

TITLE: DS460 DPP Communication and Consultation with Interested Parties (12 Oct 2011)

This table of resolution compiles all comments posted by Member States. These comments are addressed in the order of the content of the DS460 DPP. These comments have been provided by:

- | | | | |
|------------------------------|------------------------------|---------------------------|------------------|
| 1. FRANCE / ASN – NUSSC (10) | 3. JAPAN / NISA – NUSSC (6) | 5. UK / ONR (8) | 7. US / NRC (30) |
| 2. GERMANY / GRS (14) | 4. JAPAN / NISA – WASSC (13) | 6. SOUTH AFRICA – NNR (5) | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------------|------|--|---------------|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 0. GENERAL COMMENTS | | | | | | | |
| 1. | | 1. Japan / NISA - WASSC We appreciate to challenge this topic. We consider that this document would cover very wide areas and sensitive issues relating to fundamental subjects such as justification. We hope that following our comments are appropriately addressed and the document will be carefully developed. | | | | | |
| 2. | | 1. UK / ONR The Office for Nuclear Regulation (ONR) welcomes this IAEA proposal for a guide on communication and consultation. ONR aims to be an open and transparent regulator and is already working towards fulfilling many of the recommendations underpinning this proposal. | Comment only. | | | | |
| 3. | | 1. Japan/NISA - NUSCC The scope of interested party on GS-R-3 is wide. The scope of interested parties on this safety guide should be specified. | | | | X | Interested parties, refer also to as stakeholders, are already defined in the IAEA Safety Glossary. |
| 4. | | 2. Japan/NISA - NUSCC Both “Interested Party” and “Stakeholder” are used in this DPP. If there is no need to distinguish them, they should be unified. | | | “Stakeholder” will be replaced by “Interested Parties” in the DPP for clarification purpose. | | In accordance with the IAEA Safety Glossary, stakeholder means interested parties which are preferably used, in line with the GSR part 1 <i>Governmental, Legal and Regulatory Framework for Safety</i> . |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|---|---|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 5. | | 2. Japan / NISA - WASSC Even in this DPP, the terms “interested parties”, “public” and “stakeholder” are mixed. Clarify meaning of these terms and add view on these terms. | IAEA Safety Standards use “interested parties” in accordance with IAEA Safety Glossary. However the term “stakeholders” is widely used such as INSAG report. It would be difficult to use only “interested parties” in this document because relevant documents using “stakeholders” would be referred to. Hence some clarification such as the meaning or definition of these terms otherwise the view on the terminology should be added. | | “Stakeholder” will be replaced by “Interested Parties” in the DPP for clarification purpose. | | In accordance with the IAEA Safety Glossary, stakeholder means interested parties which are preferably used, in line with the GSR part 1 <i>Governmental, Legal and Regulatory Framework for Safety</i> . |
| 6. | | 1. South Africa / NNR Replace ‘interested parties’ with ‘interested and affected parties’ | There may parties that are interested but not affected and there may be those parties that are affected in the process. | | | X | This wording is in accordance with the IAEA Safety Glossary. |
| 7. | | 3. US / NRC The document refers to certain documents that use the term “Stakeholders” instead of Interested Parties.” (See for example INSAG 20 Report and IAEA Nuclear Energy Series NGT 1.4). We note that the term “Stakeholders” was defined in IAEA Safety Glossary; however, it has been replaced by the term “Interested Parties.” In this context, we recommend that the DPP address the terminology issue particularly the relationship between “stakeholders” and “interested parties.” | Clarification, consistency, and completeness. | | “Stakeholder” will be replaced by “Interested Parties” in the DPP for clarification purpose. | | According to the IAEA Safety Glossary, stakeholder means interested parties. Interested parties are preferably used, in line with the GSR part 1. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|--------------------------|---------|---|--|------------|---|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 8. | | <p>5. US / NRC Consider defining openness, transparency, public involvement, consultation, etc. Some of these terms may be viewed as overlapping. Clear definitions will assist in categorizing the recommended approaches in sections 3-6. In a recent U.S open government Executive Order on Open Government, openness has been characterized as having three main components: transparency, participation, and collaboration. See the following for definitions: http://www.whitehouse.gov/the_press_office/TransparencyandOpenGovernment You may also wish to consider the declaration of the International Open Government Partnership: http://www.opengovpartnership.org/open-government-declaration For a fairly exhaustive description of the openness policies, mechanisms, and communications channels used by the NRC, the agency's Open Government Plan may be of interest: http://www.nrc.gov/public-involve/open/philosophy/nrc-open-gov-plan.pdf</p> | | | <p>Section 6. OVERVIEW, 1st bullet line will be modified as follows</p> <ul style="list-style-type: none"> - Section 1 will be an introduction, which will present definitions, the background, objective, scope and structure. | | <p>Transparency and openness are important and complex concept.</p> <p>To avoid confusion and misunderstanding, it has been decided at this stage (in the DPP) to use them together. Therefore, it is not necessary to define them at this stage.</p> <p>However, DS 460 will provide in its section 1, with definitions and guidance for transparency, openness and interested parties involvement.</p> |
| 1. IDENTIFICATION | | | | | | | |
| 9. | Doc cat | <p>1. Germany/GSR Document Category: either "<u>General</u> Safety Guide" or "<u>Specific</u> Safety Guide"</p> | Clarification regarding the new classification system for IAEA Safety Standards. | | General Safety Guide | | The safety guide will be applicable for all activities and facilities. |
