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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 the strategies and processes for the establishment of IAEA Safety Standards (SPESS) Version 3.3 – 23 May 2023					

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INTRODUCTION

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.

The first step in the establishment of a safety standard or a Nuclear Security Series publication is the development of a Document Preparation Profile (DPP). It is assumed that prior to this first step actions have been taken by the Secretariat to collect and analyse feedback on existing publications. The result of this is the feedback analysis report and is the first input into the steps described in this step-by-step manual for the revision of an existing publication. For a new publication, the first input is a gap analysis report. Different mechanisms can be used to collect information that might lead to the decision to produce a DPP, such as the following:

- Input from the medium term plan for the safety standards;
- Input from the long term plan for the safety standards;
- Input from the NSS roadmap for Nuclear Security Series publications;
- Proposals from members of the CSS and/or the Review Committees¹;
- Reports on the review of an existing publication or batch of publications;
- Existing informational publications presenting good practice in implementation of recommendations and guidance;
- Results and findings from IAEA review missions and advisory services;
- Feedback from Member States on the experience in the use and application of publications;
- Requests from Member States for additional guidance;
- Lessons identified from past events;

¹ Review Committees include EPreSC, NUSCC, RASSC, TRANSSC, WASSC and NSGC.

- Outcomes and reports of IAEA technical meetings and conferences;
- Consultancy meetings organized to collect information for drafting a DPP;
- Feedback through the NSS-OUI centralized feedback collection mechanism.

STRUCTURE

The main text of SPESS B presents a 14-step process for the establishment of IAEA Safety Standards and IAEA Nuclear Security Series Publications. 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. Checklists of tasks for Review Committee members and CSS members are set out in Annexes II and III, respectively. Annex IV describes the procedure for obtaining co-sponsorship of safety standards and Nuclear Security Series publications and Annex V lists the aspects covered by the review by the Standards Specialist. Annex VI synthesizes the overall review process for safety standards and Nuclear Security Series publications, including situations where an interface exists between the two series.

STEP 1: Preparing a Document Preparation Profile (DPP)

INPUT: Report on the review of an existing publication or batch of publications including a feedback analysis report, or a gap analysis report for a new publication; input from Review Committees' members; input from medium term plan; input from long term plan

Step 1a (preparing the DPP)

Division Director/Section Head:

- **Ensures** that **resources** for development of the safety standard or Nuclear Security Series 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 latest version of the relevant template (SPESS F)².
 - For a revision of a publication, or an addendum to a publication³, or for revision by batch⁴, 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 (status.doc)⁵.
- 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**

² Available on the NS Portal under KM Portal/NS Publications/Background important papers and as a template in MS Word under File/New/On my computer.../NS-Dept (IAEA-internal links).

³ An addendum is additional material added at the end of a publication to correct, clarify, or supplement something.

⁴ A batch is a set of interrelated publications of the same level (i.e. a batch of safety guides) or of different levels (i.e. safety requirements and associated safety guides). A batch of publications is covered by a single DPP and there is one lead technical officer.

⁵ <https://www-ns.iaea.org/committees/files/CSS/205/status.pdf>

draft DPP, and, if appropriate, proposes to the Section Head the addition of one or more co-technical officers from other areas. In this case, the lead technical officer is clearly indicated in the DPP.

- **Attaches the feedback analysis report** to the DPP for the revision of an existing publication or **the gap analysis report** for a new publication.
- **Obtains** Section Head **approval** (via internal approval process).
- **Proposes the relevant Review Committees** for the review of the DPP and the draft.
- **Proposes a lead Review Committee among EPreSC, NUSSC, RASSC, TRANSSC, WASSC and NSGC** for the review of the DPP and the draft.
- **Proposes potential co-sponsors** (see Annex IV, procedure for obtaining co-sponsorship).
- **Sends the DPP to the scientific secretary** of the lead Review Committee for the topical area.

Step 1b (first verification of the DPP)

Scientific secretary of the Review Committee:

Checks that the latest version of the template is used and that **the DPP template** is correctly filled out.

Knowledge products from Step 1: Draft DPP, 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 structure of the Safety Standards Series or the structure of the Nuclear Security Series, and for the lead Review Committee and other 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 Committee⁶ 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 scientific secretary of the lead Review Committee.

- **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 site⁷.

Step 2b (internal review of the DPP)

Before the meeting

Coordination Committee:

⁶ For the purpose of SPESS B, the term ‘Review Committees’ is used to refer to all Review Committees involved in the process unless otherwise specified.

⁷ 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>.

