

# Document Preparation Profile (DPP)

## 1. IDENTIFICATION

<b>Document Category</b>	<b>Safety Requirements</b>
<b>Working ID:</b>	<b>DS 456</b>
<b>Proposed Title:</b>	<b>Leadership and Management for Safety</b>
<b>Proposed Action:</b>	<b>revision of General Safety Requirement “The Management System for Facilities and Activities” - July 2006 - No GS-R-3.</b>
<b>Review Committee(s) or Group:</b>	<b>NUSSC (leading Committee), WASSC, RASSC, TRASSC.</b>
<b>Technical Officer(s):</b>	<b><u>Pierre GEST</u></b>

## 2. BACKGROUND/RATIONALE

The revision of GS-R-3, originally published in 2006, has been initiated in the frame of the Roadmap described in Annex III of the long term structure of safety standards, “Strategies and processes for the establishment of IAEA safety standards”.

This implies that the requirements shall be governed by the objective and principles of the Safety Fundamentals (SF1).

As a General Safety Requirement, the revised document shall include Overarching Requirements and associated requirements both expressed as “shall” statements. In addition the publication shall also include explanatory text in support of the requirements.

The general feedback on GS-R-3 implementation shows that some improvements could be made in the following areas:

- Safety must be the fundamental basis of this document and shall have the highest priority; it must not be misunderstood to be considered as a product.
- The safety management objectives stated in INSAG 13 and other INSAG documents should be considered.
- Line management responsibility and accountability for safety should be emphasized.
- Interaction between line management and process management should be addressed.
- Clarification on the applicability of this document to vendors, contractors and suppliers should be provided.
- Reinforce integration in such a way that other businesses do not reduce or impact safety and of course the review of the management system shall be done in that way.
- As a management system standard, GS-R-3 could bring out the importance of organizational learning, good communication of safety issues, a sense of reality around prioritization, clarity about organizational structure and accountability on what has to be performed.
- GS-R-3 could address the importance of leaders' performance in terms of organizational behaviours, leadership behaviours and individual behaviours.

- Items on organizational learning, use of experience, benchmarking(inside and outside the nuclear industry), questioning attitude, human performance, configuration management could be added
- Oversight of the management system could be strengthened from the perspective of organizational effectiveness assessment.
- GS-R-3 could be clearer on subjects related to improvement, resource management, management oversight, problem identification and resolution, managing organizational change.
- The clause on Non-conformances and Corrective Actions could be positioned more holistically under "identification and resolution of problems".
- The clauses on management review and planning could be joined more closely in the standard.

Following the philosophy of the roadmap, detailed guidance on the implementation of the management system through the use of processes should be given in the safety guides.

This Safety Requirements publication entitled “Leadership and Management for safety” supersedes the Safety Requirements GS-R-3 (2006) and will be the General Safety Requirement Part II of the new long term structure.

The document should be written in such a way that it is applicable to the management of all types of facilities and activities, from small to large organizations

The new Safety Requirements publication defines the requirements for establishing, implementing, assessing and continually improving a management system. A management system designed to fulfil these requirements integrates, among others, safety, health, environmental, security, quality and economic elements. Safety is the fundamental principle upon which the management system is based. Leadership and management are distinct but connected. Consequently, the new safety requirements also address leadership and the attributes of effective leadership as key contributors to safety and safety culture.

The management system is established by the senior management in order to steer the organization to ensure that safety has the overriding priority in the facilities and activities throughout their life time. The requirements in the management system should be governed by the objectives, concepts and principles of the IAEA Safety Fundamentals publication and must be met to ensure the protection of people and the environment. This is the basis of the new publication that gives further details of the requirements.

The management for safety has two general aims:

- A structural and formal system developed to improve the safety performance of the organization through the planning, control and supervision of safety related activities in normal, transient and emergency situations; and
- A cultural dynamism to foster and support a strong safety culture through leadership, the development and reinforcement of good safety attitudes and behaviour in individuals and teams so as to allow them to carry out their tasks safely.

In this publication, a Management System is defined as a single integrated system used by an organization to manage the totality of its people, resources, processes and tasks, in order to meet the organization’s objectives and satisfy the stakeholders. This implies that the management system integrates all elements of an organisation into one coherent system to enable all the organisations objectives to be achieved.

The new publication focuses on management and leadership for safety and does not provide guidance on how to implement the requirements.

The requirements established in the new publication may be used by organizations in the following ways:

- As the basis for organizations directly responsible for operating facilities and activities and providing services;
- As the basis for the regulation of these facilities and activities by the regulatory body;
- By the licensee, to specify to a supplier, via contractual documentation, any specific requirements of this Safety Requirements publication that must be included in the supplier's management system for the supply of items and services.