| 10. | Title | <p>1. France/ASN - NUSCC Change title to "Regulatory Body's Communication and Consultation with Interested Parties"</p> | The guide is directed to regulators. | | Communication and consultation with interested parties in regulatory activities. | | Requirement 36 of the GSR part 1 states " <i>the regulator shall establish (...) provision for effective mechanisms of communication ...</i> " Therefore, it is important to not focus only on Regulator's communication but to ensure to cover all issues raised by requirement 36 of GSR part 1 and to broaden the scope to all regulatory activities for safety. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|-------|--|--|------------|-----------------------------------|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 11. | Title | <p>1. US / NRC We suggest modification of the title from “Communication and Consultation with Interested Parties;” to “Communication and Consultation with the Public and Interested Parties.”</p> | <p>The intent of the safety guide is to have a transparent process to involve <u>the public and interested parties in regulatory analysis</u> (see DPP Section 2, Rationale, Para 2, and Section 4, Para 1, Justification. In other words, the DPP identified the “The public” and “Interested Parties” as two distinguished groups. In addition; GSR Part 1, Governmental, Legal and Regulatory Framework for Safety, requests under the requirement 36, “The regulatory body should promote the establishment of appropriate means of informing and <u>consulting interested parties and the public</u> about the possible radiation risks and other environmental information associated with facilities and activities, and about the processes and decisions of the regulatory body.” Further, IAEA Glossary defines “Interested Party as: “A person, company, etc., with a concern or (especially financial) interest in ensuring the success of an organization, business, system, etc.” In other words the focus is on person/organization with financial interest. Therefore, for consistency, completeness, and to add emphasize on public involvement, we suggest adding the “the Public” in the title.</p> | | | X | According the IAEA Safety Glossary, the interested parties, refer also to as stakeholders, include the public and those segments of it, including the people residing in the vicinity of facilities and activities. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------------------|------------------------|--|--|------------|--|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 12. | Doc cat | 2. US / NRC Under Section 1 (Identification) DS460 was identified under category of “Safety Guide.” However, under Section 5, page 3, it was stated “This new guidance is expected to constitute a chapter in the new structure of the set of Safety Guides. In addition, the footnote on page 3 stated: “By 2016 if the comprehensive guide on regulatory control is not available, the document <u>might be published as a TECDOC or safety report.</u> ” Therefore, the IAEA Secretariat needs to clearly identify if the current document is a “Safety Guide” intended to illustrate implementation of “Safety Requirements” or otherwise. | Purpose and Clarity | | The footnote on page 3 will be deleted | | The intention is definitively to publish a safety guide. |
| 13. | Propo sed action | 2'. US / NRC Editorial New document to create complete and coherent guidance to communicate and involve regarding communication and involvement of the public and interested parties in the regulatory activities in a transparent and open manner. | Editorial | | New document to create complete and coherent regarding communication and involvement of the public and other interested parties in regulatory activities in a transparent and open manner. | | Interested parties include the public according the IAEA Safety Glossary. |
| 2. BACKGROUND / RATIONALE | | | | | | | |
| 14. | ¹ | 9. US / NRC Over the last decades, there has been a growing societal awareness about the necessity for transparency, openness and involvement of interested parties in the regulation of nuclear energy and other uses of radioactive material safety-related activities. | The phrase “safety-related” has a specific use in nuclear installations as defined in the IAEA Safety Glossary. The new General Safety Guide for “Communication and Consultation with Interested Parties” is applicable to all facilities and activities and should be broader in scope and context, and not limited to “safety-related activities.” | | in the safety-related issues. | | In compliance with the SF 1 <i>Safety Fundamentals</i> and according to the IAEA Safety Glossary, “‘Safety’ includes the safety of nuclear installations, radiation safety, the safety of radioactive waste management and safety in the transport of radioactive material.” |
| 15. | ¹ | 2. UK / ONR ‘...interested parties in nuclear safety-related activities.’ | Current text simply states <i>the safety-related activities</i> rather than specifying nuclear. | | | X | In compliance with the SF 1 <i>Safety Fundamentals</i> and according to the IAEA Safety Glossary, “‘Safety’ includes the safety of nuclear installations, radiation safety, the safety of radioactive waste management and safety in the transport of radioactive material.” |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|--|---|------------|---|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 16. | 1 | 3. UK / ONR 'Research suggests that knowledge of the nuclear industry and how it is regulated is low but there is a degree of uncertainty about the topic given its complexity and perceived risk associated with nuclear energy.' | Rather than simply stating there is little knowledge, reference research. | | | X | The scope includes all facilities and activities, and not only nuclear industry. See the resolution of the comment no 3' of US NRC. |
| 17. | 1 | 3'. US / NRC Editorial They have usually little Members of the public usually have limited knowledge, but a great deal of concern and uncertainty is about any issue involving radiation because of the complexity of this topic, and the perceived risk associated with nuclear energy and the use of ionizing radiation sources. | Editorial and clarity | | Members of the public usually have limited knowledge and a great deal of concern and uncertainty about any issue involving radiation because of the complexity of this topic, and the perceived risk associated with nuclear energy and the use of ionizing radiation sources. | | See clarification proposed by South Africa (Comment no 2). |
