6th Meeting of the Emergency Preparedness and Response Standards Committee (EPReSC)

12 – 14 June 2018
(Agenda Item 2.7)

DPP DS513 Leadership, Management and Culture for Safety (revision and merging of GS-G-3.1 and GS-G-3.5)

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Justification

Two guides are to be reviewed and revised:

Application of the Management System for Facilities and Activities GS-G-3.1

The Management System for Nuclear Installations GS-G-3.5

And new guidance will be incorporated specifically on Leadership for Safety.
Objective and Scope

- The DS513 is the proposal for developing a guide that covers the scope of Leadership and Management for safety GSR part 2.
- Providing the generic guidance on the basis of Leadership, Management and Culture for Safety and their balanced approach.
- Target audience are the Operating Organizations for facilities and activities, Regulatory bodies, TSOs and government organizations.
- Major themes are
  - Management for safety, including graded approach and IMS;
  - Leadership for safety;
  - Culture for safety;
  - The assessment, measurement, assessment and improvement approaches.
- NUSSC is the lead committee but RASC, EPR\textsc{e}SC, WASSC, TRANSSC and NSGC will have regular updates.
Interfaces with Existing and/or Planned Publications

Requirements

Nuclear Installations

NEW Guidance on
- Leadership

REVISED Guidance on
- Safety culture
- Integrated management Systems
- Graded approach
- Measurement, assessment, Improvement.

Other Guidance

SSG-26
Transport

SSG-8
SSG-11
DS399
DS419
DS420
DS434
DS453
DS459
DS471

SSG-23
SSG-29
SSG-31
SSG-40
SSG-41
DS454
WS-G-5.2
WS-G-6.1

GSG-13
SSG-25
SSG-39
DS497
NS-G-2.13
DS483
DS485

SSG-12
DS455
DS472
DS486

Regulatory Body

Radiation Safety

IAEA Nuclear Security Series – 13/14/15/20

Security

Emergency Preparedness and Response series

NPPs

Other installations

Waste & Decommissioning

Leadership

Safety culture

Integrated management Systems

Graded approach

Measurement, assessment, Improvement.
Interfaces with Existing and/or Planned Publications

- Review on interface has found:
  - No guidance as to how leadership supports management and how leadership and management is mutually dependent on Organizational Culture and the safety culture developed as part of that culture.
  - No guidance on developing leadership for safety in the other guides (except Tech doc for emergency NG-T-1.5)
  - No guidance on the fostering and development of safety culture in other guides
  - Some guidance on graded approach but not with respect to small organizations
  - Some guidance on how to Integrated Management Systems
  - Some detailed guidance on management in a particular context.

Interfaces with the existing and in-production guides will be part of the ongoing development of the guide to ensure the inclusion of other guides generic good practices and prevent contradiction.

The proposal is to establish core or fundamental aspects of Management, Leadership and Culture for safety which can be applied in a graded approach and with the support of an IMS.
Proposed Structure

As the Structure is a proposal, only the high level content is identified in the DPP:

Chapter 1 Guide on Generic requirements of GSR part 2
- Individual and Senior (Top) management accountability
- Regulator and other interface organizations role.
- Integrated management system
- Graded approach
- Safety and Security interfaces
- Generic requirements embedded in all standards (Requirement 6,7,12)

Chapter 2 Leadership and Culture for safety
- Role of leadership in safety
- Fostering of a strong safety culture
- Requirements 1,2,12

Chapter 3 Management for safety
- Management Responsibility
- Management system
- Resource management
- Process implementation
- Requirements 3-11

Chapter 4 Measurement Assessment and Improvement
- Management system assessment
- Leadership and Culture for safety assessment
- Independent assessment and self-assessment
- Improvement processes
- Requirements 13, 14
### Planned Schedule

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<th>STEP 1: Preparing a DPP</th>
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<td>STEP 2: Approval of DPP by the Coordination Committee</td>
<td>Q3 2017</td>
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<td>STEP 3: Approval of DPP by the relevant review Committees</td>
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<td>STEP 4: Approval of DPP by the CSS</td>
<td>Q4 2018</td>
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| STEP 5: Preparing the draft  
A TM is organized for identifying member state practices in relation to GSR-Part 2  
10-12 July 2017  
A CS is organized to identify the structure of the GSG –Part 2 24-27 July 2017  
2 CSs will be organized for the preparation of the draft Q2 2018  
Other CSs and work during 2018/2019 | Q3 2019 |
| STEP 6: Approval of draft by the Coordination Committee | Q4 2019 |
| STEP 7: Approval by the relevant review Committees for submission to Member States for comments | Q1 2020 |
| STEP 8: Soliciting comments by Member States | Q2 2020 |
| STEP 9: Addressing comments by Member States | Q4 2020 |
| STEP 10: Approval of the revised draft by the Coordination Committee  
Review in NS-SSCS | Q1 2020 |
| STEP 11: Approval by the relevant review Committees | Q2 2021 |
| STEP 12: Endorsement by the CSS | Q4 2021 |
| STEP 13: Establishment by the Publications Committee and/or Board of Governors (for SF and SR only)) | Q1 2022 |
| STEP 14: Target publication date | Q4 2022 |
Comments and Resolutions

There are Comments on DPP by:

Canada
China
Finland
France
Germany
Iran
Japan
Pakistan
Turkey
USA

There are:

76 comments

• 43 accepted and DPP modified.
• 11 “accepted but modified” and DPP edited.
• 22 rejected and reason documented in comments tables to be uploaded.
Requirements specific to Emergency Response

1.13. This Safety Requirements publication applies to registrants and licensees throughout the lifetime of facilities and the duration of activities, for all operational states and for accident conditions, and in a nuclear or radiological emergency.

**Requirement 1: Achieving the fundamental safety objective**
- (f) Shall ensure that adequate arrangements are made where appropriate for preparedness and response for a nuclear or radiological emergency.

**Requirement 9: Provision of resources**
- 4.21. Senior management shall make arrangements to ensure that the organization has in-house, or maintains access to, the full range of competences and the resources necessary to conduct its activities and to discharge its responsibilities for ensuring safety at each stage in the lifetime of the facility or activity, and during an emergency response.

( Taking note of Tech Doc NG-T-1.5 Leadership, Human Performance and Internal Communication in Nuclear Emergencies)
Action Requested

*EPReSC is asked for their approval for submission to the CSS.*
Thank you!