SPESS F
Document Preparation Profile (DPP)
Version 1 September 2026

1. IDENTIFICATION

Document Category **General Safety Guide**

Working ID: **DS569**

Proposed Title: **Functions and Processes of the Regulatory Body for Safety**

Proposed Action: **Revision of GSG-13, Functions and Processes of the Regulatory Body for Safety**

Review Committee(s) or Group: **NUSSC (lead), RASSC, WASSC, TRANSSC, EPReSC and NSGC**

Technical Officer(s):Jong Kap KIM (NSNI/RAS), Jovica BOSNJAK (NSRW/RIT)

2. BACKGROUND

IAEA Safety Standards Series No. GSR Part 1 (Rev. 1), Governmental, Legal and Regulatory Framework for Safety, includes requirements on the essential elements needed to establish an effective regulatory body and to ensure regulatory control over facilities and activities utilized for peaceful purposes.

IAEA Safety Standards Series No. GSG-13, Functions and Processes of the Regulatory Body for Safety, provides recommendations on how to meet the requirements of GSR Part 1 (Rev. 1) relating to the regulatory body's core functions and the associated processes for ensuring the regulatory control of facilities and activities.

In 2024, NUSSC identified the application of a graded approach, the conduct of integrated safety assessments by the regulatory body, and the regulation of new technologies for nuclear and radiation facilities and activities as areas that are not sufficiently addressed in existing Safety Guides. As a result, NUSSC included the revision of GSG-13 in the implementation plan it developed in 2025, with a view to providing additional guidance on these topics.

3. JUSTIFICATION FOR THE PRODUCTION OF THE PUBLICATION

A feedback analysis was conducted recently (see report in the Annex), compiling feedback from Integrated Regulatory Review Service (IRRS) missions, a Secretariat-led gap analysis and NUSSC. The feedback analysis identified gaps in the guidance provided in GSG-13 against the requirements of GSR Part 1 (Rev. 1), including those relating to:

- Application of a graded approach to the regulation of nuclear installations;
- Application of a graded approach to the regulation of radiation sources;

- Integrated safety assessment of nuclear and radiation facilities and activities by the regulatory body;
- Establishment of an enforcement policy;
- Regulation of new technologies for nuclear and radiation facilities and activities.

The revision will ensure that GSG-13 remains technically up to date and readily implementable by Member States, while enhancing consistency with GSR Part 1 (Rev. 1) and other related publications, including GSG-12.

4. OBJECTIVE

The objective of the revision of GSG-13 is to provide updated and enhanced guidance on the functions and processes of the regulatory body for safety in line with the IAEA Safety Requirements, particularly GSR Part 1 (Rev. 1). The revision will address recent developments, including the application of a graded approach to regulatory functions, the implementation of integrated safety assessment within the review and assessment function, the establishment of an enforcement policy, and the regulation of new technologies, while maintaining the existing scope and approach of GSG-13.

The primary target audience comprises governments, regulatory bodies and their technical support organizations. The Safety Guide may also be relevant to applicants, licensees, and operating organizations.

5. SCOPE

The scope of the revised Safety Guide will remain unchanged from the existing version of GSG-13. It will cover the core functions of the regulatory body and the processes through which these functions are implemented throughout all stages of the lifetime of a facility or activity, from initial site evaluation and design to release from regulatory control.

The scope of this Safety Guide is limited to the regulation of safety and does not extend to nuclear security. However, recommendations are provided on the interfaces between nuclear safety and nuclear security.

6. PLACE IN THE OVERALL STRUCTURE OF THE RELEVANT SERIES AND INTERFACES WITH EXISTING AND/OR PLANNED PUBLICATIONS

This Guide interfaces with the following IAEA Safety Standards and related publications (the list is not intended to be exhaustive or final):

- INTERNATIONAL ATOMIC ENERGY AGENCY, Governmental, Legal and Regulatory Framework for Safety, IAEA Safety Standards Series No. GSR Part 1 (Rev. 1), IAEA, Vienna (2016).