| 18. | 1 | 2. South Africa / NNR They have usually little knowledge but and a great deal of uncertainty | Editorial. | X | | | |
| 19. | 1 | 4'. US / NRC Editorial Most people, who are dependent on information provided by regulatory bodies, operating organizations, experts, and communicated by the news media, request want to have access to reliable, comprehensive, and easily understood information about safety and regulatory issues to form their opinion. They also request want to have fair and reasonable possibilities opportunities to provide their views and influence regulatory decision-making. | Editorial | X | | | |
| 20. | 1 | 3. South Africa / NNR They also request to have fair and reasonable possibilities opportunities to provide their views and to influence regulatory decision-making processes. | The word 'opportunities' is more appropriate. | X | | | |
| 21. | 2. | 2. Germany/GSR 2 nd para, 1 st sentence: "Beyond the legitimate interest of the public and other interested parties in radiation and nuclear safety matters, it is recognized <u>that</u> safety issues are best handled with ..." | Editorial. | X | | | |
| 22. | 2 | 5'. US NRC editorial It is recognized that safety issues... | Editorial | X | | | |
| 23. | 2 | 6'. US NRC editorial There are several rationales for being to be transparent and, open, and to involve for involving- the public.. | Editorial | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|----------------------------|---|--|------------|--|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 24. | 2 | 3. Japan / NISA - WASSC There are several rationales to be transparent, open and to involve the public and interested parties in regulatory activities: competence, integrity and impartiality can be established. | We would like to confirm this sentence means as follows: It is essential for regulatory bodies to be able to develop and implement a strategy and a culture of transparency and openness and to involve when necessary stakeholders so that trust in its independence, quality and regulatory control stability. | | | X | Actually, there are two different issues. The 2 nd paragraph provides rationales to be transparent, open and to involve interested parties whereas the penultimate paragraph of this section states a non-exhaustive list of characteristics of a regulator to be recognized as a trustable organization. |
| 25. | 2 / 1 st bullet | 7. US NRC editorial <i>Independence:</i> being under scrutiny make any undue influences, that might adversely affect safety, more visible and therefore enhances the ability of a regulatory body to make independent judgments and decisions. | Editorial | X | | | |
| 26. | 2 / 1 st bullet | 4. UK / ONR 'Being more open and transparent will allow the regulator to effectively demonstrate its independence.' | Current text needs further explanation, as it is difficult to follow. | | Being more open and transparent will allow the regulator to effectively demonstrate its independence. Moreover, transparency and openness make any undue influences more visible and therefore enhances the ability of a regulatory body to make its decisions independently. | | The focus is not to demonstrate its independence but to make its decision making more visible in order to make more difficult to unduly influence the regulatory processes. |
| 27. | 2 / 2 nd bullet | 9. US NRC <i>Credibility and legitimacy:</i> transparent and open communication about regulatory decision-making and opportunities for public involvement in that process reinforces reinforce the public's and interested parties' awareness of the role and responsibility of the regulatory body for protecting the public and the environment from the harmful effects of ionizing radiation and helps to inform the public about how it discharges its duties. The promoter is concerned by In contrast to promotional organizations concerned with public acceptance of nuclear energy as such, the regulatory body is concerned only promotes with promoting safety through its regulatory activities. Use of a transparent and open regulatory decision-making process helps to demonstrate and reinforce this distinction. | Parallel structure and clarity | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|----------------------------|--|---|------------|---|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 28. | 2 / 2 nd bullet | 4. Japan / NISA - WASSC <i>Credibility...</i> the regulatory body and relevant authorities promote safety through regulatory activities | Regulatory bodies conduct their regulatory activities based on the legislation, and safety as a concern is restricted by legislation. Thus the regulatory bodies may not necessarily conduct their regulatory activities only for the promotion of safety. The organization promoting safety may be in the legislative bodies. | | | X | As described in the IAEA Safety Glossary and addressed in the GSR part 1, <i>a regulatory body is an authority or a system of authorities (...)</i> . |
| 29. | 2 / 4 th bullet | 5. Japan / NISA - WASSC <u>Regulatory control</u> stability: | Clarification | X | | | |
| 30. | 2 / 4 th bullet | 2. France/ASN - NUSCC - <i>stability</i> : public involvement strengthens the legitimacy of regulatory decisions (<u>even though some stakeholders may not always agree with a decision</u>) and provides a broader responsibility for them, which also increases the regulatory control stability over time. Furthermore, the public and interested parties involvement decreases the likelihood of narrow early framing which later shows up to be insufficient. Even though some stakeholders may not always agree with a decision, if there is trust and respect they will accept the integrity of the decision making process. | Clarification Too much optimistic | | ...even though some interested parties may not always agree with a decision... | | Use of interested parties instead of stakeholders. |
| 31. | 2 / 4 th bullet | 1'. US / NRC Editorial Section 2, page 1 | Fourth Bullet: Change the word " <i>stability</i> ," to " <i>Stability</i> ." | X | | | |
| 32. | 4 | 8'. US / NRC Editorial The Fukushima accident has reinforced the necessity of for the... | Editorial | X | | | |
| 33. | 4 | 3. Japan/NISA - NUSCC The Fukushima <u>Dai-ichi Nuclear Power Station</u> accident. | Exact naming | X | | | |
