



NRC Safety Culture Policy Statement

Office of Enforcement

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Presentation Overview

- NRC's Mission and Responsibility
- Safety Culture Background
- Safety Culture Policy Statement
- Current Status
- Next Steps

The U.S. NRC's Mission



To license and regulate the Nation's civilian use of byproduct, source, and special nuclear materials to ensure adequate protection of public health and safety, promote the common defense and security, and protect the environment.

NRC Scope of Regulatory Responsibility

- Reactors: commercial reactors for generating electric power and non-power reactors used for research, testing, and training
- Materials: uses of nuclear materials in medical, industrial, and facilities that produce nuclear fuel
- Waste: transportation, storage, and disposal of nuclear materials and waste, and decommissioning of nuclear facilities from service

Importance of Safety Culture

- Operating experience has demonstrated nexus between safety culture and events
- Safety culture contributes to the safe and secure use of radioactive materials
- NRC recognizes that licensees and other users of regulated material bear the primary responsibility for the safe and secure use of nuclear materials while the NRC, as the regulator, must consider the importance of safety culture in its oversight programs and activities

NRC Safety Culture Background

1989: Conduct of Operations Policy Statement

- Expectations for a Safety Culture:
 - Full attention to safety matters
 - Personal dedication and accountability of all individuals engaged in any activity which has a bearing on nuclear power plant safety
 - Management fosters the development of a ‘safety culture’ at each facility and promotes a professional working environment in the control room, and throughout the facility, that assures safe operations

NRC Safety Culture Background

1996: Safety Conscious Work Environment (SCWE) Policy Statement

- Establish and maintain a SCWE
- Intended to assure the freedom of employees in the nuclear industry to raise safety concerns without fear of retaliation
- Applies to all NRC-regulated activities of licensees, contractors, and applicants

NRC Safety Culture Background

2000: Reactor Oversight Process Implemented

- Monitors the “Cornerstones” that are the basis of plant safety:
 - Reactor safety
 - Radiation safety
 - Safeguards
- “Cross-Cutting” areas:
 - Human performance
 - Safety Conscious Work Environment (SCWE)
 - Problem Identification and Resolution (PI&R)

NRC Safety Culture Background

2006: Reactor Oversight Process Enhanced

- Safety culture definition
- 13 safety culture “components”
- Requirements added to specifically focus on safety culture evaluation for plants with degraded performance (columns 3 and 4 of the Action Matrix)
- Safety culture training provided to NRC inspection personnel
- Safety culture features added to selected NRC inspection procedures

NRC Safety Culture Background

2008: Commission Direction

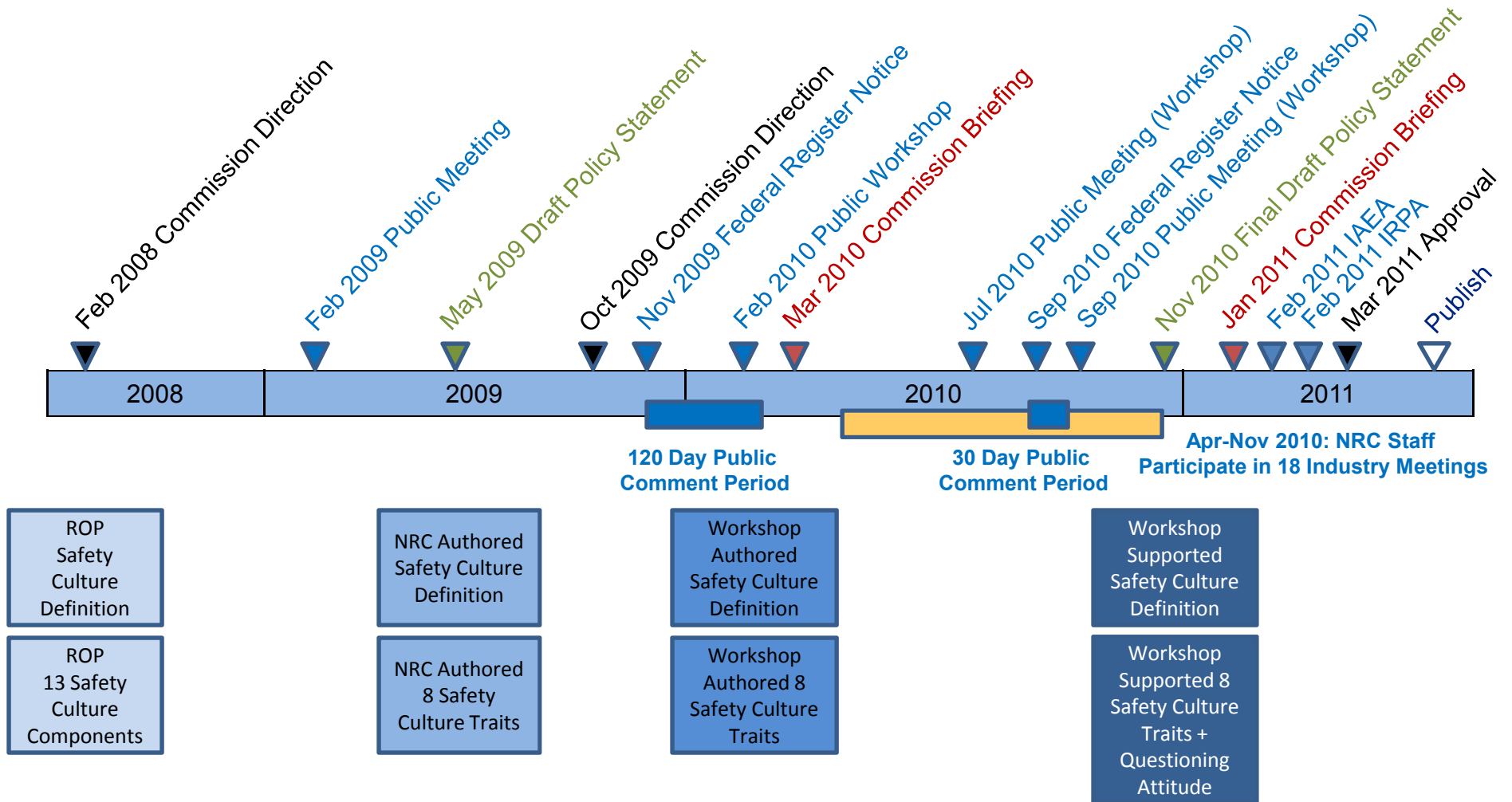
(SRM-COMGBJ-08-0001A)