- **Reviews the draft DPP** and the feedback analysis report or gap analysis report according to its Terms of Reference⁸ 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 Review Committee and the other Review Committees** as well as the proposed **potential co-sponsors**.
- Provides a recommendation to the Interface Group on which Review Committees should be involved during the review and approval process of the proposed document.

⁸ Annex XII of SPESS A.

- Discusses and resolves further comments on the DPP.

Decides whether the DPP should be approved, rejected, or deferred to a future meeting for decision.

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
 - the process ends.

SH/SSDS:

- **For safety standards**, assigns a DS number to the project and **for Nuclear Security Series publications**, assigns an NST number to the project
- Includes the DPP as a **project on the status.doc**⁹.

Knowledge products for Step 2: Coordination Committee minutes confirming the approval of the DPP.

Other Knowledge products affected by Step 2: 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.

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

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 with feedback analysis report or gap analysis report for submission to the proposed Review Committees

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

Coordination Committee Secretary:

- **Sends the draft DPP with the feedback analysis report or gap analysis report to the Interface Group** with the recommendation from the Coordination Committee on which Review Committees should be involved during the review and approval process. (Exception: DPPs for Nuclear Security Technical Guidance are not generally sent to the Interface Group.)

Interface Group:

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

Technical officer:

- **Sends the draft DPP and the feedback analysis report or gap analysis report to the scientific secretary of the lead Review Committee** as soon as it is available and at the latest two months¹⁰ 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.

Scientific secretary of the lead Review Committee:

Puts the draft DPP on the agenda of the Review Committee(s) for discussion at its next meeting.

¹⁰ Technical officers are encouraged to upload draft DPPs earlier than two months before the next meeting of the first Review Committee, if the draft DPPs are ready.

- **Puts the draft DPP and the feedback analysis report or gap analysis report on the Review Committees’ web site**¹¹ 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.
- **Sends the draft DPP and the feedback analysis report or gap analysis report to scientific secretaries 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.

Scientific secretary of the Review Committee:

- **Sends an email** to the Review Committee members to make them aware that a draft DPP has been uploaded on the Review Committees’ web site for comments.

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

Review Committee(s):

Reviews the draft DPP in accordance with its Terms of Reference¹².

- **Posts** comments on the Review committees’ web site through the scientific secretary of the lead Review Committee three weeks in advance of the meeting.
- For revision of existing publication(s) complements the feedback analysis report prepared by the Secretariat to support the proposal by providing national feedback and experience from the implementation of the existing publication.

¹¹ 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>

For the Nuclear Security Series, draft DPPs for Nuclear Security Series publications and for interface documents are available for comment by NSGC members at the Nuclear Security Information Portal (NUSEC).

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

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**¹³. The comments should be listed according to their order of appearance in the text and not sorted by Member State.

Scientific secretaries of Review Committees:

Post the revised DPP — clean draft and draft in revision marked version¹⁴ — and the comments resolution table on the Review committee web site through the scientific secretary of the lead Review Committee for availability for the Review Committee(s) one week before the meeting of the first Review Committee to meet. For DPPs reviewed by safety Review Committees and the NSGC, the comments resolution table should include all comments from NSGC members and other Review Committees members.

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 template¹⁵.

Review Committee(s):

- **Resolves any outstanding issues;**

Decides whether the DPP should be approved/cleared, rejected, or deferred for future actions¹⁶ for decision making.

¹³ If there are unresolved comments, the technical officer may contact the reviewer directly and resolve the comments before the meeting.

¹⁴ Usually a Word document in track changes mode.

¹⁵ <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=47029102&objAction=browse&viewType=1>

- **For Nuclear Security Series publications**, the NSGC verifies the Review Committees involved in the review of the DPP and the draft.

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

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

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

Technical officer:

- **Evaluates comments** made in the Review Committee meeting(s).
- If the DPP was approved, incorporates comments in cooperation with the Chair of the lead Review Committee and proceeds to Step 4 for safety standards and documents with safety/security interfaces. For draft Nuclear Security Series publication without safety interfaces, proceeds to Step 5.
- If the draft DPP was not approved, either:
 - revises the draft DPP according to comments and returns to Step 3a or
 - implements the actions decided by the Review Committee; or
 - the process ends.

¹⁶ Such actions are at the discretion of the Review Committees: This may be deferring to the next normal meeting or organizing an extraordinary virtual meeting or mandating a working group to work on an appropriate resolution that is then submitted again to the Review Committees, for example through silent approval, or any other appropriate mechanism.

For safety standards, the scientific secretary of the lead Review Committee **posts** the revised DPP (including any changes made at the Review Committee meeting(s)) on the Review Committees' web site.