| 34. | 4 | 5. UK / ONR Remove 'concerned' from 'communicate effectively with the <i>concerned public</i> ' | Communication is required to the public at large, not just those who are 'concerned'. | X | | | |
| 35. | 4 | 6. UK / ONR 'When developing emergency arrangements, there is also a need for an open and transparent dialogue to ensure relevance and to enhance the knowledge of people living near facilities and activities in order to better prepare for a crisis situation.' | '...to dialogue in a transparent and open manner' is difficult to read. | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|--|----------------------------------|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 36. | 4 | 10. US NRC When developing emergency arrangements, there is also a need to dialogue with local authorities in a transparent and open manner to ensure their relevance the effectiveness of the arrangements and to | Clarity | | When developing emergency arrangements, there is also a need for an open and transparent dialogue to ensure the effectiveness of the arrangements and to enhance the knowledge of people living near facilities and activities in order to better prepare for a crisis situation. | | See comment 6 from UK /ONR. It may be useful to involve people residing in the vicinity and not only local authorities. |
| 37. | 5 | 9'. US / NRC Hence it is essential for a regulatory body bodies to be able to develop and implement a strategy and a culture of transparency and openness and to involve stakeholders when necessary stakeholders appropriate so that trust in its the regulatory body's competence, integrity, and impartiality can be established. This strategy and this culture should be based on pro-active public information dissemination and a willingness to a real for meaningful public participation. They The strategy and culture should also take account of some information disclosure which incorporate approaches for preventing the disclosure of information that may be restricted because of, for instance, security issues, commercial confidentiality, or intellectual property rights. | Editorial | | Hence it is essential for a regulatory body to develop and implement a strategy and a culture of transparency and openness and to involve interested parties when appropriate so that trust in the regulatory body's competence, integrity, and impartiality can be established. This strategy and this culture should be based on pro-active public information dissemination and a willingness for meaningful public participation. The strategy and culture should also incorporate approaches for preventing the disclosure of information that may be restricted because of, for instance, security issues, commercial confidentiality, or intellectual property rights. | | "Stakeholder" will be replaced by "Interested Parties" in the DPP for clarification purpose (See US / NRC comment no 3 and others). |
| 38. | 5 | 10'. US / NRC Editorial ... a relevant strategy to be transparent, opened and to involve the Public and Interested Parties in the Regulatory Activities. that is directly relevant to transparency, openness, and public involvement. | Editorial | X | | | Proposal considered in section 4 (See comment 3' from South Africa / NNR). |
| 39. | 5 | 3. France/ASN - NUSCC Hence it is essential for regulatory bodies to be able to develop and implement a strategy and a culture of transparency and openness and to involve when necessary stakeholders so that trust in its competence, integrity and impartiality can be increased established . | Established may be too strong | X | | | |
| 40. | 5 | 7. UK / ONR '...to involve the public and interested parties in regulatory activities.' | Change from upper to lower case. | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|---|--|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 41. | 6 | <p>3'. South Africa / NNR The existing scattered information in several safety guides does not provide the regulatory bodies with clear and comprehensive guidance to develop and implement a relevant strategy to be transparent, opened and to involve the Public and Interested Parties in the Regulatory Activities. This issue has been raised by several Member States, including during IRRS missions.</p> | This information is repeated in section 4. | X | | | |
| 3. OBJECTIVE | | | | | | | |
| 42. | 1 | <p>4. US / NRC The DPP did not include a “Scope” Section. In this context, the document should explain if the scope will include illustration of the process to enhance public involvement particularly for new entrants to nuclear industry. For example, in certain countries, the process of public involvement and participation in nuclear safety regulatory activity may not be well developed and the public may have limited background to comprehend safety aspects and issues. Therefore, the process may involve significant investment in resources, training, and public media advertisement and interaction to encourage public participation. The scope of the document should explain if it involves process development to enhance public participation.</p> | Completeness, clarity, and implementation aspects. | | The sections 3. OBJECTIVE and 6. OVERVIEW will be modified for clarification and completeness purpose (See comment no 6 from ‘Japan/NISA – WASCC’ and comment no 6 of ‘France/ASN’) | | The DDP is based on the last version of IAEA template which does not include the scope section. DS460 will be a general safety guide for all regulatory bodies providing guidance for all aspects of “normal” communication and consultation that will include process to enhance interested parties awareness and involvement. |