- Develop a draft safety culture policy statement
- Address the unique aspects of security
- Applicable to all licensees and certificate holders
- Increase attention to safety culture in the material area

NRC Safety Culture Background 2009: Further Commission Direction (SRM-SECY-09-0075)

- Publish the draft safety culture policy statement for public comment
- Continue to engage a broad range of external stakeholders and the Agreement States
- Seek opportunities to achieve common safety culture terminology with existing standards and references
- Consider making the policy statement applicable to vendors and suppliers

Safety Culture Policy Statement Timeline



Statement of Policy

- Includes safety culture definition and nine traits
- Considers interface of safety and security
- Addresses “security” in a Preamble
- Recognizes diversity of regulated entities
- Applies to safety-related vendors and suppliers
- Considers negative factors (e.g., incentive goals)
- Does not address implementation directly

Statement of Policy

*Sets forth the Commission's **expectation** that individuals and organizations performing regulated activities establish and maintain a positive safety culture commensurate with the safety and security significance of their actions and the nature and complexity of their organizations and functions*

Applicability to Agreement States

The Commission encourages the Agreement States and other organizations interested in nuclear safety to support the development and maintenance of a positive safety culture, as articulated in the Statement of Policy, within their regulated communities

Safety Culture Definition

Nuclear Safety Culture is the core values and behaviors resulting from a collective commitment by leaders and individuals to emphasize safety over competing goals to ensure protection of people and the environment

Preamble

Experience has shown that certain personal and organizational traits are present in a positive safety culture. A trait, in this case, is a pattern of thinking, feeling, and behaving that emphasizes safety, particularly in goal conflict situations, e.g., production vs. safety, schedule vs. safety, and cost of the effort vs. safety.