For nuclear security series publications, the scientific secretary of **the** NSGC **posts** the revised DPP (including any changes made at the Review Committee meeting(s)) on the Nuclear Security Information Portal (NUSEC). The SH/SSDS puts the DPP on the web site list of nuclear security guidance under development¹⁷.

SH/SSDS:

Updates the status.doc.

Knowledge products from Step 3: technical officer's presentation, Review Committee's comments resolution table.

Other Knowledge products affected by Step 3: status.doc, Review Committee minutes¹⁸ confirming the approval of the DPP.

Value added at Step 3: Validation, from a Member State point of view, of the need for a new publication or for the revision of an existing publication; validation of the scope and the place of the draft in the structure of the safety standards or the Nuclear Security Series, in accordance with the scope of the Review 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

¹⁷ <https://www.iaea.org/resources/nuclear-security-series/guidance-under-development>

¹⁸ Meeting reports of the Safety Standards Committees are available on <https://www-ns.iaea.org/committees/> and meeting reports of the NSGC are available on the NUSEC portal.

For Nuclear Security Series publications: Approved DPP with feedback analysis report as a basis for the drafting process

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 Series publication identified as an interface document, the scientific secretary of the CSS provides the DPP to the CSS for information, then go to Step 5.

For a DPP for a Nuclear Security Series publication not identified as an interface document, go to Step 5

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

Technical officer:

- **Sends the DPP and the feedback analysis report**, via the scientific secretary of the lead Review Committee, **to the scientific secretary of the CSS at least two months** before the next CSS meeting. For revision by batch longer timescales could be considered, as appropriate.

Scientific secretary of CSS:

- **Puts the DPP on the agenda** of the CSS for discussion at its next meeting;
- Puts the draft DPP on the CSS web site¹⁹ 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:

¹⁹ Draft DPPs and standards are available for comment by CSS members at <http://www-ns.iaea.org/committees/csscomments/default.asp>

- **Reviews the DPP** in accordance with its Terms of Reference²⁰ for endorsement of the decision of the Review Committees and provides comments three weeks in advance of the meeting.

Technical Officer:

Resolves the comments of the CSS members and updates the DPP²¹;

- Posts the updated DPP — clean draft and draft in revision marked version — on the CSS web site through the scientific secretary of the CSS 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;**
- **Verifies the Review Committees** involved in the review of the DPP and the draft;
- **Decides on the approval²²** 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.

²⁰ Annex VIII of SPESS A.

²¹ If there are unresolved comments, the technical officer may contact the reviewer directly and resolve the comment before the meeting.

²² If further changes are requested at the CSS meeting, the technical officer can implement the requested changes after the meeting and then silent approval may be used for the approval of the final text of the DPP.

- If the DPP was approved, incorporates the comments from the CSS, in cooperation with the Chair of the lead Review Committee, and proceeds to Step 5.
- If the DPP was updated, posts the revised DPP — clean draft and draft in revision marked version — on the CSS web site through the scientific secretary of the CSS.
- 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
 - the process ends.

SH/SSDS:

Updates the status.doc and places the newly approved DPP on the web site for safety standards under development²³.

Knowledge products from Step 4: CSS minutes confirming the approval²⁴,

Other Knowledge products affected by Step 4: 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 Review Committees to be involved in the review process and place in the structure of the safety standards.

Minimum time needed for Step 4: 2.5 months

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

²³ <https://www.iaea.org/resources/safety-standards/draft-standards>

²⁴ 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 or gap analysis report as a basis for the drafting process

Technical officer:

- **Proposes** external **experts**²⁵ 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 Review Committee(s) members, taking into account the policy on stakeholder involvement²⁶.
- **Convenes** one or more consultancy **meetings for drafting**, ensuring that the scheduling of meetings is appropriate.²⁷ (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 appropriate²⁸.
- **Keeps** the relevant scientific secretaries of the Review **Committees informed** of the status of the draft publication.

²⁵ External experts provide specialized advice for the development of drafts. The invitation of external experts is done in accordance with the existing IAEA procedures.

²⁶ For safety standards, see SPESS A Section 2.H

²⁷ Advice is provided in Part VII of the Administrative Manual <http://adminonline.iaea.org/AdminManual> (IAEA-internal link)

²⁸ 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 Meetings²⁹, as appropriate.**

Decides, together with the Section Head and the scientific secretary of the lead Review Committee, 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** scientific secretaries of the **Review Committees.**

- When modifications are made to the scope or the objective of the draft compared to the approved DPP³⁰, 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 from Step 5: successive versions of the draft, list of meetings and contributors, record of permissions obtained (if applicable).

Other Knowledge products affected by Step 5: status.doc.