| 43. | 1 | <p>11'. US NRC editorial The objective of this guide is to provide practical guidance, good best practices, and recommendations for nuclear safety regulatory bodies for seeking to institute open and transparent processes of communication processes and meaningful consultation of interested parties in regulatory activities.</p> | Editorial | | The objective of this guide is to provide practical guidance, good practices and recommendations for regulatory bodies concerning communication and consultation with interested parties about the possible radiation risks associated with facilities and activities, and about processes and decisions of the regulatory body. The safety guide will not address communication during crisis situation. | | The intention is to provide further guidance and recommendations on how to comply with the safety requirement 36 of the GSR part 1 “Governmental, Legal and Regulatory Framework for Safety”. Therefore, it is proposed to clarify the objective in accordance with requirement 36. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|--|---|------------|--|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 44. | 1 | 4. South Africa / NNR The objective of this guide is to provide practical guidance, good practices and recommendations for radiation and nuclear safety to regulatory bodies for open | Editorial | | The objective of this guide is to provide practical guidance, good practices and recommendations for regulatory bodies concerning communication and consultation with interested parties about the possible radiation risks associated with facilities and activities, and about processes and decisions of the regulatory body. The safety guide will not address communication during crisis situation. | | Considering other comments, the objective is modified in accordance with requirement 36 of the GSR part 1. |
| 45. | 1 | 6. Japan / NISA – WASSC The objective of this guide is to provide practical guidance, good practices and recommendations for stakeholder engagement in such regulatory activities as for radiation and nuclear safety regulatory bodies for open and transparent processes of communication and consultation of interested parties in regulatory activities. These activities include drafting regulation and legislation, inspection and enforcement, licensing, review and assessment and other specific activities performed by or under the responsibility of the regulatory body | Clarification | | The objective of this guide is to provide practical guidance, good practices and recommendations for regulatory bodies concerning communication and consultation with interested parties about the possible radiation risks associated with facilities and activities, and about processes and decisions of the regulatory body. The safety guide will not address communication during crisis situation. | | The intention is to provide further guidance and recommendations on how to comply with the safety requirement 36 of the GSR part 1 “Governmental, Legal and Regulatory Framework for Safety”. Therefore, it is proposed to clarify the objective in accordance with the aforesaid requirement. |
| 46. | 1 | 7. France/ASN - NUSCC In section 1, the various “interested parties” may be described. | Clarification (Local resident, professional associations, patients, standard organizations, licensees, NGO, TSO, governmental agencies/ministries (either national or local), neighboring countries, foreign counterparts, journalists, Members of the Parliament, teachers/professors,... | | | X | The definition is already provided by the IAEA Safety Glossary. As necessary, further explanation will be provided by DS460. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|-------------------------|------|---|---|------------|--|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 47. | 1 | 7. Japan / NISA - WASSC Drafting regulation and legislation, inspection and enforcement, licensing, review and, assessment (including periodic processes⁽¹⁾, and emergency response⁽²⁾) and other specific activities performed by or under the responsibility of the regulatory body (e.g., communication on events or activities in other countries, assistance and support)⁽³⁾. | (1) Periodic and iterative process of communication is a key issue for the long-term usage of nuclear energy and ionizing radiation sources, especially for waste management, and should be emphasized in this guide. (2) Although the previous chapter refers the necessity of regulatory body for communication in emergency situations, this issue is not mentioned in this section. (3) Clarification. The meanings in the parenthesis are vague, and communication among different states about emergency response should be described in this DPP. | | The objective of this guide is to provide practical guidance, good practices and recommendations for regulatory bodies concerning communication and consultation with interested parties about the possible radiation risks associated with facilities and activities, and about processes and decisions of the regulatory body. The safety guide will not address communication during crisis situation. | | The intention is to provide further guidance and recommendations on how to comply with the safety requirement 36 of the GSR part 1 "Governmental, Legal and Regulatory Framework for Safety". Therefore, it is proposed to clarify the objective in accordance with the aforesaid requirement. |
| 48. | 1 | 4. France/ASN - NUSCC These activities include: drafting regulation and legislation, inspection and enforcement, licensing, review and assessment, <u>emergency management (preparedness and response)</u> and other specific activities performed by or under the responsibility of the regulatory body (e.g., communication on events or activities in other countries, assistance and support). | To explicitly address communication related to emergency management | | | X | The safety guide will not address communication during crisis situation covered by other IAEA publications. |
| 49. | 1 | 4. Japan/NISA - NUSCC Specify the meaning of "communication on events or activities in other countries". | Clarification | | The objective of this guide is to provide practical guidance, good practices and recommendations for regulatory bodies concerning communication and consultation with interested parties about the possible radiation risks associated with facilities and activities, and about processes and decisions of the regulatory body. The safety guide will not address communication during crisis situation. | | The intention is to provide further guidance and recommendations on how to comply with requirement 36 of the GSR part 1 "Governmental, Legal and Regulatory Framework for Safety". It is proposed to clarify the objective accordingly. |
| 4. JUSTIFICATION | | | | | | | |
| 50. | 1 | 12'. US NRC editorial ...under the requirement 36 | Editorial | X | | | |
| 51. | 1 | 8. Japan/NISA - WASSC "The regulatory body should shall promote the establishment ... | Editorial error. | X | | | |
