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*Quality Management System – Office of Safety and Security Coordination*

# **STEP BY STEP PREPARATION AND REVIEW PROCESS**

**Manual for the review process for draft  
Nuclear Security Series Publications and for  
the application of SPESS A for the IAEA  
Safety Standards  
Version 3.2 – 31 March 2020**

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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.

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

To avoid unnecessary detail, footnotes refer to supporting guidance and detailed working documents, where appropriate.

A checklist of tasks for Technical Officers is set out in Annex I, 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 Standards Specialist. Annex IV synthesizes the overall review process for Safety Standards and Nuclear Security Series publications, including situations where an interface exists between the two series.

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<sup>1</sup> As an input to the feedback analysis report, the Technical Officer could collect feedback through the NSS-OUI centralized feedback collection mechanism. See also Section 3.C of SPESS A.

## **STEP 1: Preparing a Document Preparation Profile (DPP)**

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

### **Step 1a (preparing the DPP)**

Division Director/Section Head:

- **Ensures** that **resources** for development of the safety standard or nuclear security guidance publication are properly reflected in the IAEA's Programme and Budget.
- **Assigns a technical officer** responsible for preparation of the draft publication.

Technical officer:

- **Prepares a DPP**, using the correct template<sup>2</sup>.
    - For a revision of a publication, or an addendum to a publication, or for revision by batch, the technical officer uses as a basis the feedback analysis report.
    - For a new publication the technical officer uses as a basis the gap analysis report.
    - For safety standards, the DPP 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 Guides<sup>3</sup>.
  - 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.
  - **Attaches the feedback analysis report** to the DPP for the revision of an existing publication or **the gap analysis report** for a new publication.
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<sup>2</sup> 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).

<sup>3</sup> <https://www-ns.iaea.org/committees/files/CSS/205/status.pdf>

- **Obtains** Section Head **approval** (via internal approval process).
- **Proposes a lead review Committee among EPRESC, NUSSC, RASSC, TRANSSC, WASSC and NSGC** for the review of the DPP and the draft and potential cosponsors (see Annex II, procedure for obtaining co-sponsorship).
- **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 correct template is used and that **the DPP** is correctly filled out

**Knowledge products for Step 1:** Gap analysis report and/or feedback analysis report

**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 batch based on a feedback analysis report. Proposals for its place in the Safety Standards Series structure or Nuclear Security Series structure and for the lead Committee and review Committees

**Minimum time needed for Step 1:** 1 month

***OUPUT: Draft DPP with feedback analysis report or gap analysis report from the Secretariat***

## **STEP 2: Internal review of the DPP**

***INPUT: Draft DPP with feedback analysis report or gap analysis report from the Secretariat***

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

Section Head:

- **Submits** the draft DPP including the feedback report **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 and the feedback analysis report or gap analysis report 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 and the feedback analysis report or gap analysis report on the Coordination Committee ROAD site<sup>4</sup>.

### **Step 2b (internal review of the DPP)**

Before the meeting

Coordination Committee:

- **Reviews the draft DPP** and the feedback analysis report or gap analysis report according to its Terms of Reference<sup>5</sup> for clearance for submission to the review Committees.

- **Considers** the robustness of the proposal, the quality of the justification, its compliance with the criteria in terms of the structure of the Safety Standards Series or of the Nuclear Security Series.
- **Posts comments** on the Coordination Committee ROAD site at least two days before the meeting.

Technical officer:

- **Evaluates comments** by the Coordination Committee.
- **Confirms** that the comments have been addressed and resolved before the meeting.
- Ensures that the updated version of the **DPP is posted** on the Coordination Committee ROAD site before the meeting takes place.

At the meeting

Technical officer:

- **Attends** the meeting and gives a short verbal presentation of the proposed DPP.

Coordination Committee:

- **Considers** 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 cosponsors**.
- Provides a recommendation to the Interface Group on which review Committees (EPR<sub>SC</sub>, NSGC, NUS<sub>SC</sub>, RAS<sub>SC</sub>, TRAN<sub>SC</sub>, WAS<sub>SC</sub>) should be involved during the review and approval process of the proposed document.
- Discusses and resolves further comments on the DPP.

<sup>4</sup> KM Portal/Management/Coordination Committee/SC and CC Meetings (IAEA-internal link) <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=464543&objAction=browse>.

<sup>5</sup> Annex XII of SPESS A.

- Decides on the approval of the DPP.

After the meeting

Technical Officer:

- If the draft DPP was approved, incorporates any comments and proceeds to Step 3.
- If the draft DPP was not approved, 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.

SH/SSDS:

- **For safety standards**, assigns a DS number to the project and **for nuclear security guidance**, assigns an NST number to the project
- Includes the DPP as a **project on the status.doc**<sup>6</sup>

**Knowledge products for Step 2:** Coordination Committee minutes, status.doc

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

**Minimum time needed for Step 2:** 2 weeks

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



### **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, TRANSSC, WASSC, NSGC) (Exception: DPPs for Nuclear Security Technical Guidance are not sent to the Interface Group.).

