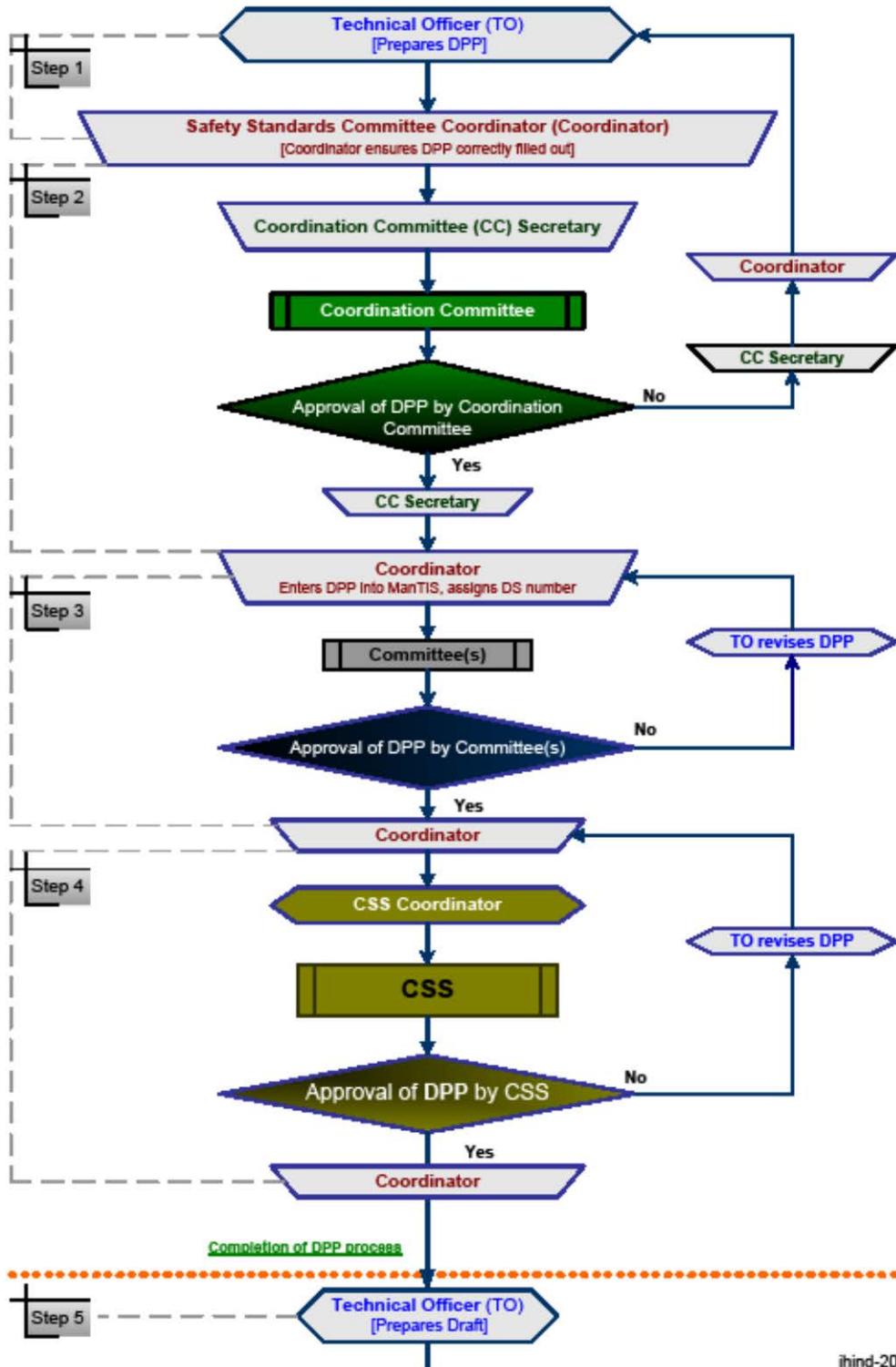
Value added at Step 14: Publication on website and in print

