

# LEADERSHIP SAFETY VALUES AND ACTIONS

LEADERS DEMONSTRATE A COMMITMENT TO SAFETY IN THEIR DECISIONS AND BEHAVIORS.

1

## Resources

Leaders ensure that personnel, equipment, procedures, and other resources are available and adequate to support nuclear safety.

- Leaders ensure that staffing levels are sufficient, and personnel are qualified for the work.
- Leaders ensure that facilities are maintained, and tools and procedures are readily available.
- Leaders ensure that sufficient corporate resources are allocated to ensure safe and reliable operation.

2

## Field Presence

Leaders are commonly seen in working areas of the organization observing, coaching, and reinforcing standards and expectations. Deviations from standards and expectations are corrected promptly.

- Leaders practice visible leadership in the field by coaching, mentoring, and reinforcing standards.
- Leaders discuss their observations in detail with the group they observed and provide useful feedback.
- Leaders model safe behaviors and high standards of accountability.

3

## Incentives, Sanctions and Rewards

Leaders ensure incentives, sanctions, and rewards are aligned with safety policies and reinforce behaviors and outcomes that reflect safety as the overriding priority.

- Leaders ensure disciplinary actions support a safety conscious work environment.
- Leaders reward individuals who raise safety issues and reflect a positive safety culture.
- Leaders consider potential chilling effects when taking disciplinary actions and other personnel actions.

4

## Change Management

Leaders use a systematic process for evaluating and implementing change so that safety remains the overriding priority.

- Leaders use a systematic process for planning, coordinating, and evaluating the safety impacts and potential negative effects on the willingness of individuals to raise safety concerns, when making major changes.
- Leaders ensure safety is maintained when planning, communicating, and implementing change and ensure that significant unintended consequences are avoided.

5

## Strategic Commitment to Safety

Leaders ensure priorities are aligned to reflect safety as the overriding priority.

- Leaders develop and implement cost and schedule goals in a manner that reinforces the importance of safety.
- Information from independent oversight organizations is used to help establish priorities that align with safety.
- Leaders establish strategic and business plans that reflect safety as the overriding priority and ensure that corporate priorities also align with safety priorities.

6

## Constant Examination

Leaders ensure that safety is constantly scrutinized through a variety of monitoring techniques, including assessments of safety culture.

- Leaders ensure that board members and members of independent oversight organizations meet with different levels of management and staff to develop an understanding of the status of the organization's safety culture.
- Leaders support and participate in candid assessments of workplace attitudes and safety culture and act on issues that affect trust in management.

7

## Leader Behaviors

Leaders exhibit behaviors that set the standard for safety.

- Leaders "walk the talk," modeling correct behaviors, especially when resolving apparent conflicts between safety and production.
- Leaders maintain high standards of personal conduct that promote all aspects of a positive safety culture.
- Leaders encourage personnel to challenge unsafe behavior and unsafe conditions and motivate others to practice positive safety culture behaviors.

8

## Roles, Responsibilities and Authorities

Leaders clearly define roles, responsibilities, and authorities to ensure safety.

- Leaders ensure roles, responsibilities, and authorities of executives, senior managers, and corporate managers are clearly defined, understood, and documented.
- Leaders ensure that recommendations from review boards and independent oversight organizations do not override senior leaders' ultimate responsibility for decisions affecting safety.

# WORK PROCESSES

THE PROCESS OF PLANNING AND CONTROLLING WORK ACTIVITIES  
IS IMPLEMENTED SO THAT SAFETY IS MAINTAINED

1

## Work Management

The organization implements a process of planning, controlling, and executing work activities such that nuclear safety is the overriding priority. The work process includes the identification and management of risk commensurate to the work.

- Work is effectively planned and executed by incorporating risk insights, job-site conditions, and the need for coordination with different groups or job activities.
- Leaders consider the impact of changes to the work scope and the need to keep personnel apprised of the work status.
- Insights from probabilistic risk assessments are considered in daily work activities and change processes.