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

²⁹ Advice is provided in Part VII of the Administrative Manual <http://adminonline.iaea.org/AdminManual> (IAEA-internal link)

³⁰ Changes to the scope or the objective of a DPP are considered as a significant change and should be made only on an exceptional basis.

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 Series publications, 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 queries³¹.

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;**

³¹ The Standards Specialist can conduct the review in parallel with the review by the Coordination Committee in Step 6. The time needed for the review will be agreed by the Standards Specialist and the technical officer.

Decides whether the draft should be approved, rejected, or deferred to a future meeting for decision.

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
 - the process ends.

SH/SSDS:

- **Updates** the status.doc

Knowledge products from Step 6: Coordination Committee minutes confirming the approval,.

Other Knowledge products affected by Step 6: status.doc, ROAD NS Knowledge Portal that keeps successive versions of the drafts submitted to the Coordination Committee.

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 scientific secretary of the lead Review Committee** 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.

Scientific secretary of the lead Review Committee:

- **Puts the draft on the agenda** of the lead Review Committee for discussion at its next meeting.
- **Puts the draft on the Review Committees' web site, or on the Nuclear Security Information Portal (NUSEC) for draft Nuclear Security Series publications to be reviewed only by the NSGC**, as soon as available and at the latest two months in advance of the next meeting³² 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 **scientific secretaries 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)

³² Technical officers are encouraged to upload drafts earlier than two months before the next meeting of the first Review Committee, if the drafts are ready.

Review Committee(s):

- **Reviews the draft** in accordance with its Terms of Reference.
- **Posts** comments three weeks before the meeting of the first Review 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**³³. The comments should be listed according to their order of appearance in the text and not sorted by Member State.

Scientific secretaries of Review Committees:

- **Posts** the revised draft — clean draft and draft in revision marked version³⁴ — and the comments resolution table on the Review committee web site through the scientific secretary of the lead Review Committee for availability for the Review Committee(s) one week before the meeting of the first Review Committee to meet. For drafts reviewed by safety Review Committees and the NSGC, the comments resolution table should include all comments from NSGC members and other Review Committee members.

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

Technical officer:

³³ If there are unresolved comments, the technical officer may contact the reviewer directly and resolve the comment before the meeting.

³⁴ Usually a Word document in track changes mode.

- **Presents the draft publication** and the resolution of comments using the appropriate presentation template³⁵.

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 whether the draft is approved or cleared, for proceeding with the Member States consultation or whether the draft is rejected or deferred for future actions³⁶ for decision making.

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

Chairs 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 Review Committees**. (If Chairs are unable to resolve issues, return to the Secretariat for further revision and hence again to Step 7a.)

Technical officer:

- **Evaluates comments** made at the Review Committee meeting(s).
- If the draft was cleared, incorporates agreed changes in cooperation with the Chair of the lead Review Committee and proceeds to Step 8.
- If the draft was not cleared, either:

³⁵ <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=47029102&objAction=browse&viewType=1>

³⁶ Such actions are at the discretion of the Review Committees: This may be deferring to the next normal meeting or organizing an extraordinary virtual meeting or mandating a working group to work on an appropriate resolution that is then submitted again to the Review Committees, for example through silent approval, or any other appropriate mechanism.

- revises the draft according to the comments and returns to Step 7a; or
- reverts to Step 5 for further drafting; or
- implements the actions decided by the Review Committee; or
- the process ends.

Chair of lead Review Committee:

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

SH/SSDS:

- **Updates the status.doc**

Knowledge products from Step 7: technical officer's presentation, Review Committees' comments resolution table.

Other Knowledge products affected by Step 7: status.doc, Review Committee minutes confirming the approval.

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 review³⁷)

Technical officer:

- **Prepares clearance sheet** for submission of draft publication and collects relevant signatures following the detailed MTCD procedures.
- **Prepares the note verbale and attachments** (explanatory note and form for soliciting formal comments from Member States) and ensures that they are checked by the Standards Specialists for safety standards or by the scientific secretary of the NSGC for Nuclear Security Series publications before sending them to MTCD.
- **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.

Provides the draft, the DPP and the explanatory note to the safety and security web site editor **so that this is uploaded** to the safety standards web site³⁸ to solicit formal comment from Member States.

³⁷ 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.

- **Updates** the status.doc

Scientific secretary of the lead Review Committee:

- **Alerts** Member States representatives on the respective Review Committee by email that a draft standard or draft Nuclear Security Series publication 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 (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. Comments are sent to the responsible IAEA officer through the established official channels.

Knowledge products from Step 8: record of Member State comments.

Other Knowledge products affected by the Step 8: status.doc.