Minimum time for Step 14: 4 months

OUTPUT: Published Safety Standard or Nuclear Security Publication

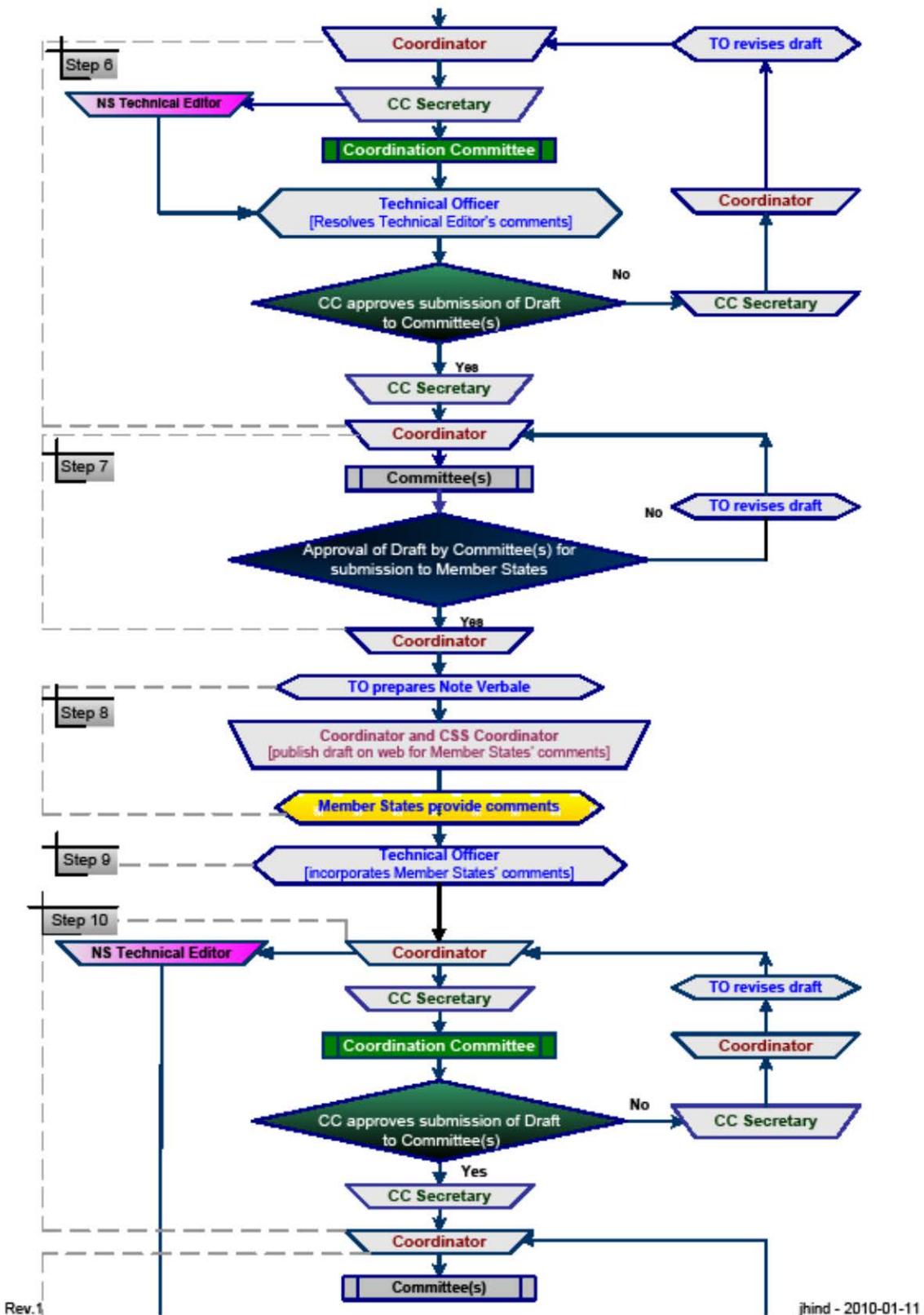
ANNEX I
Detailed process flow for IAEA Safety Standards