| 52. | 2 | 13'. US NRC editorial Moreover, basic aspects to communicate and consult of communication and consultation with the public... | Editorial | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|---|------|---|---|------------|-----------------------------------|----------|-----------------------------------|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 53. | 2 | 3. Germany/GSR 2 nd para, 1 st sentence: “Moreover, basic aspects to communicate and consult with the public and interested parties are set out in several safety guides for instance in the Specific Safety Guides, for instance in SSG-12, Licensing Process for Nuclear Installations (SSG-12), paragraphs 2.42 to 2.45, and <u>SSG-16, Establishing the Safety Infrastructure for a Nuclear Power Programme, paragraphs 2.84 to 2.96.</u> ” | SSG-16 addresses the topics transparency and openness as essential elements of the safety infrastructure. | X | | | |
| 54. | 3 | 4. Germany/GSR last sentence: “However the existing aforesaid guidance, scattered between several safety standards and guides, is insufficient to provide Member States with clear and comprehensive guidelines ...” | Editorial. | X | | | |
| 5. PLACE IN THE OVERALL STRUCTURE OF THE RELEVANT SERIES | | | | | | | |
| 55. | 1 | 11. US NRC The DPP stated: “This new guidance is expected to constitute a chapter in the new structure of the set of Safety Guides ¹ which will optimize their number as well as to review their comprehensiveness.” It is unclear what is meant by “optimize their number.” Is increasing the number of safety guides an optimization process? Please explain. In addition, how DS460 will review comprehensiveness of the safety guides or their structure. ... will optimize (reduce?) their number as well as to review enhance their comprehensiveness | Clarification and correctness of the statements. | X | | | |
| 56. | 2 | 5. Germany/GSR 2 nd reference: “The convention on Assistance in the case of a Nuclear Accident or Radiological Emergency ...” | Correct title. | X | | | |
| 57. | 2 | 6. Germany/GSR 3 rd reference: “The convention of <u>on the</u> Physical Protection of Nuclear Material ...” | Correct title. | X | | | |
| 58. | 2 | 7. Germany/GSR 4 th reference: replace Safety Series No. 115 by GSR Part 3 | The new International Basic Safety Standards (GSR Part 3, Interim Edition) were published in November 2011. | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|---|--|------------|-----------------------------------|----------|-----------------------------------|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 59. | 2 | 8. Germany/GSR 5 th reference: “All <u>valid</u> Safety Requirements of the series NS-R-xx, WS-R-xx , TS-R-xx and WS-G-xx <u>in addition TS-R-1, WS-R-5, SSR-5 and GSR Part 5;</u> ” | The series WS-G-xx encompasses Safety Guides, not Safety Requirements. The TS-R-xx series contains only document (TS-R-1). The only remaining valid document of the WS-R-xx series is WS-R-5, because: <ul style="list-style-type: none"> • SSR-5 has replaced WS-R-1 and WS-R-4, • GSR Part 5 has superseded WS-R-2, • GSR Part 3 has superseded WS-R-3. | X | | | |
| 60. | 2 | 9. Germany/GSR 13 th reference: “Method for Developing Arrangements <u>for Response</u> to a Nuclear or Radiological Emergency (EPR-Method 2003) ...” | Correct title. | X | | | |
| 61. | 2 | 10. Germany/GSR 13 th reference: citation of IAEA-TECDOC-953 should be moved to the following subsection “Other publications” | IAEA Technical Documents are usually not considered as IAEA Safety Standards. | X | | | |
| 62. | 2 | 11. Germany/GSR Add new reference: “ <u>Specific Safety Guide. Establishing the Safety Infrastructure for a Nuclear Power Programme, SSG-16</u> ” | SSG-16 addresses the topics transparency and openness as essential elements of the safety infrastructure (see paragraphs 2.84 to 2.96). | X | | | |
| 63. | 2 | 12. Germany/GSR 2 nd reference: “IAEA Nuclear Energy Series ... (NG-T-1.4)” | Editorial. | X | | | |
| 64. | 2 | 13. Germany/GSR Add new reference: “ <u>IAEA Nuclear Energy Series, An Overview of Stakeholder Involvement in Decommissioning (NW-T-2.5)</u> ” | Another relevant document (published in 2009) that needs to be taken into account and checked for consistency during drafting. | X | | | |
| 65. | 2 | 14. Germany/GSR Add new reference: “ <u>IAEA Safety Reports Series No. 24, Communication planning by the nuclear regulatory body</u> ” | This Safety Report (published in 2002) describes good practices and provides examples of how the regulatory body can establish a systematic and structured programme for enhancing effective communication with various parties and under various circumstances. | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|--|---|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 66. | 2 | 9. Japan/NISA – WASSC As for the documents to be taken into account in this draft, the following issues should be considered. (1) All Safety Requirements of the series NS-R-xx, WS-R-xx, TS-R-xx, and WRS-RG-xx , GSR and SSR . (2) Following requirements and guides relating to the waste management or the nuclear emergency should be included GSR Part5; GS-G-3.3 ; GS-G-3.4 SSR-5; SSG-14 ; SSG-1; DS355 WS-G-xx series and GSG-2 | (1) Editorial error. Specific Safety Requirements are dropped. BSS was revised. (2) This document should also be taken into account of safety requirements and guides relating to waste area or the nuclear emergency. | | All valid and relevant Safety Requirements of the series GS- R-xx, NS-R-xx and SSR-xx in addition TS-R-1, WS-R-5, and GSR Part 5 | | (1) WS-R-xx series includes only WS-R-5. Indeed, - SSR-5 has replaced WS-R-1 and WS-R-4, - GSR Part 5 has superseded WS-R-2, - GSR Part 3 also has superseded WS-R-3. (2) Documents are not directly relevant for the topic |
| 67. | 2 | 5. France/ASN - NUSCC | What about nuclear security series publications? | | | X | The intention is to provide guidance related to the requirement 36 of the GSR part 1. It will also address restricted information because of, e.g., security issues. |
| 6. OVERVIEW | | | | | | | |
| 68. | 1 | 14'. US NRC editorial This document will establish guidance for regulatory bodies on communication and consultation with Interested Parties in a transparent and open manner in during the conduct of their the Regulatory Activities. It will provide information on the considerations for effective communication and interaction with these parties topics that should be considered to communicate and interact effectively with them and also on how to.... | Editorial | X | | | |