Interface Group:

- **Reaches a conclusion on the allocation of review Committees.**

Technical officer:

- **Sends the draft DPP to the lead Committee coordinator** at least two months before the next meeting of the first review Committee that will review the DPP for a single publication. For revision by batch longer timescales could be considered, as appropriate.

Lead Committee Coordinator:

- **Puts the draft DPP on the agenda** of the review Committee(s) for discussion at its next meeting;
- **Puts the draft DPP and the feedback analysis report or gap analysis report on the review Committee web site**<sup>7</sup> at least two months before the next meeting of the first

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<sup>6</sup> <https://www-ns.iaea.org/committees/files/CSS/205/status.pdf>

<sup>7</sup> For safety standards, draft DPPs for standards and for interface documents are available for comment by Committee members at <http://www-ns.iaea.org/committees/comments/default.asp>

review Committee that will review the DPP. For revision by batch longer timescales could be considered, as appropriate.

- **Sends the draft DPP and the feedback report to coordinators of the other review Committees**, as necessary, at least two months before the next meeting of the first review Committee that will review the DPP. For revision by batch longer timescales could be considered, as appropriate.

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

Review Committee(s):

- **Reviews the draft DPP** in accordance with its Terms of Reference<sup>8</sup>
- **Posts** comments through the lead Committee Coordinator three weeks in advance of the meeting.
- For revision of existing publication(s) **provides feedback** on the use of the publication(s) and comments on the feedback analysis 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 by updating the feedback analysis report.
- Prepares on the appropriate form a list of comments received, **stating how each comment was resolved**.
- **Posts** the revised DPP and the comments resolution table for availability for the review Committee(s) one week before the meeting of the first review Committee to meet.

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For the Nuclear Security Series, draft DPPs for nuclear security guidance and for interface documents are available for comment by NSGC members at the Nuclear Security Information Portal.

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

Technical officer:

- **Presents the draft DPP** at the meeting of the review Committee using the appropriate presentation template<sup>9</sup>.

Review Committee(s):

- **Resolves any outstanding issues;**
- **Decides on the approval/clearance of the DPP.**

### **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 following meeting 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

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<sup>8</sup> Annex IX of SPESS A for example for the Safety Standards Committees.

<sup>9</sup> <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=47029102&objAction=browse&viewType=1>

- process ends.

**For safety standards**, the lead Committee coordinator **posts** the revised DPP on the review Committee web site

**For nuclear security guidance**, NSGC coordinator **posts** the revised DPP on the Nuclear Security Information Portal (NUSEC)

SH/SSDS:

- **Updates** the status.doc

**Knowledge products for Step 3:** status.doc, Review Committee minutes<sup>10</sup>

**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.

**Minimum time needed for Step 3:** 3 months

***OUTPUT:***

***For safety standards: Draft DPP with feedback analysis report from the Secretariat and the review Committee members***

***For nuclear security guidance: Approved DPP with feedback analysis report as a basis for the drafting process***

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<sup>10</sup> Meeting reports of the Safety Standards Committees are available on <https://www-ns.iaea.org/committees/>

## **STEP 4: Review of the DPP by the CSS or information of the CSS on the DPP**

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

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

*For a DPP for a nuclear security guidance 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 a nuclear security guidance 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 DPP and the feedback analysis report**, via the lead Committee coordinator, **to the CSS coordinator** at least two months before the next CSS meeting. For revision by batch longer timescales could be considered, as appropriate. CSS coordinator:

- **Puts the DPP on the agenda** of the CSS for discussion at its next meeting;
- Puts the draft DPP on the CSS web site<sup>11</sup> at least two months in advance of the next CSS meeting. For revision by batch longer timescales could be considered, as appropriate.

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

CSS:

- **Reviews the DPP** in accordance with its Terms of Reference<sup>12</sup> for endorsement of the decision of the Committees and provides comments three weeks in advance of the meeting.

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<sup>11</sup> Draft DPPs and standards are available for comment by CSS members at <http://www-ns.iaea.org/committees/csscomments/default.asp>

Technical Officer:

- Resolves the comments of the CSS members and updates the DPP;
- Posts the updated DPP on the CSS web site one week before the meeting.

**Step 4c (at the meeting of the CSS)**

Technical officer:

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

CSS:

**Resolves any outstanding issues;**

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

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<sup>12</sup> Annex VIII of SPESS A.