2

## Design Margins

The organization operates and maintains equipment within design margins. Margins are carefully guarded and changed only through a systematic and rigorous process. Special attention is placed on maintaining fission product barriers, defense-in-depth, and safety-related equipment.

- The work process supports nuclear safety and the maintenance of design margins by minimizing long-standing equipment issues, preventive maintenance deferrals, and maintenance and engineering backlogs.
- The work process ensures focus on maintaining fission product barriers, defense-in-depth, and safety-related equipment.

3

## Documentation

The organization creates and maintains complete, accurate, and up-to-date documentation.

- Activities are governed by comprehensive, high-quality programs, processes, and procedures.
- Design documentation, procedures, and work packages are complete, thorough, accurate, and current.
- Components are labeled clearly, consistently, and accurately.

4

## Procedure Adherence

Individuals follow processes, procedures, and work instructions.

- Individuals understand and use human error reduction techniques.
- Individuals review procedures and instructions prior to work to validate that they are appropriate for the scope of work and that required changes are completed prior to implementation.
- Individuals manipulate equipment only when appropriately authorized and directed by approved procedures or work instructions.

# QUESTIONING ATTITUDE

INDIVIDUALS AVOID COMPLACENCY AND CONTINUOUSLY CHALLENGE EXISTING CONDITIONS AND ACTIVITIES IN ORDER TO IDENTIFY DISCREPANCIES THAT MIGHT RESULT IN ERROR OR INAPPROPRIATE ACTION.

1

## Nuclear is Recognized as Special and Unique

Individuals understand that complex technologies can fail in unpredictable ways.

- The organization ensures that activities that could affect nuclear materials are conducted with particular care, caution, and oversight.
- Individuals recognize the special characteristics and unique hazards of nuclear technology, including radioactive byproducts.
- Executives and senior managers ask probing questions to understand the implications and consequences of anomalies, and challenge managers to ensure degraded conditions are fully understood and appropriately resolved.

2

## Challenge the Unknown

Individuals stop when faced with uncertain conditions. Risks are evaluated and managed before proceeding.

- Leaders reinforce expectations that individuals take the time to do the job right the first time, seek guidance when unsure, and stop if an unexpected condition or equipment response is encountered.
- Individuals maintain a questioning attitude during pre-job briefings and job-site reviews.
- Individuals stop work activities when confronted with an unexpected condition, communicate with supervisors, and resolve the condition prior to continuing work.

3

## Challenge Assumptions

Individuals challenge assumptions and offer opposing views when they think something is not correct.

- Leaders solicit challenges to assumptions when evaluating nuclear safety issues.
- Individuals ask questions to fully understand the bases of operational and management decisions that appear to be contrary to nuclear safety, and managers question assumptions, decisions, and justifications that do not appear to consider impacts to nuclear safety sufficiently.

4

## Avoid Complacency

Individuals recognize and plan for the possibility of mistakes, latent problems, and inherent risk, even while expecting successful outcomes.

- The organization is aware that latent conditions can exist, addresses them as they are discovered, and considers the extents of the conditions.
- Individuals perform a thorough review of the work site and the planned activity every time work is performed rather than relying on past successes and assumed conditions, and they consider potential undesired consequences of their actions prior to performing work.
- Leaders ensure specific contingency actions are discussed and understood during job planning and pre-job briefings.

# PROBLEM IDENTIFICATION AND RESOLUTION

ISSUES POTENTIALLY IMPACTING SAFETY ARE PROMPTLY IDENTIFIED, FULLY EVALUATED, AND PROMPTLY ADDRESSED AND CORRECTED COMMENSURATE WITH THEIR SIGNIFICANCE

1

## Identification

The organization implements a corrective action program with a low threshold for identifying issues. Individuals identify issues completely, accurately, and in a timely manner in accordance with the program.