- INTERNATIONAL ATOMIC ENERGY AGENCY, Leadership and Management for Safety, IAEA Safety Standards Series No. GSR Part 2, IAEA, Vienna (2016). (A revision of this publication is in preparation.)
- INTERNATIONAL ATOMIC ENERGY AGENCY, IAEA Nuclear Safety and Security Glossary: Terminology Used in Nuclear Safety, Nuclear Security, Radiation Protection and Emergency Preparedness and Response, 2022 (Interim) Edition, IAEA, Vienna (2022).
- EUROPEAN COMMISSION, FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS, INTERNATIONAL ATOMIC ENERGY AGENCY, INTERNATIONAL LABOUR ORGANIZATION, OECD NUCLEAR ENERGY AGENCY, PAN AMERICAN HEALTH ORGANIZATION, UNITED NATIONS ENVIRONMENT PROGRAMME, WORLD HEALTH ORGANIZATION, Radiation Protection and Safety of Radiation Sources: International Basic Safety Standards, IAEA Safety Standards Series No. GSR Part 3, IAEA, Vienna (2014).
- FOOD AND AGRICULTURE ORGANIZATION OF THE UNITED NATIONS, INTERNATIONAL ATOMIC ENERGY AGENCY, INTERNATIONAL CIVIL AVIATION ORGANIZATION, INTERNATIONAL LABOUR ORGANIZATION, INTERNATIONAL MARITIME ORGANIZATION, INTERPOL, OECD NUCLEAR ENERGY AGENCY, PAN AMERICAN HEALTH ORGANIZATION, PREPARATORY COMMISSION FOR THE COMPREHENSIVE NUCLEAR-TEST-BAN TREATY ORGANIZATION, UNITED NATIONS ENVIRONMENT PROGRAMME, UNITED NATIONS OFFICE FOR THE COORDINATION OF HUMANITARIAN AFFAIRS, WORLD HEALTH ORGANIZATION, WORLD METEOROLOGICAL ORGANIZATION, Preparedness and Response for a Nuclear or Radiological Emergency, IAEA Safety Standards Series No. GSR Part 7, IAEA, Vienna (2015). (A revision of this publication is in preparation.)
- INTERNATIONAL ATOMIC ENERGY AGENCY, Communication and Consultation with Interested Parties by the Regulatory Body, IAEA Safety Standards Series No. GSG-6, Vienna (2017).
- INTERNATIONAL ATOMIC ENERGY AGENCY, Managing Regulatory Body Competence, Safety Reports Series No. 79, IAEA, Vienna (2013).
- INTERNATIONAL ATOMIC ENERGY AGENCY, Nuclear Security Recommendations on Physical Protection of Nuclear Material and Nuclear Facilities (INFCIRC/225/Revision 5), IAEA Nuclear Security Series No. 13, IAEA, Vienna (2011). (A revision of this publication is in preparation.)
- INTERNATIONAL ATOMIC ENERGY AGENCY, Nuclear Security Recommendations on Radioactive Material and Associated Facilities, IAEA Nuclear Security Series No. 14, IAEA, Vienna (2011). (A revision of this publication is in preparation.)
- INTERNATIONAL ATOMIC ENERGY AGENCY, Establishing the Infrastructure for Radiation Safety, IAEA Safety Standard Series No. SSG-44, IAEA, Vienna (2018).

- INTERNATIONAL ATOMIC ENERGY AGENCY, Application of a Graded Approach in Regulating Nuclear Installations, IAEA TECDOC 1980, IAEA, Vienna (2021).
- INTERNATIONAL ATOMIC ENERGY AGENCY, Application of a Graded Approach in Regulating the Safety of Radiation Sources, IAEA TECDOC 1974, IAEA, Vienna (2021).
- INTERNATIONAL ATOMIC ENERGY AGENCY, Integrated Safety Assessment of Nuclear Installations by the Regulatory Body, IAEA TECDOC 1940, IAEA, Vienna (2021).
- INTERNATIONAL ATOMIC ENERGY AGENCY, Regulatory Enforcement Policy Development and Implementation, IAEA TECDOC 2089, IAEA, Vienna (2025).

7. OVERVIEW

The revised Safety Guide will retain the overall structure and table of contents of the existing edition of GSG-13. More detailed guidance on the application of a graded approach to the regulation of nuclear installations and radiation sources will be provided in the relevant subsections of Section 3. In addition, guidance on the implementation of integrated safety assessment within the review and assessment function, as well as on the regulation of new technologies for nuclear installations, will be included in Section 3.

An outline is provided below; however, the detailed content may be refined during the drafting process.