| 69. | 1 | 8. UK / ONR 'This document will establish guidance for radiation and nuclear safety regulatory bodies on communication and consultation with interested parties in a transparent and open manner. It will provide information of the topics that should be considered to communicate and interact effectively and also how to manage information which may not be disclosed because of confidentiality, security or other reasons.' | Change from upper to lower case where necessary and some other text changes for clarity. | X | | | |
| 70. | 1 | 10. Japan/NISA – WASSC It will provide information on the topics that should be considered to communicate and interact effectively with them and also how to manage information which may be not disclosed because of confidentiality (e.g. security, safeguards) or others reasons. | Clarification of the meaning of confidentiality. | X | | | |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|------|--|---|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 71. | 1 | 6. France/ASN - NUSCC | A more detailed table of content for the guide would help having a better idea of its content, especially for those having to draft it... | | <p>Section 1 will be an introduction, which will present definitions, the background...</p> <p>Section 2 will provide overarching recommendations which (...) requirements. For instance, the following issues should be addressed:</p> <ul style="list-style-type: none"> - Responsibility of the regulatory body; - Interaction with interested parties should not lead to compromise safety and call the regulator's independence in the question; - Need for the regulator to be a trusted organizations; - Graded approach; and - Principles on restricted information. <p>Section 3 will present the provisions that should be considered for inclusion in the legal and regulatory framework and will provide guidance which should be followed when establishing the legal and regulatory framework for communication and consultation with interested parties;</p> <p>Section 4 will describe the arrangements, including policy and procedures, that should be (...) for effective implementation. It will also address the elements which should be considered when developing and implementing communication and consultation processes such as objective, targeted parties, context, legal and regulatory requirements. At last, it will provide guidance on evaluation and improvement of the effectiveness of communication and consultation strategy.</p> <p>Section 5 will provide guidance:</p> <ul style="list-style-type: none"> - About methods to effectively inform interested parties and will discuss the most effective communication channels to use; and - On how to consult effectively interested parties and, when appropriate, to implement collaborative processes with relevant interested parties. | | <p>The current table of content provides a relevant skeleton to address all issue raised by requirement 36 of the GSR part 1. However, for better understanding, further information is proposed to be included in the DPP even if</p> <p>As proposed by France/ASN – NUSCC (Comment no 10), sections 5 and 6 are merged.</p> |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|-------------------|--|--|------------|---|----------|--|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 72. | 1 | 6. US / NRC Sections 1-6 are summarized at such a high level that it is difficult to fully understand the types of content that are planned for inclusion. For example, what vehicles will be used to promote “openness” and how will technology be discussed in the document? | | | See resolution of comment no 6. France/ ASN – NUSCC. | | Further information is proposed to be included in the DPP. |
| 73. | 1 | 12. Japan/NISA – WASSC The order of the discussion might be inadequate. In principle, guidance (Section 3 and 4) is discussed after provisions (Section 5 and 6) were implemented | Clarification | | | X | See clarification to resolve the comment no 6 of France/ASN – NUSCC. |
| 74. | 1/ bullet 1 | 8. France/ASN – NUSCC In section 1, it should be reminded that the regulator is not the only one which interacts with interested parties. The licensees role should be recalled, even if not within the scope of the guide | | | | X | This issue is considered in section 2 BACKGROUND, in paragraph 1. |
| 75. | 1/ bullet 2 | 12. US / NRC Section 2 will provide basic (overarching?) recommendations which that should be applied to meet the relevant safety requirements. | Seems ambiguous. Content of this section is not clearly distinguished from the content of the following sections. Suggest giving an example or two. Also suggest defining the elements of openness used in the subsequent sections, e.g., transparency, participation, and collaboration | X | | | See clarification to resolve the comment no 6 of France/ASN – NUSCC. |
| 76. | 1/ bullet 3 | 15'. US / NRC editorial Section 3 will present the provisions which that should be considered for being part of inclusion in the legal and regulatory framework for ... | Editorial | X | | | See clarification to resolve the comment no 6 of France/ASN – NUSCC. |
| 77. | 1/ bullet 3 | 6. Japan/NISA - NUSCC Section 3 will present the provisions which should be considered being part of the legal and regulatory framework for transparency, openness and involvement of interested parties in regulatory activities. | It is not necessary to legislate for transparency, openness and involvement of interested parties in regulatory activities because there are differences in legal systems of each country. | | Section 3 will present the provisions that should be considered for inclusion in the legal and regulatory framework and will provide guidance which should be followed when establishing the legal and regulatory framework for communication and consultation with interested parties. | | In accordance with Handbook on Nuclear Law, paragraph 2.3.1, the following should be legally addressed: (z) <i>To establish appropriate mechanisms and procedures for informing and consulting the public and other stakeholders about the regulatory process...</i> The 3 rd bullet point will be modified, as proposed by US NRC (See 15'. US NRC) and the Handbook on Nuclear Law will be added in Section 5. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|-------------------|---|--|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 78. | 1/ bullet 4 | <p>9. France/ASN - NUSCC Section 4 content should be expanded to be clearer on the topics covered : “Section 4 will describe the provisions which should be developed and implemented by the regulatory body for communication and consultation with interested parties. This will include culture, leadership and management system for effective implementation. 