- Individuals recognize deviations from standards and understand how to enter issues into the corrective action program.
- They ensure that issues, problems, degraded conditions, and near misses are promptly reported and documented in the corrective action program at a low threshold.
- Individuals describe the issues entered in the corrective action program in sufficient detail to ensure they can be appropriately prioritized, trended, and assigned for resolution.

2

## Evaluation

The organization thoroughly evaluates problems to ensure that resolutions address causes and extents of conditions commensurate with their safety significance.

- The organization ensures that issues are properly classified, prioritized, and evaluated according to their safety significance.
- Issues are investigated thoroughly according to their safety significance, and root cause analyses are rigorously applied to identify and correct the fundamental cause.
- The underlying organizational and safety culture contributors to issues are evaluated thoroughly and are given the necessary time and resources to be clearly understood.

3

## Resolution

The organization takes effective corrective actions to address issues in a timely manner commensurate with their safety significance.

- The organization ensures that corrective actions are completed in a timely manner. Deferrals of corrective actions are minimized.
- The organization ensures that appropriate interim corrective actions are taken to mitigate issues while more fundamental causes are being assessed.
- Corrective actions resolve and correct the identified issues, including causes and extents of conditions, and prevent the recurrence of significant conditions adverse to quality.

4

## Trending

The organization periodically analyzes information from the corrective action program and other assessments in the aggregate to identify programmatic and common cause issues.

- The organization develops indicators that monitor both equipment and organizational performance, including safety culture.
- Managers use indicators that provide an accurate representation of performance and early indications of declining trends, and routinely challenge the organization's understanding of declining trends.
- Organizational and departmental trend reviews are completed in a timely manner in accordance with program expectations.

# ENVIRONMENT FOR RAISING CONCERNS

SAFETY-CONSCIOUS WORK ENVIRONMENT (SCWE) IS MAINTAINED WHERE PERSONNEL FEEL FREE TO RAISE SAFETY CONCERNS WITHOUT FEAR OF RETALIATION, INTIMIDATION, HARASSMENT, OR DISCRIMINATION

## 1 Safety Conscious Work Environment (SCWE) Policy

The organization effectively implements a policy that supports individuals' rights and responsibilities to raise safety concerns and does not tolerate harassment, intimidation, retaliation, or discrimination for doing so.

- Individuals feel free to raise nuclear safety concerns without fear of retribution, with confidence that their concerns will be addressed.
- Policies and procedures reinforce that individuals have the right and responsibility to raise nuclear safety concerns and define the responsibilities of leaders to create an environment in which individuals feel free to raise safety concerns.
- Leaders are trained to take ownership when receiving and responding to concerns, recognizing confidentiality if appropriate.
- Individuals are trained that behaviors or actions that could prevent concerns from being raised, including harassment, intimidation, retaliation, or discrimination, will not be tolerated and are violations of law and policy.
- All claims of retaliation are investigated, and any necessary corrective actions are taken in a timely manner, including actions to mitigate any potential chilling effect.

## 2 Alternate Process for Raising Concerns

The organization effectively implements a process for raising and resolving concerns that is independent of line management influence. Safety issues may be raised in confidence and are resolved in a timely and effective manner.

- Executives establish, support, and promote the use of alternative processes for raising concerns and ensure corrective actions are taken.
- Leaders understand their role in supporting alternate processes for raising concerns.
- Processes for raising concerns or resolving differing professional opinions that are alternatives to the corrective action program and operate outside the influence of the management chain are communicated and accessible to individuals.
- Alternative processes are independent, include an option to raise concerns confidentially, and ensure these concerns are appropriately resolved in a timely manner.
- Individuals receive feedback in a timely manner. Individuals have confidence that issues raised will be appropriately resolved.
- Individuals assigned to respond to concerns have the appropriate competencies.

# EFFECTIVE SAFETY COMMUNICATIONS

## COMMUNICATIONS MAINTAIN A FOCUS ON SAFETY

1

### Work Process Communications

Individuals incorporate safety communications in work activities.