1. **INTRODUCTION**
2. **GRADED APPROACH TO FUNCTIONS AND PROCESSES OF THE REGULATORY BODY**
3. **CORE REGULATORY FUNCTIONS AND PROCESSES**

   Regulations and guides

   Notification and authorization

   Review and assessment of facilities and activities

   Inspection of facilities and activities

   Enforcement

   Emergency preparedness and response

   Communication and consultation with interested parties

APPENDIX I: PROVISION OF CONSUMER PRODUCTS

APPENDIX II: AUTHORIZATION CONDITIONS RELEVANT FOR CERTAIN STEPS OF THE AUTHORIZATION PROCESS FOR COMPLEX FACILITIES OR ACTIVITIES

APPENDIX III: TOPICS TO BE COVERED BY REVIEW AND ASSESSMENT

APPENDIX IV: REGULATORY INSPECTION AREAS FOR NUCLEAR FACILITIES

REFERENCES

CONTRIBUTORS TO DRAFTING AND REVIEW

8. PRODUCTION SCHEDULE: Provisional schedule for preparation of the publication, outlining realistic expected dates for each step

	A*
STEP 1: Preparing a DPP	DONE
STEP 2: Internal review of the DPP (Approval by the Coordination Committee)	Q3 2026
STEP 3: Review of the DPP by the review Committee(s) (Approval by review Committee(s))	Q4 2026
STEP 4: Review of the DPP by the CSS (approval by CSS) or information of the CSS on the DPP	Q2 2027
STEP 5: Preparing the draft publication	Q4 2028
STEP 6: First internal review of the draft publication (Approval by the Coordination Committee)	Q1 2029
STEP 7: First review of the draft publication by the review Committee(s) (Approval for submission to Member States for comments)	Q2 2029
STEP 8: Soliciting comments by Member States	Q3 2029
STEP 9: Addressing comments by Member States	Q4 2029
STEP 10: Second internal review of the draft publication (Approval by the Coordination Committee)	Q1 2030
STEP 11: Second review of the draft publication by the review Committee(s) (Approval of the draft)	Q2 2030
STEP 12: (For Safety Standards) Editing of the draft publication in MTCD and endorsement of the draft publication by the CSS	Q4 2030
STEP 13: Approval by the Board of Governors (for SF and SR only)	
STEP 14: Target publication date	Q2 2031

* • *Column A for Safety Fundamentals, Safety Requirements and Safety Guides.*

9. RESOURCES

The revision of the Safety Guide is estimated to require approximately 40 weeks of expert effort. This estimate is based on the assumption of four one-week consultants' meetings, with no more than five experts participating, and an average of one week of work per expert between meetings.

International Atomic Energy Agency staff resources are estimated at 15 weeks of effort from Technical Officers in NSNI/RAS and NSRW/RIT. Additionally, approximately 10 weeks of effort from Technical Officers in other divisions and sections will be required for consultation.

Annex: Feedback analysis report

This report compiles feedback from three key areas:

(a) Comments from IRRS missions uploaded to NSS-OUI during the period 2023–2025

(b) Secretariat-led gap analysis

(c) Implementation plan for Safety Standards developed by NUSSC in 2025

(a) Comments from IRRS missions uploaded to NSS-OUI during the period 2023–2025

During this past three-year period, several comments were made through the Integrated Regulatory Review Service (IRRS), regarding GSR Part 1 (Rev. 1), GSG-12, and GSG-13. These comments were subsequently uploaded to the Nuclear Safety Standards Online User Interface (NSS-OUI). The main comment relevant to GSG-13 is as follows:

- GSR Part 1 (Rev. 1), para. 4.46: Recommendations on how to establish an integrated safety assessment should be provided in a safety guide.

Guidance on integrated safety assessment is especially important for Member States embarking on nuclear power programmes and facing implementation challenges. The information provided in IAEA-TECDOC-1940, Integrated Safety Assessment of Nuclear Installations by the Regulatory Body, will be used as a basis for the development of the revised guidance.

(b) Secretariat-led gap analysis

The IAEA Secretariat led a gap analysis, the results of which supported the IRRS comments that sufficient guidance on how to comply with the GSR Part 1 (Rev. 1) requirements on the graded approach is not provided in the relevant Safety Guides. The current GSG-13 does not provide specific recommendations on the application of a graded approach to the core functions of the regulatory body. This issue will be addressed within each core function of the regulatory body by drawing on relevant TECDOCs.

The gap analysis also identified the need to provide additional recommendations to clarify the intent of GSR Part 1 (Rev. 1), particularly with respect to the following requirement:

— Requirement 1: National policy and strategy for safety

> The government shall establish a national policy and strategy for safety, the implementation of which shall be subject to **a graded approach** in accordance with national circumstances and with the radiation risks associated with facilities and activities, to achieve the fundamental safety objective and to apply the fundamental safety principles established in the Safety Fundamentals.

This requirement will be addressed in the revision of GSG-13 through additional recommendations on the application of a graded approach.

(c) Implementation plan for Safety Standards developed by NUSSC in 2025

The NUSSC implementation plan identified the following topics to be considered in the revision of GSG-13:

- Graded approach (TECDOC-1980 and TECDOC-1974), with additional guidance for each process;
- Integrated safety assessment by RB (TECDOC-1940), with additional guidance on review and assessment.