



Leadership and Safety Culture

New Reports from the
Nuclear Energy Agency (NEA)



Nuclear Energy Agency (NEA) Committee on Nuclear Regulatory Activities (CNRA) Working Group on Leadership and Safety Culture (WGLSC)

An Overview of Two New Leadership and Safety Culture Reports



**Presented by representatives of
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CNRA Working Group on Leadership & Safety Culture (WGLSC)

Leadership:

- **Chair:**
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- **Vice Chair:**
Dr. Cornelia RYSER (ENSI, Switzerland)
- **Bureau:**
Dr. Anne EDLAND (SSM, Sweden)
Marc McBRIDE (ONR, United Kingdom)

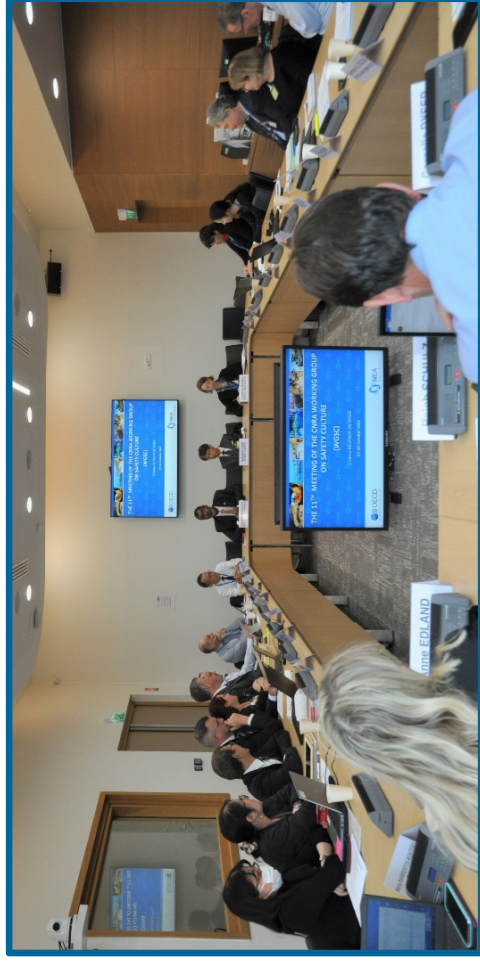
Mandate:

- Exchange information and experiences, and provide practical, innovative products
- Leadership and safety culture of the regulator within the wider interconnected system
- Senior-level management representatives and experts for leadership and safety culture

Current Activities:

Two task groups:

- **Impact of the regulatory body** on the organisations it oversees, and vice versa, from a safety culture perspective
- **Leadership**



WGLSC Report 1: The Mutual Impact of Nuclear Regulatory Bodies and Licence Holders from a Safety Culture Perspective

Key Contributors and Members

Key Contributors:

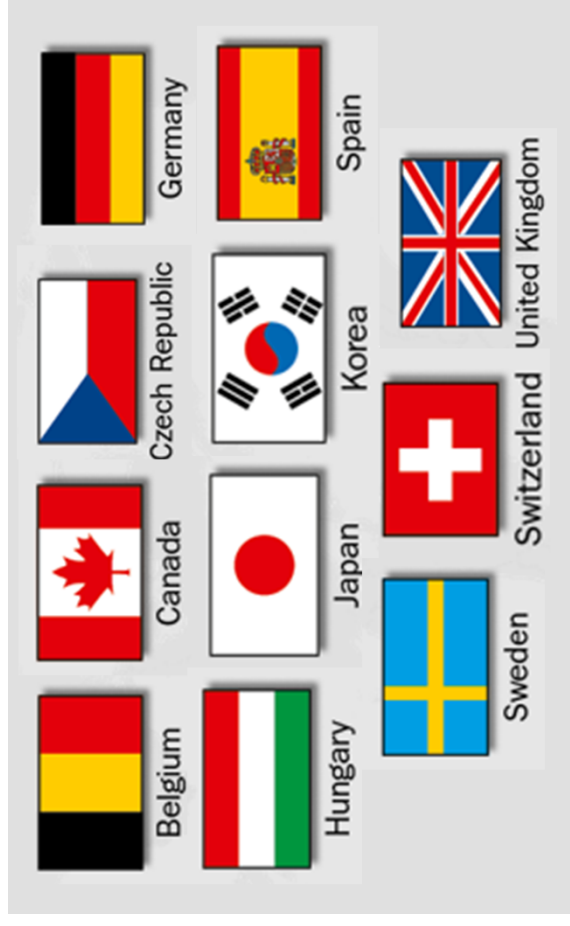
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Members:



WGLSC Report 1: The Mutual Impact of Nuclear Regulatory Bodies and Licence Holders from a Safety Culture Perspective

Purpose and Timeline

Purpose:

Understand how the regulator impacts the licensee (and vice versa) from safety culture perspective.

Share good practice and learning on how regulators can ensure this impact is positive, minimize negative impacts and support achievement of safety objectives.

Timeline:

2020 (Dec 1)	Task approved
2021	Literature review, methodology
2022	Joint data collection with TG2 • Pilot & second round interviews • Two data analysis workshops
2023	Developed model, drafting
2023 (Dec)	Report approved

WGLSC Report 1: *The Mutual Impact of Nuclear Regulatory Bodies and Licence Holders from a Safety Culture Perspective*

Methodology



WGLSC Report 1: The mutual impact of nuclear regulatory bodies and licence holders from a safety culture perspective

Main mechanisms of influence

Each party influences the safety culture of the other through:
the communications, relationships and behaviours of staff
at the interface between the two organisations

... which are influenced by:

the regulatory regime and the leadership, management
and capability of each organisation

... and in turn are shaped by:

each party's ability to learn and improve.

WGLSC Report 1: *The Mutual Impact of Nuclear Regulatory Bodies and Licence Holders from a Safety Culture Perspective*

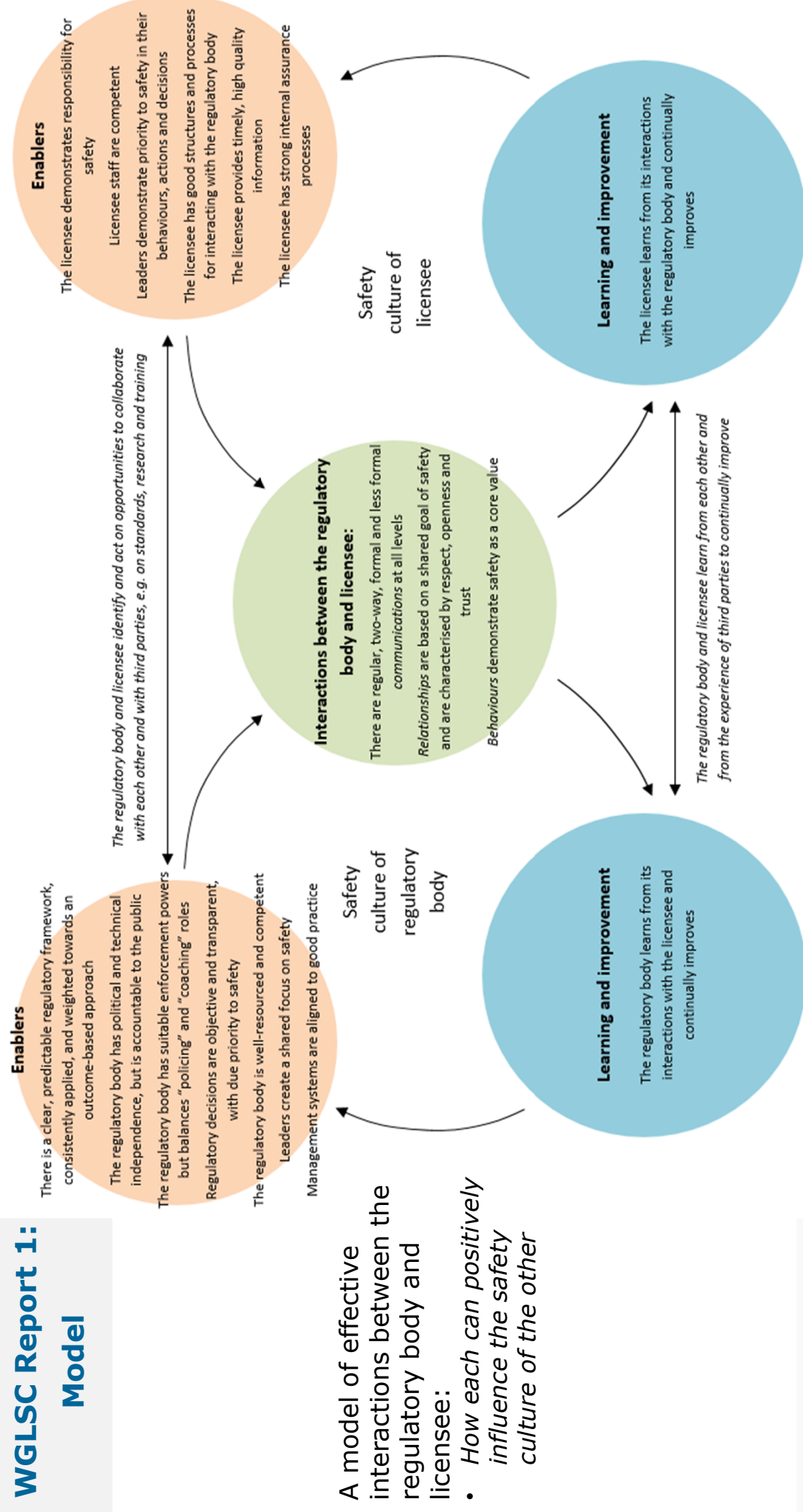
What “good” looks like...