Preamble *(continued)*

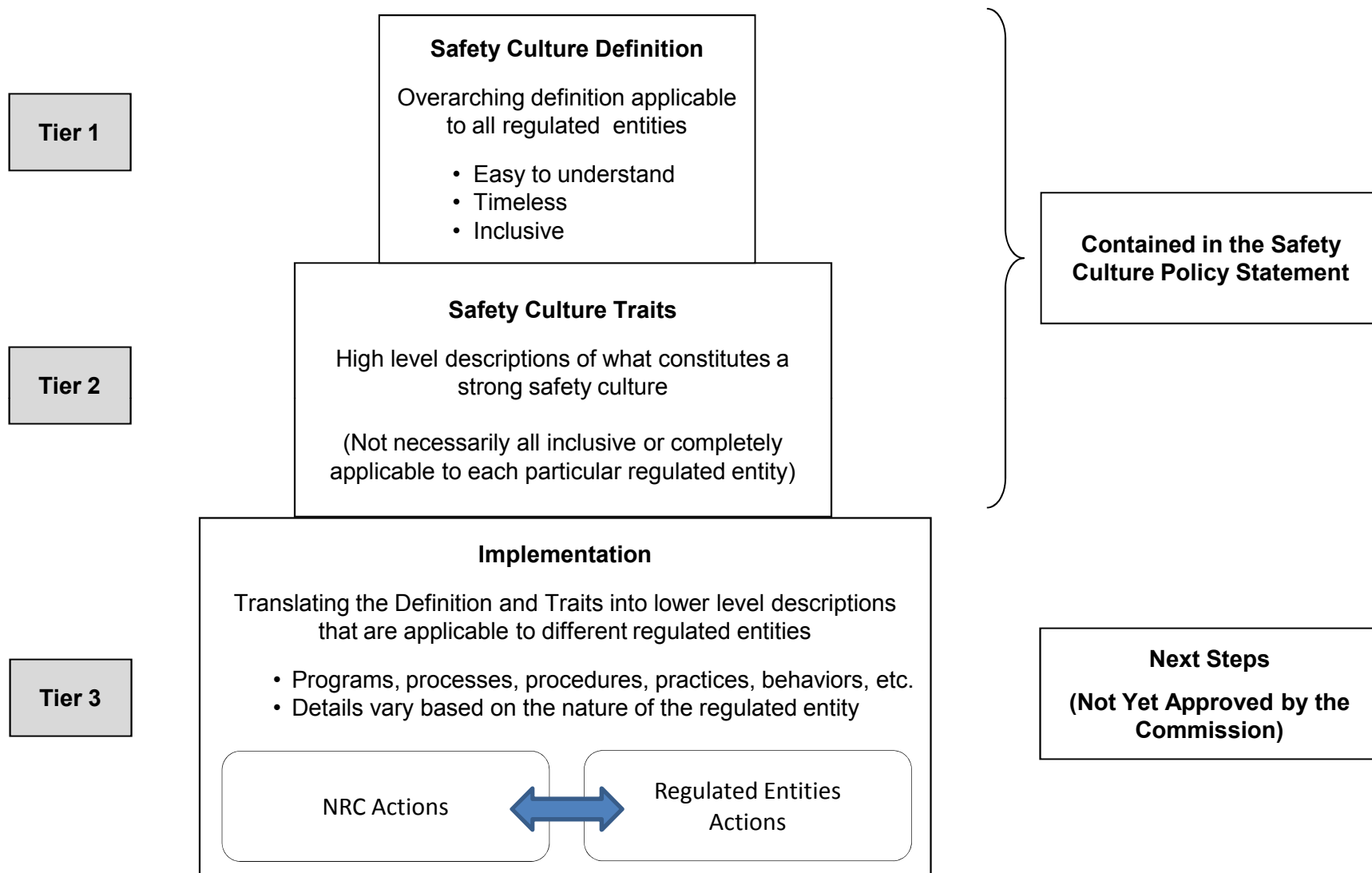
It should be noted that although the term “security” is not expressly included in these traits, safety and security are the primary pillars of the NRC’s regulatory mission.

Consequently, consideration of both safety and security issues, commensurate with their significance, is an underlying principle of this Statement of Policy.

Safety Culture Traits

<p>Leadership Safety Values and Actions</p>	<p>Problem Identification and Resolution</p>	<p>Personal Accountability</p>
<p>Leaders demonstrate a commitment to safety in their decisions and behaviors</p>	<p>Issues potentially impacting safety are promptly identified, fully evaluated, and promptly addressed and corrected commensurate with their significance</p>	<p>All individuals take personal responsibility for safety</p>
<p>Work Processes</p>	<p>Continuous Learning</p>	<p>Environment for Raising Concerns</p>
<p>The process of planning and controlling work activities is implemented so that safety is maintained</p>	<p>Opportunities to learn about ways to ensure safety are sought out and implemented</p>	<p>A safety conscious work environment is maintained where personnel feel free to raise safety concerns without fear of retaliation, intimidation, harassment or discrimination</p>
<p>Effective Safety Communications</p>	<p>Respectful Work Environment</p>	<p>Questioning Attitude</p>
<p>Communications maintain a focus on safety</p>	<p>Trust and respect permeate the organization</p>	<p>Individuals avoid complacency and continually challenge existing conditions and activities in order to identify discrepancies that might result in error or inappropriate action</p>

Safety Culture Policy Statement “Tiers”



Policy Statement Current Status

- The Commission approved, with revisions, the safety culture policy statement on March 7, 2011
- The staff is continuing to engage in activities to increase an awareness and understanding of the benefits of a positive safety culture for those entities covered by the safety culture policy statement
- Implementation activities require prior Commission review and approval
- The policy statement was published in the *Federal Register* on June 14, 2011, after OMB review and approval pursuant to the Congressional Review Act

References

- SECY-04-0111, “Recommended Staff Actions Regarding Agency Guidance in the Areas of Safety Conscious Work Environment and Safety Culture,” July 2004
- SRM/SECY-05-0187 (December 2005), "Status of Safety Culture Initiatives and Schedule for Near-Term Deliverables,”
- Reactor Oversight Process:
<http://www.nrc.gov/NRR/OVERSIGHT/ASSESS/index.html>
- February 2009 SRM-COMGBJ-08-001
- NRC safety culture website: <http://www.nrc.gov/about-nrc/regulatory/enforcement/safety-culture.html>