Value added at Step 8: International consensus building

Minimum time needed for Step 8: 5-7 months

OUTPUT: Member States comments on draft publication

³⁸ 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 form³⁹ 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 table⁴⁰. 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 scientific secretaries of the lead Review Committee** for submission to the Coordination Committee.

⁴⁰ The draft may include significant changes following the resolution of Member States' comments.

Knowledge products from Step 9: record of comments from Member States and their resolution.

Other Knowledge products affected by Step 9: status.doc.

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 that incorporates the Member States' comments

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, as appropriate.

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**⁴¹ of the draft according to the aspects set out in Annex IV 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:

⁴¹ The Standards Specialist's review can be implemented in parallel to the submission to the Coordination Committee. The time needed for the review will be agreed by the Standards Specialist and the technical officer.

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. The draft can be cleared, rejected, or deferred to a future meeting for decision.

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
 - the process ends.

Step 10c (Standards Specialist review of the draft).⁴²

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 scientific secretary of the lead Review Committee for **uploading to the Review Committees' 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 from Step 10: Coordination Committee minutes confirming the approval, draft in track changes, draft version control

Other Knowledge products affected by the Step 10: status.doc.

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

⁴² 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.

*Committee(s) as well as a list of any substantial changes from the Standards
Specialist review*

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 scientific secretary of the lead Review Committee** as soon as these are available and at the latest two months⁴³ 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.

Scientific secretary of the lead Review Committee:

- **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 Committees' 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 the scientific secretaries of other Review Committee(s), as necessary.

SH/SSDS

For draft Nuclear Security Series publications that will be submitted to the Board of Governors, consults OLA.

⁴³ Technical officers are encouraged to upload the draft and the Member States' comments resolution table earlier than two months before the next meeting of the first review Committee, if these are ready.

Step 11b (before the Review Committee(s) meeting(s))

Review Committee(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 draft⁴⁴.

Scientific secretaries of Review Committees:

- **Post** the revised draft — clean draft and draft in revision marked version⁴⁵ — and the comments resolution table on the Review Committee web site through the scientific secretary of the lead Review Committee for availability for the Review Committee(s) one week before the meeting of the first Review Committee to meet. For drafts reviewed by safety Review Committees and the NSGC, the comments resolution table should include all comments from NSGC members and other Review Committee members.

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

Technical officer:

⁴⁴ If there are unresolved comments, the technical officer may contact the reviewer directly and resolve the comment before the meeting.

⁴⁵ Usually a Word document in track changes mode.

- **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 templates⁴⁶.

Review Committee(s), at the meeting:

- **Resolves any outstanding issues** on how Member State comments have been addressed.

Decides on whether the draft is approved or cleared for proceeding to the next step or whether the draft is rejected or deferred for future actions⁴⁷ for decision making.

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 Review 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 scientific secretary of the lead **Review Committee** on the Review Committees' website and proceeds to Step 12.
- If the draft was not approved, either:

⁴⁶ <http://kc.iaea.org/livelink/livelink.exe?func=ll&objId=416747&objAction=browse>

⁴⁷ Such actions are at the discretion of the Review Committees: This may be deferring to the next normal meeting or organizing an extraordinary virtual meeting or mandating a working group to work on an appropriate resolution that is then submitted again to the Review Committees, for example through silent approval, or any other appropriate mechanism.

- revises the draft according to the comments and returns to Step 11a; or
- implements the actions decided by the Review Committee; or
- the process ends.

Chair of lead Review Committee:

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

SH/SSDS:

- **Updates** the status.doc

Knowledge products from Step 11: records of Standards Specialist's changes and suggestions, technical officer's presentation, Review Committees' comments resolution table.

Other Knowledge products affected by Step 11: status.doc, Review Committee(s) minutes confirming the approval.

Value added at Step 11: Validation of the consideration of Member States' comments; conformance with requirements of the Safety Standards Series or Nuclear Security Series, the IAEA Nuclear Safety IAEA Security 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**⁴⁸ for approval for editing, allowing at least six weeks for approval.

Publications Committee:

- **Reviews draft publication** in accordance with its Terms of Reference⁴⁹, 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.

⁴⁸ 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

⁴⁹ 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** process⁵⁰ 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 scientific secretary of the CSS** at least two months before the next CSS meeting⁵¹.

Scientific secretary of the CSS:

- **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.

SH/SSDS

For drafts that will be submitted to the Board of Governors, consults OLA.

CSS:

⁵⁰ See <https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/Pages/pnps.aspx> (IAEA-internal link)

⁵¹ 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 silent approval procedure on the final edited text.