The management systems requirements of the relevant regulatory bodies are addressed in GSR Part I.

An important work would be to review the associated Safety Guides in parallel of the new publication with the objective to simplify and consolidate it into a single document.

(GS-G-3.1- Application of the Management System for Facilities and Activities, GS-G-3.2 - The Management System for Technical Services in Radiation Safety, GS-G-3.3 - The Management System for the Processing, Handling and Storage of Radioactive Waste, GS-G-3.4 - The Management System for the Disposal of Radioactive Waste , GS-G-3.5 – The Management System for Nuclear Installations, TS-G-1.3 - Management Systems for the Safe Transport of Radioactive Material)

### 3. OBJECTIVE

The first objective of this publication is in the application of the safety fundamentals, to establish requirements for effective Leadership for Safety as well as the requirements for management for safety:

- Leadership for safety must be established and sustained in organisations that govern nuclear facilities and activities.
- Management for Safety has to be achieved by an effective management system and a strong safety culture.

The second objective is to capture the concept, which is embedded in the IAEA's fundamental Principle 3, that it is Leadership and Management **for** Safety not **of** Safety. Safety is not something that is tagged on to an organization or is in competition with organisational success (commercially, in its status or in delivering policy objectives). It is one of the outcomes of excellence in leadership and management of an organisation.

The third objective of the requirements for the management system is to ensure, by considering the implications of all actions not within separate management systems but with regard to safety as a whole, that safety is not compromised. The management system designed to fulfil these requirements shall typically integrate safety, health, environmental, security, quality and economic elements.

This publication is applicable to:

- Nuclear facilities;

- Activities using sources of ionizing radiation;
- Radioactive waste management;
- The transport of radioactive material;
- Radiation protection activities;
- Any other practices or circumstances in which people may be exposed to radiation from naturally occurring or artificial sources;
- The regulation of such facilities and activities.

This publication could be used by regulatory bodies as a basis to establish their own management system as required by GSR Part 1.

It is not the intention that this publication should be directly and entirely applicable to vendors, contractors and suppliers.

#### **4. JUSTIFICATION**

The main reason for revising the GS-R-3 from 2006 is to reinforce safety, better align it with the Safety Fundamental SF-1-Principles 1 & 3 and at the same time take into account the feedback on experience of application from member states. In addition the new document has to reflect the new long-term structure for safety standards.

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

This document is the Part 2 of the General Safety Requirements: Leadership and Management for Safety.

It defines the requirements on what has to be done by the organisations to ensure leadership and management for safety.

This document will be supported by a set of safety guides (1 or more?) in which give guidance on how to implement these requirements.

#### **6. OVERVIEW**

##### **Table of content of the new publication**

- 1) Introduction: background –Objective-Scope – Structure**
- 2) Responsibility for Safety: Requirement 1**
- 3) Management System: Requirements 2-9**
- 4) Leadership for Safety: Requirement 10**
- 5) Safety Culture: Requirement 11**
- 6) References**
- 7) Glossary**

**8) Contributors to drafting and review**

**9) Bodies for the endorsement of IAEA safety standards**

**7. PRODUCTION SCHEDULE:** Provisional schedule for preparation of the document, outlining realistic expected dates for:

STEP 1: Preparing a DPP	2 CS meetings 10/2010 – 03/2011
STEP 2: Approval of DPP by the Coordination Committee	04/2011
STEP 3: Approval of DPP by the Safety Standards Committees or the relevant group where appropriate	06/2011
STEP 4: Approval of DPP by the CSS	09/2011
STEP 5: Start preparing the draft	1 <sup>st</sup> Q 2011
STEP 6: Approval of draft by the Coordination Committee	1 <sup>st</sup> Q 2012
STEP 7: Approval by the Safety Standards Committees for submission to Member States for comments or the relevant group where appropriate	2 <sup>nd</sup> Q 2012
STEP 8: Soliciting comments by Member States	2 <sup>nd</sup> Q 2012
STEP 9: Addressing comments by Member States	4 <sup>th</sup> Q 2012
STEP 10: Approval of the revised draft by the Coordination Committee Review in NS-SSCS	1 <sup>st</sup> Q 2013
STEP 11: Approval by the Safety Standards Committees for submission to the CSS or the relevant group where appropriate	2 <sup>nd</sup> Q 2013
STEP 12: Endorsement by the CSS	3 <sup>rd</sup> Q 2013
STEP 13: Establishment by the Publications Committee and Board of Governors	
STEP 14: Target publication date	12/2013

**8. RESOURCES**

Estimated resources involved by the Secretariat (17 person-weeks) and the Member States (4 CS and 3 TM)