SH/SSDS:

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

**Knowledge products for Step 4:** CSS minutes<sup>13</sup>, status.doc, safety standards web site

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

**Minimum time needed for Step 4:** 2.5 months

***OUTPUT: Approved DPP with feedback analysis report as a basis for the drafting process***

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

## **STEP 5: Preparing the draft publication**

***INPUT: Approved DPP with feedback analysis report as a basis for the drafting process***

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 Committee(s) members, taking into account the policy on stakeholder involvement<sup>14</sup>.
- **Convenes** one or more consultancy **meetings for drafting**, ensuring that the scheduling of meetings is appropriate.<sup>15</sup> (Invites the co-sponsoring organizations to all the meetings.)
- **Prepares the draft text** (for safety standards, in accordance with the responsibilities listed in SPESS A Section 3.D), liaising with the Standards Specialist if necessary.
- Ensures that the drafting complies with the guidance in SPESS C and with the approved DPP.
- Ensures permissions are obtained for using text, figures, tables taken from other sources as appropriate<sup>16</sup>.
- **Keeps** the relevant **Committee coordinators informed** of the status of the draft publication.

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<sup>14</sup> For safety standards, see SPESS A Section 2.H

<sup>15</sup> Advice is provided in Part VII of the Administrative Manual <http://adminonline.iaea.org/AdminManual> (IAEA-internal link)

<sup>16</sup> Advice is provided in the Publishing Resources Pack:  
<https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/publishing%20resources/Pages/Publishing-Resources.aspx>



- Implements the **internal coordination for the development of the draft, including where necessary coordination with other technical officers on other drafts under development.**
- **Organizes Technical Meetings<sup>17</sup>, as appropriate.**
- 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.**
- When modifications are made to the scope or the objective of the draft compared to the approved DPP, consults with Chairs of the review Committees identified in the DPP and prepares a revision of the DPP for submission through the review and approval process (Steps 2 to 4).

Section Head:

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

**Knowledge products for Step 5:** status.doc, successive versions of the draft, list of meetings and contributors, record of permissions obtained (if applicable)

**Value added at Step 5:** First draft of the publication

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

***OUTPUT: Draft for review by the Coordination Committee***

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<sup>17</sup> Advice is provided in Part VII of the Administrative Manual <http://adminonline.iaea.org/AdminManual> (IAEA-internal link)

## **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 is 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)**

Section Head:

- **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. For revision by batch longer timescales could be considered, as appropriate.

Technical officer:

- **Sends** the draft publication to NSOC-SSDS for review by the **Standards Specialist**. For nuclear security guidance, the draft undergoes thorough technical review for consistency and clarity.
- **Sends** the draft publication to MTCD (MTCD.Advance-Publishing-Advice@iaea.org) to obtain advice on quality of figures and to check that any previously published material is properly attributed ('mini-APA')

Coordination Committee secretary:

- **Puts the draft on the agenda** of the Coordination Committee for discussion at its next meeting
- Puts the draft on the Coordination Committee ROAD site

#### **Step 6b (internal review of the draft)**

##### Before the meeting

Coordination Committee:

- **Reviews the draft for clearance** for submission to the review Committee(s) according to its Terms of Reference
- **Reviews the draft**, in particular its consistency with other publications and compliance with the approved DPP
- **Posts comments** on the Coordination Committee ROAD site at least two days before the meeting.

Standards Specialist:

- **Carries out a review** of the draft and liaises with the technical officer to resolve comments and queries<sup>18</sup>

Technical officer:

- **Evaluates comments** by the Coordination Committee
- **Confirms** that the comments have been addressed and resolved before the meeting.
- Ensures that the revised draft is posted on the Coordination Committee ROAD site before the meeting takes place.

At the meeting

Technical officer:

- **Attends** the meeting and gives a short verbal presentation of the draft.

Coordination Committee:

- Discusses and resolves further comments on the draft;
- **Resolves any coordination issues;**
- Decides on the approval of the draft.

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<sup>18</sup> The Standards Specialist can conduct the review in parallel with the review by the Coordination Committee in Step 6

### After the meeting

Technical officer:

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

SH/SSDS:

- **Updates** the status.doc

**Knowledge products for Step 6:** status.doc, Coordination Committee minutes, ROAD NS Knowledge Portal that keeps successive versions of the drafts submitted to the CC

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

**Minimum time needed 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 Committee coordinator** at least two months before the next meeting of the first review Committee that will review the draft. For revision by batch longer timescales could be considered, as appropriate.

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' web site(s)** as soon as available and at the latest two months in advance of the next meeting of the first review Committee that will review the draft. For revision by batch longer timescales could be considered, as appropriate.
- **Sends the draft** as soon as available and at the latest two months in advance of the review Committee meetings to the **coordinators of other review Committees**, as necessary. For revision by batch longer timescales could be considered, as appropriate.

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

Review Committee(s):

- **Reviews the draft** in accordance with its Terms of Reference.
- **Posts 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 should also verify that the appropriate cross-references between the two series are mentioned.