A reciprocal, cooperative style of interaction, characterised by respect, openness and trust, with a shared focus on safety and learning.

- The **regulatory body approach** fosters the licensee’s accountability for safety, enabling continuous improvement and growth of the licensee’s safety culture towards higher maturity levels (*accountability-oriented, enabling regulation**)
- The regulatory body can also adopt a more prescriptive style, according to the circumstances (*responsive regulation*)
- Three determining factors:
 - Safety culture maturity of licensee
 - Safety culture maturity of regulatory body
 - Level of public trust in regulatory body

*Combines a focus on outcome, process, risk (or hazard) and self-assessment by the licensee

WGLSC Report 1: Model



A model of effective interactions between the regulatory body and licensee:

- How each can positively influence the safety culture of the other

WGLSC Report 2: Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies

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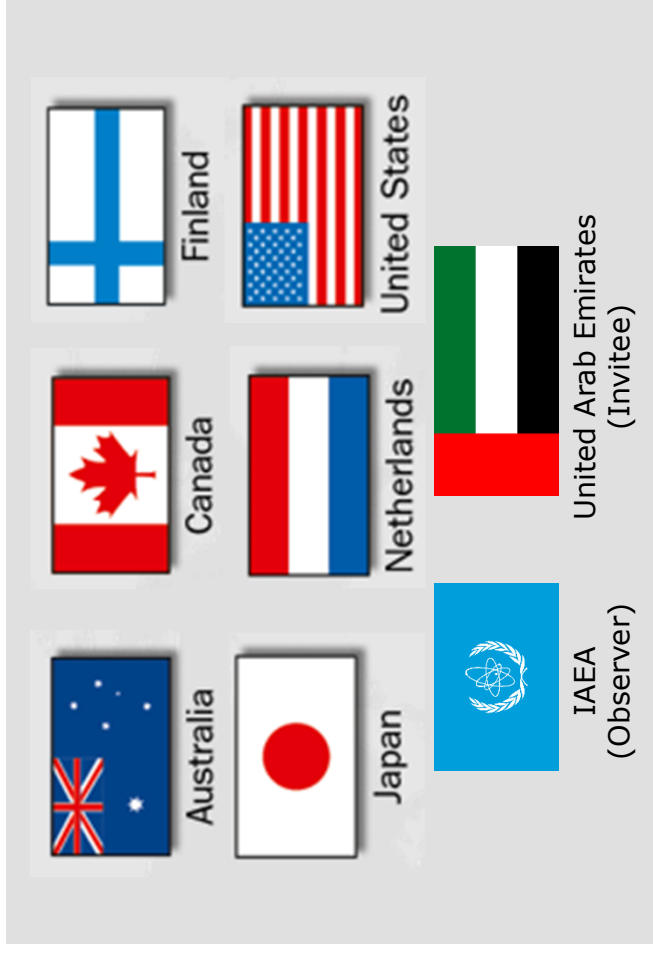
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Members:



WGLSC Report 2: *Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies*

Purpose and Timeline

Purpose:

Identify effective characteristics, competencies and behaviours of leaders in regulatory bodies with healthy safety culture.

To produce a guidance document with a matrix that regulatory bodies can use to identify leadership characteristics needed for safety culture.

Timeline:

2020 (Dec)	Outline approved
2021	Literature review, methodology Initial survey of WGLSC regulators
2022	Joint data collection with TG1 • Pilot & second round interviews • Two data analysis workshops
2023	Interview, report drafting
2023 (Dec)	Report approved

WGLSC Report 2: *Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies*

Document is intended to be used:

- **As a tool** that organisations can integrate into management system processes and practices to develop and sustain effective leadership characteristics and competencies that cultivate and embody organizational safety culture
- **By managers and members at all levels** who are responsible for, or involved in, regulatory strategies, activities, and interactions to strengthen the safety culture of the regulatory body
- To **support staff in performance of other functions**, e.g., training, human resources, self-assessment, and safety culture specialists
- As a **reference** for reviewing and improving regulatory body activities to foster and enhance a healthy safety culture
- To encourage regulatory bodies and licensees to undertake **self-reflection, self-assessment and improvement activities**

WGLSC Report 2: *Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies*

Twelve characteristics and competencies

emerged from the data as essential to the development of effective leadership for safety in regulatory bodies, grouped into three categories:

- **Intellectual aspects:** Ability to demonstrate knowledge, identify, rationalise, and justify decisions, and understand complexity in their operating environments
- **Interpersonal aspects:** Related to relationship building, including communication, role modelling and actions taken to promote safety
- **Influencing aspects:** Relationship management approaches to reinforce safety



WGLSC Report 2: Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies

Leadership for Safety Characteristics and Competencies

Excerpt from *'Influencing Aspects'* report table:

Leadership for Safety Characteristics and Competencies	Good Practices for Regulatory Bodies <i>Organisational approaches to cultivate leadership for safety characteristics and competencies (regulatory governance).</i>	Good Practices for the Individual <i>Leadership for safety characteristics and competencies for staff (individuals in the regulatory body)</i>
Reinforce Expectations Externally: Communicate clear goals and expectations; facilitate opportunities for staff and industry to achieve these goals; maintain consistency and clarity in expectations for license holders.	Establish methods to check alignment of regulatory decisions with communicated expectations. Use varied and scalable regulatory tools to ensure industry is achieving safety goals and meeting regulatory expectations. Policies are clear as to expectations, how to resolve issues and when expectations are not being met. Regulatory officers are supported to reinforce expectations externally.	Provide transparency and clear communication of expectations in all your interactions with industry. Ensure when communicating your expectations in an external forum that they are aligned with the organisation's approach and internal expectations. Prioritise your own work with an understanding of the complexity of safety issues and reinforcing external expectations. Create regular opportunities in your own work to collaborate with industry to achieve safety outcomes and meet regulatory expectations.