4.1 General recommendations 4.2 Involvement of interested parties in drafting legislation, regulations or regulatory guidance documents 4.3 Involvement of interested parties in licensing a specific facility or activity, 4.4 Involvement of interested parties in inspection and enforcement drafting regulation and legislation, 4.5 Involvement of interested parties in emergency preparedness activities and during/following an actual emergency 4.6 Keeping interested parties aware of safety significant events occurring at facilities and activities (INES...) and significant safety issues 4.7 Involvement of interested parties in other activities performed by the regulatory body 4.8 Documenting the above mentioned involvements in the Regulatory Body management system</p> | To be consistent with §3. | | | X | <p>There is no definite way to communicate. Communication and consultation strategy is very much depending on legal and regulatory requirements but also other parameters. In section 4, guidance will be provided on how to develop and implement strategy and plan for communication and consultation considering the communication objective, targeted parties, sensitivity of the issue, etc.</p> <p>However, examples will be provided as necessary.</p> |
| 79. | 1/ bullet 4 | <p>13. US / NRC Section 4 will describe the policy and procedures provisions which that should be developed and implemented... This will include culture, leadership, and management systems for effective implementation.</p> | While the word “provisions” seems appropriate for the Section 3 on the legal and regulatory framework, suggest using something more specific than provisions here. | | Section 4 will describe the arrangements, including policy and procedures, that should be... This will include culture, leadership, and management system for effective implementation... | | A proper implementation of a process needs also other ‘arrangements’ (tools, agreements, etc.). Only one management system is developed by the regulator. |
| 80. | 1/ bullet 4 | <p>11. Japan/NISA – WASSC This will include culture, leadership and management system for effective implementation. This document needs to describe the framework of the provision which should be developed and implemented for communication and consultation with interested parties.</p> | All the provisions for communication and consultation with interested parties are not developed by the regulatory body. | | | X | Section 4 will provide guidance for developing the internal arrangements of regulatory body. See also clarification provided by the resolution 71 (6. France/ASN – NUSCC). |
| 81. | 1/ bullet 4 | <p>7. US / NRC Suggestion for Additional Content</p> | Consider addressing guidance for using measures to determine the effectiveness of the openness program. | | Section 4: ... It will provide guidance on evaluation and improvement of the effectiveness of communication and consultation strategy. | | The improvement mechanism should be part of the management system. |

| COMMENTS BY REVIEWER | | | | RESOLUTION | | | |
|----------------------|-----------------------------|---|---|------------|--|----------|---|
| no | Para | <Comment number. Pays / Organization> Proposed new text | Reason | Accepted | Accepted, but modified as follows | Rejected | Reason for modification/rejection |
| 82. | 1/ bullet 4 | 13. Japan/NISA – WASSC Add some texts explaining the specific characteristics of communication and consultation with interested parties depending on thematic issues such as those under emergency situation (such as Fukushima), under planned situation (siting, construction, decommissioning etc.), and existing situation. | Although the description of this overview is deemed to be generic, this DPP as a whole seems to put emphasis on the issues in accidental condition. Communication and consultation with interested parties may be somewhat different for the other issues such as siting of the disposal facility for radioactive waste. Hence some detailed description is helpful to understand the document. | | Section 4 will describe the arrangements, including policy and procedures, that should be developed and implemented by the regulatory body (...). This will include culture, leadership and management system for effective implementation. It will also address the elements which should be considered and addressed when developing and implementing any communication process such as objective, targeted parties, context and regulatory requirements. | | The safety guide will not address crisis communication. |
| 83. | 1/ bullet 5 | 16' US NRC editorial Section 5 will provide guidance about methods to inform effectively inform the public and interested parties and about discusses the most effective major communications channels to use which should be used. | Editorial and clarity | X | | | |
| 84. | 1/ bullet 6 | 17' US NRC editorial Section 6 will provide guidance on how to consult effectively with ... and, when necessary appropriate , to implement collaborative processes with relevant stakeholders. | Editorial and tone. “Necessary” suggests that the regulatory body would only consult when “required” rather at its discretion. | X | | | |
| 85. | 1/ bullets 5 and 6 | 10. France/ASN - NUSCC Sections 5 and 6 could be merged as they seems to deals with means of involving interested parties, which could be used to implement actions recommended in §2 to §4 | | | Section 5 will provide guidance: - About methods to effectively inform interested parties and will discuss the most effective communication channels to use; and - On how to consult effectively interested parties and, when appropriate, to implement collaborative processes with relevant interested parties. | | Proposal based on other comments provided by the Member States. |
| 86. | 1 | 5. Japan/NISA - NUSCC If the information, which may be not disclosed because of confidentiality, security or other reasons, is related to both section 5 and 6, an additional section for such topic is better to be provided. | It is important to provide guidance how to manage the information which may be not disclosed. | | | X | Relevant guidance and recommendations will be provided in the relevant sections |