Technical officer:

- Prepares on the appropriate form a list of comments received, **stating how each comment was resolved.**
- **Posts** the revised draft and the comments resolution table through the lead Committee Coordinator for availability on the review Committee web site one week before the meeting of the first review Committee to meet.

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

Technical officer:

- **Presents the draft publication** and the resolution of comments using the appropriate presentation template<sup>19</sup>

Review Committee(s):

- **Addresses outstanding issues** in as much detail as is considered necessary for the draft to be submitted to Member States for comment.
- **Decides on the approval** 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.)

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<sup>19</sup> <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=47029102&objAction=browse&viewType=1>

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 the draft according to the comments and returns 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

SH/SSDS:

- **Updates the status.doc**

**Knowledge products for Step 7:** status.doc, review Committee minutes, review Committees' comments resolution table

**Value added at Step 7:** Quality of draft, accuracy of draft, approval for Member State consultation, verification of consistency with the DPP

**Minimum time needed for Step 7:** 3 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 Member States review<sup>20</sup>)**

Technical officer:

- **Prepares clearance sheet** for submission of draft publication and collects relevant signatures following the detailed MTCD procedures.
- Prepares the note verbal and attachments (explanatory note and form for Member States' comments) and ensures that they are checked by the Standards Specialists for safety standards or by the NSGC Coordinator for nuclear security guidance before sending it to MTCD.
- Attaches the appropriate form for soliciting formal comment from Member States as part of the note verbale.
- **Initiates procedure for translation and clearance of note verbale** through MTCD's Documents, Conference and Production Management System (DCPMS), allowing at least two weeks between clearance within NS and issuance of Note Verbale. For revision by batch, a longer period could be considered, as appropriate.
- **Inserts new front page and 'draft' watermark** on draft publication, converts file to pdf format, and submits draft to SH/SSDS.

**SH/SSDS:**

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

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<sup>20</sup> 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>

For revision by batch, a longer period could be considered, as appropriate.



- **Provides the note verbale in 6 languages and the pdf to the safety and security web site editor so that this is uploaded by OPIC to the safety standards web site<sup>21</sup> to solicit formal comment from Member States and international organizations**
- **Updates** the status.doc

Lead Committee coordinator:

- **Alerts** MS representatives on the respective Committee by email that a draft standard or nuclear security guidance has been sent to Member States for comment.

### **Step 8b (review by Member States)**

Member States:

- **Provide comments** within a time limit established in the attachment to the Note Verbale, e.g. 120 calendar days, or longer for a batch, in standard format. It is expected that each Member State consults its national stakeholders, then provides 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 products for Step 8:** status.doc, record of Member State comments

**Value added at Step 8:** International consensus building

**Minimum time needed for Step 8:** 5-7 months

***OUTPUT: Member States comments on draft publication***

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

## **STEP 9: Addressing comments by Member States**

### ***INPUT: Member States' comments on draft publication***

SH/SSDS:

- After the period indicated in the note verbale has elapsed (120 days for a single publication or longer for a batch), requests that the safety and security web site editor remove the draft and the note verbale from the web site.
- **Updates** the status.doc

Technical officer:

- **Collates all Member States' comments** and any relevant comments from observers and prepares on the appropriate form<sup>22</sup> a list of comments received.
- In the case of comments received after the deadline, considers them as far as practicable.
- In case of conflicting comments provided by observer organizations and Member States at Step 8, ensures that Member State comments are given precedence.
- If necessary, **initiates a consultancy meeting or Technical Meeting** to address comments.
- **Prepares a revised draft and a Member States' comments resolution table.** The comments should be listed according to their order of appearance in the text and not sorted by Member State.
- Obtains approval from Section Head and **sends the draft publication to the lead Committee coordinators** for submission to the Coordination Committee.

**Knowledge products for Step 9:** status.doc, record of comments from Member States and their resolution

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**Value added at Step 9:** Incorporation of comments in the draft publication reflecting international consensus

**Minimum time needed for Step 9:** 1 month

***OUTPUT: Member States' comments resolution table, clean draft and draft in revision marked version<sup>23</sup> that incorporates the Member States' comments***

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<sup>23</sup> Usually a Word document in track changes mode.

## **STEP 10: Second internal review of the draft publication**

*INPUT: Member States' comments resolution table, clean draft and draft in revision marked version that incorporates the Member States' comments*

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

Section Head:

- **Sends 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. For revision by batch longer timescales could be considered.

Technical officer:

- **Sends** the draft standard to NSOC-SSDS for review by the **Standards Specialist** and the Member States' comments resolution table.

Coordination Committee secretary:

- **Puts the draft on the agenda** of the Coordination Committee for discussion at its next meeting.
- Puts the draft on the Coordination Committee ROAD site.

Standards Specialist:

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

### **Step 10b (internal review of the draft)**

Before the meeting:

Coordination Committee:

- **Reviews the draft** in terms of consistency with other publications and compliance with the approved DPP.
- **Posts comments** on the Coordination Committee ROAD site at least two days before the meeting.