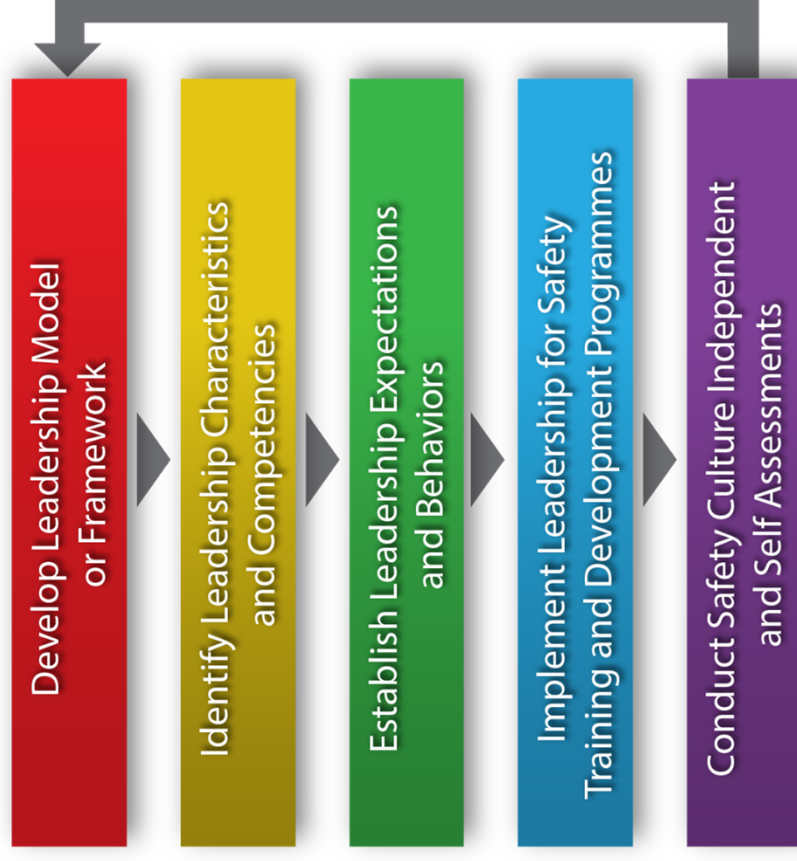
WGLSC Report 2: *Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies*

Programmes and Processes for Regulatory Bodies

Five steps were developed from the regulatory body survey and interview data to embed effective “leadership for safety” in the regulatory body.

The accompanying tables operationalises each step:

- Good practices and practical tools
- For organization and individual
- Examples from regulatory bodies based on survey data



WGLSC Report 2: Practices for Enhancing Leadership for Safety in Nuclear Regulatory Bodies

Programmes and Processes for Regulatory Bodies

Excerpt from 'Programmes and Processes' report table:

Leadership for Safety Programmes and Processes	Good Practices and Practical Tools for the Organisation <i>Leadership for safety programmes and processes for management</i>	Good Practices and Practical Tools for the Individual <i>Leadership for safety programmes and processes for staff (individuals in the regulatory body)</i>
Conduct Safety Culture Independent and Self Assessments	Establish a safety culture assessment programme for continuous improvement of 'leadership for safety' programmes and processes of the organisation.	Assess and provide feedback on training and leadership experiences to improve your organisation's 'leadership for safety' programmes and processes. Engage in safety culture assessment activities and provide honest and constructive feedback. Be involved in implementing solutions.
Examples: – IAEA: Developed the Independent Safety Culture Assessment (ISCA) peer review programme, and the Integrated Regulatory Review Service (IRRS). – Slovak Republic Nuclear Regulatory Authority (UJD SR): Conducts routine self-assessments following IAEA guidelines and managed by an external organisation. – STUK: Conducts independent safety culture assessments and observation activities, participated in IRRS missions, and hosted the Country-Specific Culture Forum. – USNRC: Conducts periodic safety culture and climate surveys, federal employee viewpoint surveys, and organisational culture inventories to identify themes and make improvements to the USNRC's culture.		

These two publications are available for download on the NEA website



Thank you!