Agenda Item W5.5
DPP for Draft Safety Guide DS513:
Leadership, Management and Culture for Safety
(Revision and combination of GS-G-3.1 and GS-G-3.5)
– For information –

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Justification

The guides being revised GSG 3.1 Application of the Management System for Facilities and Activities 2006 and 3.5 The Management System for Nuclear Installations 2009 require updating with respect to the:

• GSR Part 2 Leadership and Management for Safety 2016 New and revised requirements.
• Change to the Long Term Structure of the IAEA Safety Standards;
• Feedback from the users of IAEA Safety Standards;
• Revisions implemented in the other safety standards and, in particular, the IAEA Safety Requirements SSR-2/2 Rev. 1( 2016);
• Experience gained with various peer review missions e.g. OSART, ISCA, IRRS, INSARR, missions.
• Recent changes in operational practices, and embarking countries’ experiences;
• Practices in other facilities and activities e.g. medical and decommissioning;
• New design technologies and new build.
• Actions taken in response to lessons from the Fukushima Daiichi accident and other events in the nuclear industry.
Objective and Scope

The existing Safety Guides,

• GS-G-3.5 published 2009, ‘The Management System for Nuclear Installations’ and

supported the Safety Requirements publication GS-R-3 published 2006, on ‘The Management System for Facilities and Activities’.

The Safety Requirements publication GS-R-3 has now been revised and published in June 2016 as GSR-Part 2, ‘Leadership and Management for Safety’. This new publication is covering new topics e.g. leadership for safety, and leadership and culture for safety continuous improvement and assessment. Other areas have been strengthened e.g. supply chain, interested parties and the interface with security.

This new guide will support the implementation of GSR part 2 Leadership and management for safety.

SCOPE : These guides will be merged into 1 guide to give guidance to all nuclear installations, facilities and activities.

Target Audience : This will be operators and regulators who have responsibility for Management, Leadership and Culture for safety development inside their organization.

Major Themes to be covered :

• Responsibility for safety and the safety fundamental principle 1 & 3.
• Management for Safety
• Leadership for Safety
• Culture for Safety
• Measurement, assessment and continuous improvement

Lead Committee will be NUSSC – but the guide will be seen by all Committees including security.
Development of Guides

GS-R-3 Detailed aspects that will need to be incorporated into GSR part 2 guides.

Chapter 1 Guide on Generic requirements of GSR part 2
- Integrated management system
- Graded approach
- Safety and Security interfaces
- Generic requirements embedded in all standards

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
- Leadership and Culture for safety
- Requirements 13, 14
Development of Guides

GS-R-3 Detailed aspects that will need to be incorporated into GSR part 2 guides.

Chapter 1 Guide on Generic requirements of GSR part 2
- Requirement 1, 6, 7
- Integrated management system
- Graded approach
- Safety and Security interfaces
- SSG 22
- INSAG 24
- INSAG 27
- IAEA TECDOC No. 1740

Chapter 2 Leadership and Culture for Safety
- Requirements 2, 12
- Safety Report Series 74,
- Safety Report Series 83
- Safety Report Series 42
- Safety Report Series 11

Chapter 3 Management for safety
- Requirements 3-11
  - GS-G-3.1
  - [GS-G-3.2, 3.3, 3.4,]
  - GS-G-3.5
  - TS-G 1.4
  - SSG 1.6
  - GSG 5
  - WSG 1.2
  - WSG 2.7
  - SRS 75
  - SSR 74
  - DS 4762
  - DS 473
  - DS460
  - DS492
  - Tech doc 1501
  - Tech Doc 1711
  - Tech doc 1762
  - NG-G-3.1
  - NG-T 1.1
  - NG-13.10
  - Safety Reports Series No. 75

Chapter 4 Measurement Assessment and Improvement Chapter 4
- Requirements 13, 14
- Safety Report Series 83
- Services series 32
- GS-G-3.1
- [GS-G-3.2, 3.3, 3.4,]
- GS-G-3.5
- Tech Doc 1141
- Tech Doc 1707
- Tech Doc 1491
Development of Guides — work streams

GS-R-3 Detailed aspects that will need to be incorporated into GSR part 2 guides.

Chapter 1 Guide on Generic requirements of GSR part 2
- Integrated management system
- Graded approach
- Safety and Security interfaces
- CSs on Safety and Security Interfaces (OSS and Transport)
- CRP on Organisational Factors

Chapter 2 Leadership and Culture for Safety
- LeaD project
- Safety Leadership School
- Workshop for senior managers in Leadership and safety culture
- Workshop for Systemic approach to safety
- Harmonization of Safety Culture frameworks
- Human and Organizational Aspects of Assuring Nuclear safety 2016
- International Conference on Quality, Leadership and Management in the Nuclear Industry July 2018

Chapter 3 Management for safety
- CS on Comparison of International standards and Quality systems
- CRP meetings on organisational factors
- Third International Conference on Human Resource Development for Nuclear Power Programmes May 2018

Chapter 4 Measurement Assessment and Improvement
- ISCA experience
- Safety Culture Self assessment experience
- OSART/IRRS/INSARR

TM on development of Guide July 2017
CS on review of Guide information July 2017
CSs on development of guide May and July 2018
Proposed Structure

- **Introduction**
  - Management, leadership and culture for safety overview.
  - Safety Security Interface.
  - Application of the graded approach to organisations of different types and complexity.

- **Section 1: Responsibility for safety and guidance on Requirement 1: Achieving the fundamental safety objective.**
  - Senior Leadership accountability.
  - Individual responsibility.
  - Application of defense-in-depth and strength-in-depth in the area of management, leadership and culture for safety.

- **Section 2: The leadership and fostering of culture for safety in facilities and activities that give rise to radiation risks**
  - Leadership for safety Introduction.
  - Leadership for safety and guidance on Requirement 2: Demonstration of leadership for safety by Managers .
    - Senior management leadership for safety.
    - Management leadership for safety at all levels.
    - Leadership for safety by function personnel or technical specialists.
  - Culture for safety Introduction.
    - Guidance on Requirement 12: Fostering a culture for safety including safety culture promotion.
    - An attribute framework for safety culture .
    - Sustaining a safety culture.

- **Section 3: The management of facilities and activities that give rise to radiation risks**
  - Introduction.
  - Management for safety and responsibility for integration of safety into the management system, including effectiveness of the management system for human performance.
    - Guidance on Requirement 3: Responsibility of senior management for the management system.
    - Guidance on Requirement 4: Goals, strategies, plans and objectives.
  - The management system
    - Guidance on Requirement 6: Integration of the management system.
    - Guidance on Requirement 7: Application of the graded approach to the management system.
    - Guidance on Requirement 8: Documentation of the management system .
  - The management of resources
    - Guidance on Requirement 9: Provision of resources
  - Management of processes and activities
    - Guidance on Requirement 10: Management of processes and activities.

- **Section 4: Developing, Sustaining and Improving safety**
  - Introduction on safety performance measurement and the identification of improvement actions.
  - Measurement, assessment and improvement.
    - Guidance on Requirement 13: Measurement, assessment and improvement of the management system.
    - Guidance on Requirement 14: Measurement, assessment and improvement of leadership for safety and of safety culture.
## Planned Schedule

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

You are kindly requested to note the preparations and work associated with DS 513 and be aware of the CS meeting dates next year and make them known to member state representatives who wish to be involved.


Thank you!