Technical officer:

- **Evaluates comments** by the Coordination Committee
- **Confirms** that the comments have been addressed and resolved before the meeting.
- Ensures that the updated version of the **draft is posted** on the Coordination Committee ROAD site before the meeting takes place.

At the meeting

Technical officer:

- **Attends** the meeting and gives a short verbal presentation of the draft.

Coordination Committee:

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

After the meeting

Technical officer:

- If the draft was cleared, incorporates any comments and proceeds to Step 10c
- If the draft was not cleared, either:
  - revises the draft according to the comments and returns to Step 10a; or
  - process ends.

### **Step 10c (Standards Specialist review of the draft).<sup>24</sup>**

Standards Specialist:

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

Technical officer:

- Sends a version of the draft publication with marked accepted changes from the Standards Specialist to the review Committee coordinator for **uploading to the review Committee web site**.
- Prepares a list of any substantial changes from the Standards Specialist review that needs to be discussed by the review Committees.

SH/SSDS:

- **Updates** the status.doc

**Knowledge products for Step 10:** status.doc, CC minutes, draft in track changes, draft version control

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

**Minimum time needed for Step 10:** 2 months

***OUTPUT: Member States' comments resolution table, clean draft and draft in revision marked version that incorporates the Member States' comments (and if feasible review by the Standards Specialist) for submission to the review Committee(s) as well as a list of any substantial changes from the Standards Specialist review***

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<sup>24</sup> If timing allows for a complete Standards Specialist review before submission of the draft to the review Committees. If this is not feasible, and on an exceptional basis to be discussed with the Chairs of the relevant Committees, the Standards Specialist review of draft Safety Guides can be carried out in parallel with Step 11b.

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

*INPUT: Member States' comments resolution table, clean draft and draft in revision marked version that incorporates the Member States' comments and the results from the Standards Specialist review for final submission to the review Committee(s)*

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

Technical officer:

- **Submits the draft** and the Member States' comments resolution table **to the lead Committee coordinator** at least two months before the next meeting of the first review Committee that will review the draft. For revision by batch longer timescales could be considered.

Lead Committee coordinator:

- **Puts the draft on the agenda** of the review Committee for approval at its next meeting
- **Puts the draft and the Member States' comments resolution table on the review Committee web site** two months in advance of the next meeting of the first review Committee that will review the draft. For revision by batch, longer timescales could be considered. Sends the draft and the Member States' comments resolution table to coordinators of other review Committee(s), as necessary

### **Step 11b (before the review Committee(s) meeting(s))**

Review Committees(s) members:

- **Review the draft** with a view to ensuring that Member States' comments have been appropriately taken into account and provide comments accordingly (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).
- Post comments, at least three weeks in advance of the meeting of the first review Committee.

Technical officer:

- Resolves the comments received by the review Committees' members and updates the draft
- **Posts** the revised draft through the lead Committee Coordinator for availability for the review Committee(s) one week before the meeting of the first review Committee to meet.

### **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 Standards Specialist, using the appropriate templates<sup>25</sup>

Review Committee(s), at the meeting:

- **Resolves any outstanding issues** on how Member State comments have been addressed
- **Decides on the approval** for proceeding to the next step

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<sup>25</sup> <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=416747&objAction=browse>



**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, uploads the final draft through the lead Committee Coordinator on the Committees' website and proceeds to Step 12
- If the draft was not approved, either:
  - revises the draft according to the comments and returns to Step 11a; or
  - process ends.

Chair of lead Committee:

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

SH/SSDS:

- **Updates** the status.doc

**Knowledge products for Step 11:** status.doc, review Committee(s) minutes, records of Standards Specialist's changes and suggestions

**Value added at Step 11:** Validation of the consideration of Member States' comments; conformance with requirements of the Safety Standards or Nuclear Security Series, the IAEA Safety Glossary and (draft) IAEA Nuclear Security Series Glossary, and the Agency's mandate and policies; final approval

**Minimum time needed for Step 11:** 2 months

***OUTPUT: Draft for editing and final endorsement***

## **STEP 12 for Safety Standards: Editing of the draft publication in MTCD and endorsement of the draft publication by the CSS**

*The order of Step 12A and Step 12B may be reversed if necessary (depending on the availability of editorial resources in MTCD).*

### ***INPUT: Draft for editing and final endorsement***

#### **Step 12A (submission to the Publications Committee and editing)**

Technical officer:

- Initiates **submission to Publications Committee**<sup>26</sup> for approval for editing, allowing at least six weeks for approval

Publications Committee:

- **Reviews draft publication** in accordance with its Terms of Reference<sup>27</sup>, and sends any comments to the technical officer

Technical officer:

- **Deals with any changes** proposed by the Publications Committee in consultation with the SH/SSDS and the Standards Specialist, who may consult with the Chair of the lead Committee

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<sup>26</sup> In accordance with procedure set out in

<https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/Pages/Submitting-to-the-Publications-Committee.aspx>

(IAEA-internal link)

The template for the Publications Committee Proposal form (D-22 form) is available on Word – New – Templates – Shared - MTCD

<sup>27</sup> The Terms of Reference of the Publications Committee are set out in <http://adminonline.iaea.org/AdminManual/documents/amp1s14pF.pdf> (IAEA-internal link)

Division Director/Section Head:

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

MTCD editor:

- Oversees the **production** process<sup>28</sup> and liaises with the technical officer and the Standards Specialist to produce a fully edited Word file

### **Step 12B (endorsement of the edited draft standard by the CSS)**

#### Before the meeting

Technical officer/Standards Specialist:

- **Submits the edited draft to CSS coordinator** at least two months before the next CSS meeting<sup>29</sup>

CSS coordinator:

- **Consults the review Committee Chairs** on any changes made after approval of the draft by the review Committee(s)
- **Puts the safety standard on the agenda** of the CSS for discussion at its next meeting
- Puts the edited draft on the CSS website at least two months before the next CSS meeting

CSS:

- **Reviews the draft standard for endorsement of the decision of the Committee(s)** and provides comments at least two weeks in advance of the meeting. (At this stage it is not expected to receive new technical comments)

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<sup>28</sup> See <https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/Pages/pnps.aspx> (IAEA-internal link)

### During the meeting

Technical officer:

- **Presents the draft standard** together with proposals with regard to the resolution of CSS comments using the appropriate template<sup>30</sup>

CSS:

- **Addresses outstanding issues**
- **Decides on endorsement** of the approval of the draft safety standard by the Committee(s)

### After the meeting

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 the draft according to the comments and returns to the beginning of Step 12B; or
  - process ends.
- For co-sponsorship, **provides the approved draft to the co-sponsoring organizations** for their final agreement. The co-sponsoring organizations are requested to agree on a statement for inclusion in the draft setting out how the co-sponsorship of the publication will affect the activities of the organization.

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<sup>29</sup> If the edited version is not available at the time of the CSS meeting, the CSS may still endorse the unedited draft and will be consulted later through a tacit approval procedure on the final edited text.

<sup>30</sup> <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=47029102&objAction=browse&viewType=1>

SH/SSDS:

- **Updates** the status.doc
- **Informs** the Chair of the Publication Committee about any changes resulting from the CSS review.

**Knowledge products for Step 12:** status.doc, CSS minutes, PC meeting minutes

**Value added at Step 12 for Safety Standards:** Editing of the draft for clarity of language and Agency style and endorsement of the Committees' decision to approve the draft to the BoG or the DG for establishment as a safety standard

**Minimum time needed for Step 12:** 4 months (2 + 2.5)

***OUTPUT: Endorsed decision on approval of the draft publication***

## **STEP 12 for nuclear security guidance: DDG's decision on whether additional consultation is needed, establishment by the Publications Committee and editing**

*INPUT: Draft for final endorsement*

### **Step 12 (submission to the Publications Committee and editing)**

Technical officer:

- Initiates **submission to Publications Committee**<sup>31</sup>, allowing at least six weeks for approval

SH/SSDS:

- **Brings the draft to the attention of the Director of the Office of Safety and Security Coordination 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 DG**<sup>32</sup>
- **Organizes** accordingly the **further consultation steps** as decided by the DDG, until the draft is cleared for submission to the PC by the DDG

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<sup>31</sup> In accordance with procedure set out in

<https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/Pages/Submitting-to-the-Publications-Committee.aspx>

(IAEA-internal link)

<sup>32</sup> See <http://www-ns.iaea.org/committees/files/adsec/820/FinalReportoftheJointSession.pdf>

Publications Committee:

- **Reviews draft publication** in accordance with its Terms of Reference<sup>33</sup>, and sends any comments to the technical officer

Technical officer:

- **Deals with any changes** proposed by the Publications Committee in consultation with the Coordination Committee Secretary and the Standards Specialist, who consults with the Chair of the lead Committee (NSGC)

Division Director/Section Head:

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

MTCD editor:

- Oversees the **production** process<sup>34</sup> and liaises with the technical officer and the Standards Specialist to produce a fully edited Word file

SH/SSDS:

- **Updates** the status.doc

**Knowledge products for Step 12:** status.doc, PC meeting minutes

**Value added at Step 12 for nuclear security guidance:** Editing of the draft for clarity of language and Agency style, establishment as a Nuclear Security Series publication

**Minimum time needed for Step 12:** 4 months

***OUTPUT: Endorsed draft publication***

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<sup>33</sup> The Terms of Reference of the Publications Committee are set out in <http://adminonline.iaea.org/AdminManual/documents/amp1s14pF.pdf> (IAEA-internal link)