Reviews the draft standard for endorsement of the decision of the Review 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.)

During the meeting

Technical officer:

- **Presents the draft standard** together with proposals with regard to the resolution of CSS comments using the appropriate template⁵².

CSS:

Addresses outstanding issues.

- **Decides on endorsement** of the approval of the draft safety standard by the Review Committee(s).

After the meeting

Technical officer:

- If the Review 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 Review Committee, and proceeds to Step 13.
- If the Review Committees' decision was not endorsed, either:
 - revises the draft according to the comments and returns to the beginning of Step 12B; or
 - the 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

⁵² <http://kc.iaca.org/livelink/livelink.exe?func=ll&objId=47029102&objAction=browse&viewType=1>

statement for inclusion in the draft setting out how the co-sponsorship of the publication will affect the activities of the organization.

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: CSS minutes confirming the endorsement, PC meeting minutes confirming the approval.

Other Knowledge products affected by Step 12: status.doc.

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

Minimum time needed for Step 12: 4.5 months (2 + 2.5)

OUTPUT: Endorsed decision on approval of the draft publication

STEP 12 for Nuclear Security Series publications: 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**⁵³, 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**⁵⁴.
- **Organizes** accordingly the **further consultation steps** as decided by the DDG, until the draft is cleared for submission to the PC by the DDG.

⁵³ 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)

⁵⁴ See <http://www-ns.iaea.org/committees/files/adsec/820/FinalReportoftheJointSession.pdf>

Publications Committee:

- **Reviews draft publication** in accordance with its Terms of Reference⁵⁵, 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 Review 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** process⁵⁶ 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 Series publications: 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

⁵⁵ The Terms of Reference of the Publications Committee are set out in <http://adminonline.iaea.org/AdminManual/documents/amp1s14pF.pdf> (IAEA-internal link)

⁵⁶ See <https://iaeacloud.sharepoint.com/sites/intranet/wp/publishingandprinting/Pages/pnps.aspx> (IAEA-internal link)

OUTPUT: Endorsed draft publication

STEP 13: Approval by the Board of Governors

For Safety Fundamentals and Safety Requirements, Nuclear Security Fundamentals and Nuclear Security Recommendations⁵⁷: 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 process⁵⁸.

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 Series 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 SH/SSDS, who consults with the Chair of the lead Review Committee and, where appropriate, the Chair of the CSS, and proceeds to Step 14.
- If the draft was not approved, either:

⁵⁷ Need confirmation that Nuclear Security Fundamentals and Recommendations have to be submitted to the BoG

⁵⁸ See detailed internal procedure set out under S:\NSOC-Public\Quality Management\Procedures\Submission of BoG and GC docs

- revises the draft according to the comments in consultation with the SH/SSDS, who consults with the Chair of the lead Review Committee and, where appropriate, the Chair of the CSS and returns to Step 13; or
- the process ends.

SH/SSDS:

- **Updates** the status.doc.

Knowledge products for Step 13: BoG minutes

Other Knowledge products affected by Step 13: status.doc.

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

Minimum time needed for Step 13: 3.5 months

OUTPUT: Approved IAEA safety standard or IAEA Nuclear Security Series document for publication

STEP 14: Publication

INPUT: Approved safety standard or Nuclear Security Series document 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 the SH/SSDS that a new safety standard is published/translation is complete.

Informs the SH/SSDS and the scientific secretary of the NSGC that a new nuclear security series publication 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 Series publications.

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 IAEA web site**.

Knowledge products for Step 14: published document with cover and forward.

Other Knowledge products affected by Step 14: status.doc, Safety Standards web page, Nuclear Security Series webpage, table of superseded publications, NSS-OUI.