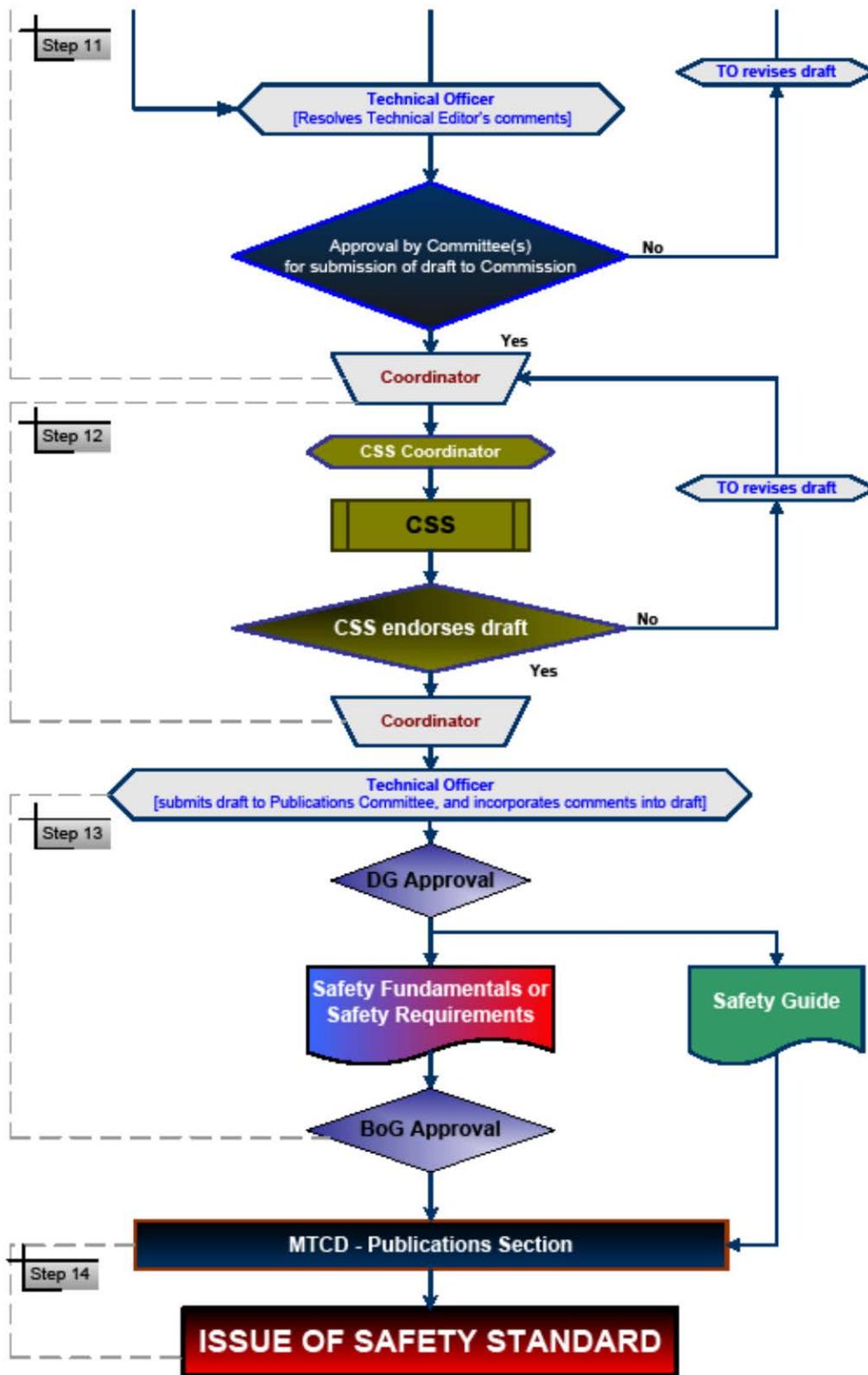
Process flow for safety standards (incorporating SSCs Comments – January 2010)



Rev.1

jhind-2010-01-11





Rev.1

jhind - 2010-01-11

ANNEX II

The IAEA Secretariat's process for obtaining co-sponsorship of its safety standards

2006-03-28

Objective

The purpose of this paper is to define the value of and process for obtaining co-sponsorship of IAEA Safety Standards.

Background

The IAEA is specifically authorized under the terms of its Statute to establish or adopt standards of safety for the protection of health against ionisation radiation, *in consultation and collaboration with the competent organs of the United Nations and with the specialized agencies concerned* (Article III.6).

The Board of Governors document (GOV/INF/772, entitled “The Safety Standards Preparation and Review Process” (August 1995), which was subsequently revised in February 2001 as GOV/INF/2001/1, specifies the basic international arrangements for the development of safety standards. In particular, it creates the Commission of Safety Standards (CSS) and four Committees: the Nuclear Safety Standards Committee (NUSSC); the Radiation Safety Standards Committee (RASSC); the Waste Safety Standards Committee (WASSC); and the Transport Safety Standards Committee (TRANSSC).³¹

The Terms of Reference for each Committee and the Commission state that each Committee provides advice to the IAEA Secretariat on the overall safety standards programme and has the primary role in the development and revision of the Agency's safety standards. The Safety Standards Committees are standing bodies of senior officials reflecting regulatory interests with technical expertise in nuclear, radiation, radioactive waste and transport safety. Several international organizations/agencies are invited to participate as observers in the meetings of these Committees and collaborate in the development, review and revision of safety standards. The Committees review draft safety standards before they are passed to the Commission.

³¹ In addition, we now have the EPRESC Committee established in 2015

Action 4 of the Action Plan for the Development and Application of the IAEA Safety Standards refers to co-sponsorship of standards by international organizations. The Action Plan states that the Secretariat should make every effort to obtain the collaboration of other international organizations, as appropriate, in developing the safety standards and to facilitate the co-sponsorship of safety standards. Specifically, Action 4 requires the Secretariat to seek, as appropriate, the collaboration of other international organizations in developing the safety standards.