<sup>34</sup> See <https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/Pages/pnps.aspx> (IAEA-internal link)

## **STEP 13: Approval by the Board of Governors**

*For Safety Fundamentals and Safety Requirements, Nuclear Security Fundamentals and Nuclear Security Recommendations<sup>35</sup>: follow Step 13*  
*For all other publications: jump to Step 14*

### ***INPUT: Endorsed draft publication***

Section Head, Programme and Strategy Coordination Section, NSOC:

- **Initiates submission to Board of Governors**, allowing 5 weeks for completion of SEC/PMO clearance process<sup>36</sup>

Standards Specialist:

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

Board of Governors:

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

Technical officer:

- **Evaluates comments** by the Board of Governors, if any, in consultation with the Section Head and Directors
- 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 proceeds to Step 14

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<sup>35</sup> Need confirmation that Nuclear Security Fundamentals and Recommendations have to be submitted to the BoG

<sup>36</sup> See detailed internal procedure set out under S:\NSOC-Public\Quality Management\Procedures\Submission of BoG and GC docs



- If the draft was not approved, either:
  - revises the draft according to the 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 returns to Step 13; or
  - process ends.

SH/SSDS:

- **Updates** the status.doc

**Knowledge products for Step 13:** status.doc, BoG minutes, PC minutes

**Value added at Step 13:** Approval at the highest level of a safety standard or a nuclear security guidance publication

**Minimum time needed for Step 13:** 3.5 months

***OUTPUT: Approved IAEA safety standard or IAEA nuclear security guidance for publication***

## **STEP 14: Publication**

***INPUT: Approved safety standard or nuclear security guidance for publication***

MTCD editor:

- **Prepares final proof** layout and finalizes the production process

Standards Specialist and technical officer:

- **Review final proofs** and return to MTCD editor.

MTCD:

- Informs SH/SSDS that a new safety standard is published/translation is complete
- Informs the SH/SSDS and the NSGC coordinator that new nuclear security guidance is published/translation is complete
- Places **pdf** file of new publication **on MTCD web site** and thereby also on the standards web site for safety standards and on the Nuclear Security Series web site for nuclear security guidance

SH/SSDS:

- **Updates** the status.doc and removes the draft from the web site list of standards under development or from the web site list of nuclear security guidance under development.
- **Updates** the table of superseded publications
- **Instructs** MTCD to mark superseded publications
- **Inserts** published version into NSS-OUI
- **Classifies** publication **for the web site**

**Knowledge products for Step 14:** status.doc

**Value added at Step 14:** Publication on web site, in print and on NSS-OUI

**Minimum time needed for Step 14:** 1 month

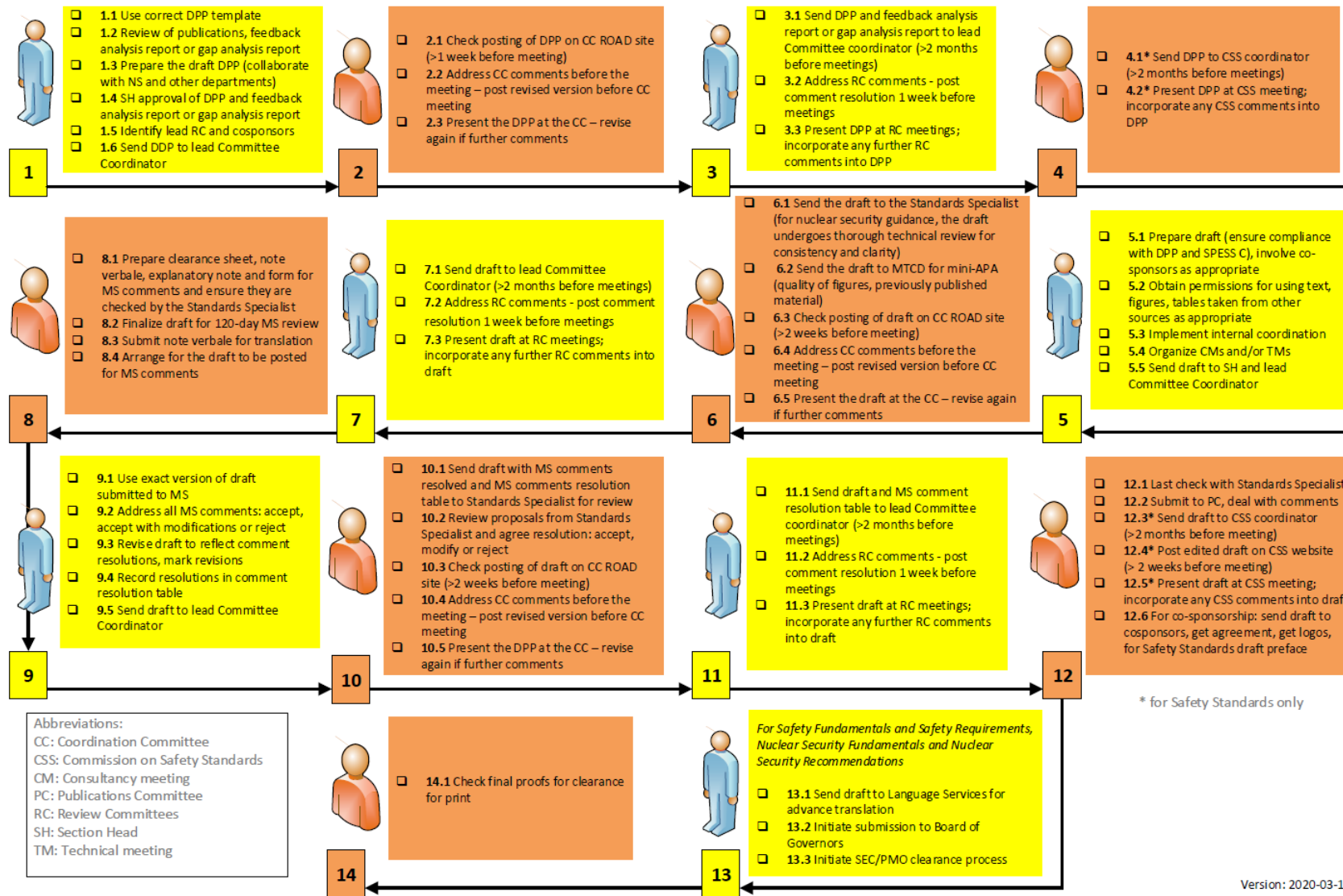
***OUTPUT: Published Safety Standard or Nuclear Security Guidance***