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

Minimum time needed for Step 14: 1 month

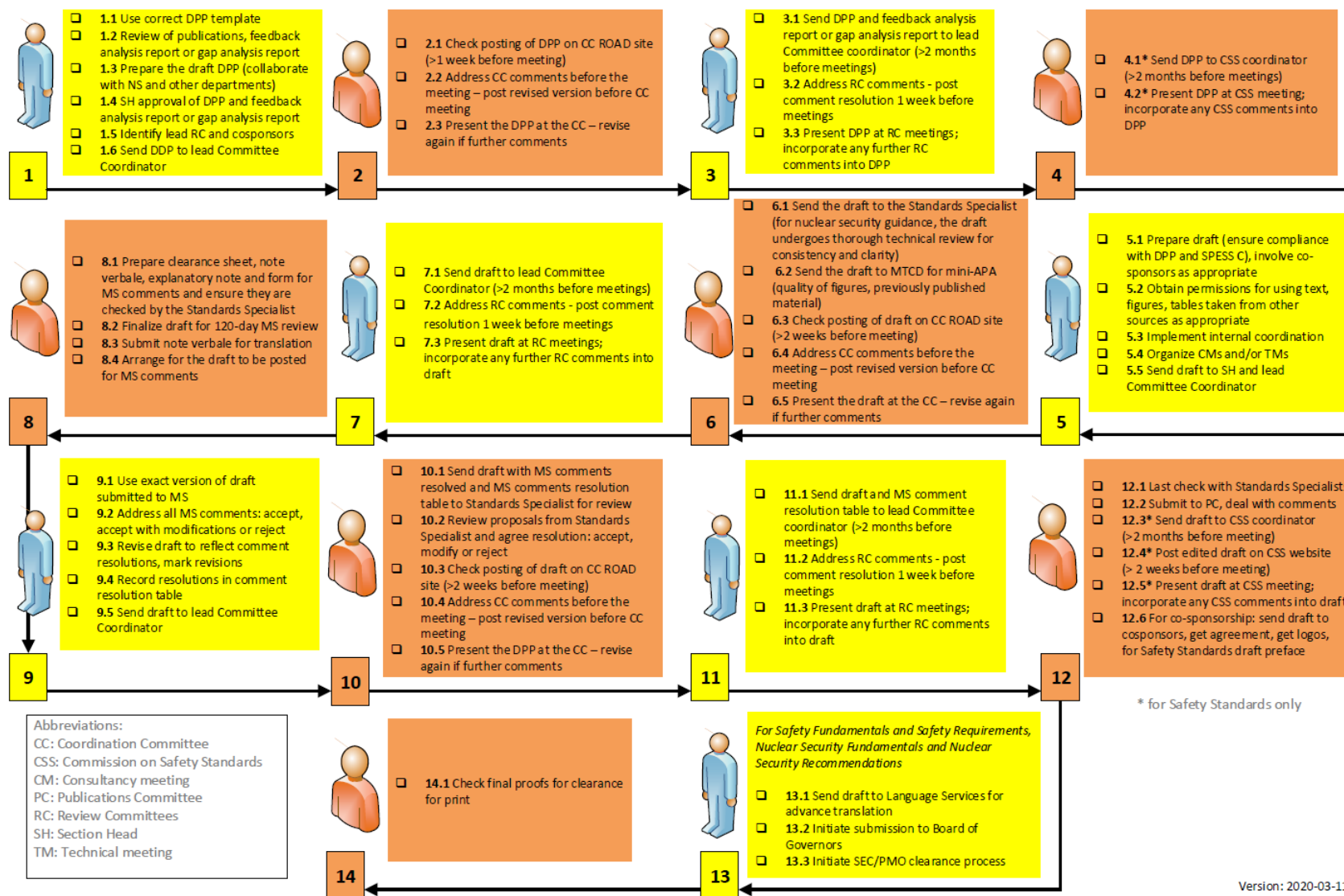
OUTPUT: Published Safety Standard or Nuclear Security Series publication

ANNEX I
Checklist for Technical Officers

SPESS B - CHECKLIST FOR TECHNICAL OFFICERS

DS/NST

Draft Title



ANNEX II

Checklist for Review Committee members

This annex is intended to provide information on the steps of SPESS B where Review Committee members are involved.

Step 3: Review of the DPP

Before the meeting of the Review Committee:

- Review the draft DPP considering the following:
 - Whether the title is appropriate;
 - Who can be potential co-sponsors;
 - What this publication is aiming to achieve;
 - Why this specific topic needs to be addressed;
 - Why this specific publication is needed;
 - How the proposed publication fits with other publications in the series;
 - What the scope of the proposed publication is;
 - Who the target audience of the proposed publication is.
- Post comments on the Review committees' web site through the scientific secretary of the lead Review Committee three weeks in advance of the meeting.
- For revision of existing publications provide feedback on the use of the publications and provide national feedback and experience from the implementation of the existing publication.

At the meeting of the Review Committee:

- Resolve any outstanding issues;
- Decide whether the DPP should be approved/cleared, rejected, or deferred to future meeting for decision.

Step 7: First review of the draft by the Review Committees

Before the meeting of the Review Committee:

- Review the draft, considering the following:
 - Whether the draft is consistent with the DPP;
 - Whether the objective and scope are addressed properly;
 - Whether the draft has the required technical accuracy, overall flow and level of detail to be sent to Member States.
 - For interface documents: Could the security measures in draft NSS publications compromise safety? Could the safety measures in draft Safety Standards compromise security?
- Post comments three weeks before the meeting of the first Review Committee to meet.