Benefits of co-sponsorship

Many UN and intergovernmental organizations provide advice to the national authorities of their respective Member States on health and safety, and serve as the secretariats and depositories for Conventions. Although many, but by no means all, of the Member States of these UN and intergovernmental organizations are the same, the organizations may liaise with different government agencies, e.g. Ministries of Health, Ministries of Labour, Ministries of Agriculture, Ministries of Transport, Ministries of Science and Technology. It is therefore essential that these UN and intergovernmental organizations provide consistent advice and assistance to the various government agencies of their Member States.

Through the process of co-sponsorship of safety standards, harmonized policies and approaches are established and duplication of effort is avoided.

Co-sponsorship leads to:

- The expectation that co-sponsoring organizations will apply the co-sponsored safety standards, as appropriate. In particular, co-sponsorship of the Safety Fundamentals would indicate that each cosponsor will use those Safety Fundamentals as a basic policy statement and of Safety Requirements as a basis for their own requirements in respect of their work, and in their advice to their Member States. Co-sponsorship of Safety Guides would indicate that the cosponsor recognizes that the Safety Guides represent good practice in meeting the requirements set out in the Safety Requirements;
- The expectation that co-sponsoring organizations would be fully integrated into the development of the safety standard and into any future review and revision of a safety standard that they had already co-sponsored;
- Enhanced exchange of information on the work activities of the co-sponsoring organizations in relation the need for the development, or review and revision of safety standards, and on their experience in the application of the safety standards.

Criteria for Inviting Co-sponsors for the IAEA Safety Standards

Co-sponsors to be invited are the competent organs of the United Nations and its specialized agencies (such as FAO, ICAO, ILO, IMO, PAHO, UNECE, UNEP, UPU, WHO) concerned, as well as other intergovernmental organizations that are competent in the field, such as the EC and the OECD/NEA.

Process

The basic concept behind the process is that all potential cosponsors of a safety standard are involved in its development at as early a stage as possible.

Step 1: Invitation to potential co-sponsors

One of the first steps in the process for developing IAEA standards is for the Technical Officer to prepare a Document Preparation Profile (DPP). The identification of possible co-sponsoring organizations and the arrangements for including co-sponsoring organizations in the process for the development of the document should be included in the DPP. The

organizations interested in co-sponsoring would be expected to indicate their interest at the time that the DPP is presented to the Safety Standards Committees for review. The Secretariat would then formally approach (letter from DDG) the possible co-sponsor inviting co-sponsorship.

Step 2: Preparation of the Document

All Safety Standards will be developed according to the established procedures involving the Safety Standards Committees and the Commission. The Technical Officer should invite the co-sponsoring organizations to all consultant meetings and Technical Meetings during the preparation of the document, and provide them with drafts, as they are developed, for review and comment.

In special cases there may be the need for a more formal arrangement) between the Agency and the representatives of co-sponsoring organizations to coordinate the development or the review and possible revision of safety standards This includes inter alia establishment of a secretariat by the IAEA.

Step 3: Formal agreement with co-sponsoring organization

After the Committees and the CSS have approved the draft standards, the Agency will provide the approved draft to the co-sponsoring organizations for their final agreement.

Step 4: Publishing the Safety Standard

The safety standard will only be published with the logos of co-sponsoring organizations after their written agreement has been obtained. In addition, the co-sponsoring organizations will be requested to agree on a statement for inclusion in the safety standard setting out how the co-sponsorship of the standard will affect the activities of the co-sponsoring organization.

ANNEX III

The technical editorial review

The duties of the technical editor include:

- Reviewing the draft publication against the requirements for the Safety Standards Series and the Nuclear Security Series and the IAEA Safety Glossary and the definitions accompanying the Nuclear Security Fundamentals and for conformity with the Agency’s mandate and policies;
- Application of IAEA policy and practices; IAEA, ISO, ICRP and ICRU technical standards; and the IAEA style manual;
- Organization of the text, style of presentation, communication of substance, quality of output, and conformity with editorial standards, policies and practices;
- Technical usage, accuracy, terminology, logic, validity, clarity, consistency and comprehension;
- Identification and reformulation of ambiguous, unclear, irrelevant or redundant material;
- Correction of manifest errors or questioning of possible errors of fact, logic, reasoning, calculation or continuity;
- Improving the style of drafting and advising on language correction and redrafting where necessary;
- Reviewing the meaning, applicability and adequacy of specialized concepts and terminology;
- Reformulating or deleting statements likely to have adverse political, financial or other consequences for the IAEA;
- Verifying to the extent possible the accuracy of questionable statements, dates, acronyms, figures, formulae, symbols, statistics, quotations, citations and translations, through research, reference sources and consultation;

- Ensuring that tables, charts, maps and illustrations are properly and clearly presented and have the necessary headings, captions and notes;
- Approving final texts, presentation and layout at proof stage and giving final clearance before a safety standard goes to press.

ANNEX IV Overall process for safety standards and nuclear security series publications