**ANNEX I**  
**Checklist for Technical Officers**

# SPESS B - CHECKLIST FOR TECHNICAL OFFICERS

DS/NST \_\_\_\_\_

Draft Title \_\_\_\_\_



Version: 2020-03-11

## ANNEX II

### Obtaining co-sponsorship of safety standards and nuclear security guidance

#### Co-sponsorship

The co-sponsorship of the IAEA Safety Standards or Nuclear Security Series publications aims at the enhanced exchange of information on the work activities of the co-sponsoring organizations and of any information relating to the development, review and revision of safety standards, and their experience in the application of the safety standards.

**Potential cosponsors** to be invited are the competent organs of the United Nations and its specialized agencies (such as CTBTO, FAO, ICAO, ILO<sup>37</sup>, IMO, OCHA, PAHO, UNECE, UNEP, UNODC, UPU, WCO, WHO), as well as other intergovernmental organizations that are competent in the field, such as the EC, the OECD/NEA<sup>38</sup> and Interpol.

Co-sponsorship has several **benefits**, including the following:

- Providing consistent advice and assistance to the various government agencies of the Member States.
- Establishing harmonized policies and approaches.
- Avoiding duplication of effort.

For IAEA safety standards, it is expected that co-sponsoring organizations will apply the co-sponsored publication, as appropriate:

- Safety Fundamentals: each cosponsor will use these as a basic policy statement.

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<sup>37</sup> Co-sponsorship of Safety Fundamentals and Safety Requirements is by the International Labour Organization; co-sponsorship of Safety Guides is by the International Labour Office.

<sup>38</sup> OECD/NEA has indicated that it will consider co-sponsorship of Safety Fundamentals and Safety Requirements, but not of Safety Guides.

- Safety Requirements: each cosponsor will use these as a basis for their own requirements in respect of their work and in their advice to their Member States.
- Safety Guides: each cosponsor would indicate the recognition that the Safety Guides represent good practice in meeting the requirements set out in the Safety Requirements.

### Process

The co-sponsoring organizations should be fully involved in the development of the publication (from as early a stage as possible) and into any future review and revision of the publication that they had already co-sponsored.

During the preparation of the DPP, the technical officer identifies and proposes potential co-sponsors for the development of the draft, and includes this information 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 Committees for review. The Secretariat would then formally approach (letter from DDG) the possible co-sponsor inviting co-sponsorship.

The technical officer should invite the co-sponsoring organizations to all consultancy meetings and/or Technical Meetings during the preparation of the document, and provide them with drafts, as they are developed, for review and comment.

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

The publication will only be published with the logos of co-sponsoring organizations after their written agreement has been obtained.

For safety standards, the co-sponsoring organizations will be requested to agree on a statement for inclusion in the publication setting out how the co-sponsorship of the publication will affect the activities of the co-sponsoring organization.

## **ANNEX III**

### **The Standards Specialist review**

The duties of the Standards Specialist 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 (draft) Nuclear Security Series Glossary 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