At the meeting of the Review Committee:

- Address outstanding issues.
- Decide on whether the draft is approved or cleared for proceeding with the Member States consultation or whether the draft is rejected or deferred to future meeting for decision.

Step 11: Second review of the draft by the Review Committees

Before the meeting of the Review Committee:

- Review the draft to ensure that Member States' comments have been appropriately taken into account and that consensus has been achieved, and provide comments accordingly.⁵⁹
- Post comments at least three weeks in advance of the meeting of the first Review Committee.

At the meeting of the Review Committee:

- Resolve any outstanding issues on how Member State comments have been addressed.
- Decide on whether the draft is approved or cleared for proceeding to the next step or whether the draft is rejected or deferred to future meeting for decision.

⁵⁹ 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.

ANNEX III

Checklist for CSS members

This annex is intended to provide information on the steps of SPESS B where CSS members are involved.

Step 4: Review of the DPP by the CSS

Before the meeting of the CSS:

- Review the DPP in accordance with the Terms of Reference⁶⁰ for endorsement of the decision of the Review Committees
- Provide comments three weeks in advance of the meeting.

At the meeting of the CSS:

- Resolve any outstanding issues;
- Verify the Review Committees involved in the review of the DPP and the draft;
- Decide on the approval of the DPP. If further changes are requested at the CSS meeting, the technical officer can implement the requested changes after the meeting and then silent approval⁶¹ may be used for the approval of the final text of the DPP.

Step 12: Endorsement of the draft publication by the CSS

Before the meeting of the CSS:

- Review the draft standard for endorsement of the decision of the Review Committee(s).

⁶⁰ Annex VIII of SPESS A.

⁶¹ In the CSS, the silent approval process involves posting an updated version of the DPP or draft on the CSS website. If CSS members do not post comments indicating their objection within a given time frame, then the DPP or draft is considered to be approved. CSS members can choose to send minor comments to the Scientific Secretary of the CSS by email, in which case small mistakes can be corrected without breaking the silence.

- Provide comments at least two weeks in advance of the meeting. (At this stage it is not expected to submit new technical comments.)

During the meeting:

- Address outstanding issues.
- Verify that all Review Committees involved are satisfied with the submitted draft.
- Decide on endorsement of the approval of the draft safety standard by the Review Committee(s). (In accordance with the Agency's preparation and review process for safety standards, the texts of the Safety Fundamentals and Safety Requirements are endorsed to be submitted to the Board of Governors for approval and the text of the Safety Guides is endorsed to be issued under the authority of the Director General.)

ANNEX IV

Obtaining co-sponsorship of safety standards and Nuclear Security Series publications

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 or Nuclear Security Series publications, and their experience in the application of the safety standards or the Nuclear Security Series publications.

Potential co-sponsors to be invited are the competent organs of the United Nations and its specialized agencies (such as CTBTO, FAO, ICAO, ILO⁶², IMO, OCHA, PAHO, UNECE, UNEP, UNODC, UNOOSA, UPU, WCO, WHO, WMO), as well as other intergovernmental organizations that are competent in the field, such as the EC, the OECD/NEA⁶³ and Interpol.⁶⁴

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 co-sponsor will use these as a basic policy statement.
- Safety Requirements: each co-sponsor will use these as a basis for their own requirements in respect of their work and in their advice to their Member States.

⁶² 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.

⁶³ OECD/NEA has indicated that it will consider co-sponsorship of Safety Fundamentals and Safety Requirements, but not of Safety Guides.

⁶⁴ The potential co-sponsors normally have a representative as observer in the review Committees or the NSGC.

- Safety Guides: each co-sponsor would indicate the recognition that the Safety Guides represent good practice in meeting the requirements set out in the Safety Requirements.

For Nuclear Security Series publications, it is expected that co-sponsoring organizations will apply the co-sponsored publication, as appropriate:

- Nuclear Security Fundamentals: each co-sponsor will use these as a basic policy statement for the objective and essential elements of a nuclear security regime.
- Nuclear Security Recommendations: each co-sponsor will use these as a basis for their own recommendations in respect of their work and in their advice for measures and recommended requirements to their Member States.
- Nuclear Security Implementing Guides: each co-sponsor would indicate the recognition that the Implementing Guides represent good practice in implementing the recommended requirements set out in the Nuclear Security Recommendations.
- Nuclear Security Technical Guidance: each co-sponsor would indicate the recognition that the Technical Guidance publications provide information and detailed guidance on methods and techniques for implementing the measures set out in the Nuclear Security Recommendations.

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 V

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 Nuclear Safety and Security 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 VI. Overall process for safety standards and nuclear security series publications