- Communications within work groups are timely, frequent, and accurate.
- Work groups and supervisors communicate with other work groups and supervisors during the performance of their work activities.
- Individuals communicate with each other such that everyone has the information necessary to accomplish work activities safely and effectively.
- Communications during shift turnovers and pre-job briefings provide information necessary to support nuclear safety.

2

### Bases for Decisions

Leaders ensure that the bases for operational and organizational decisions are communicated in a timely manner.

- Leaders promptly communicate expected outcomes, potential problems, planned contingencies, and abort criteria for important decisions.
- Leaders take steps to avoid unintended or conflicting messages.
- Executives and senior managers communicate the reasons for resource allocation decisions, organizational changes, and other decisions affecting the organization as a whole, including the safety implications of those decisions.

3

### Free Flow of Information

Individuals communicate openly and candidly, both up, down, and across the organization and with oversight, audit, and regulatory organizations.

- Leaders encourage the free flow of information. Individuals share information openly and candidly.
- Individuals provide complete, accurate, and forthright information to oversight, audit, and regulatory organizations.
- Leaders actively solicit feedback, listen to concerns, and communicate openly with all individuals.
- Leaders candidly communicate the results of monitoring and assessments throughout the organization and with independent oversight organizations.

4

### Expectations

Leaders frequently communicate and reinforce the expectation that nuclear safety is the organization's overriding priority.

- Executives and senior managers communicate expectations regarding nuclear safety so that individuals understand that safety is the highest priority.
- Executives and senior managers implement a strategy of frequent communication using a variety of tools to reinforce that nuclear safety is the overriding priority.
- Executives and senior managers reinforce the importance of nuclear safety by clearly communicating its relationship to strategic issues.
- Leaders communicate desired safety behaviors to individuals, providing examples of how behaviors positively or negatively affect nuclear safety.

# RESPECTFUL WORK ENVIRONMENT

TRUST AND RESPECT PERMEATE THE ORGANIZATION

1

## Respect is Evident

Everyone is treated with dignity and respect.

- The organization regards individuals and their professional capabilities and experiences as its most valuable asset.
- Individuals at all levels of the organization treat each other with dignity and respect.
- Leaders monitor for behaviors that can have a negative impact on the work environment and address them promptly.
- Individuals treat decision-makers with respect, even when they disagree with a decision.

2

## Opinions are Valued

Individuals are encouraged to voice concerns, provide suggestions, and raise questions. Differing opinions are respected.

- The organization encourages individuals to offer ideas, concerns, suggestions, differing opinions, and questions to help identify and solve problems.
- Leaders are receptive to ideas, concerns, suggestions, differing opinions, and questions.
- The organization promotes robust discussions, recognizing that differing opinions are a natural result of differences in expertise and experience.
- Individuals value the insights and perspectives provided by quality assurance, the employee concerns program, and independent oversight organization personnel.

3

## High Level of Trust

Trust is fostered among individuals and work groups throughout the organization.

- Leaders promote collaboration among work groups.
- Leaders respond to questions and concerns in an open and honest manner.
- Leaders share important information in an open, honest, and timely manner such that trust is maintained.
- Leaders acknowledge positive performance and address negative performance promptly and directly with the individual involved.

4

## Conflict Resolution

Fair and objective methods are used to resolve conflicts.

- The organization implements processes to ensure fair and objective resolution of conflicts and differing views.
- Leaders ensure conflicts are resolved in a balanced, equitable, and consistent manner, even when outside of defined processes.
- Individuals have confidence that conflicts will be resolved respectfully and professionally.

# CONTINUOUS LEARNING

OPPORTUNITIES TO LEARN ABOUT WAYS TO ENSURE SAFETY  
ARE SOUGHT OUT AND IMPLEMENTED

1

## Operating Experience

The organization systematically and effectively collects, evaluates, and implements relevant internal and external operating experience in a timely manner.

- A process is in place to ensure a thorough review of operating experience provided by internal and external sources.
- Operating experience is implemented and institutionalized effectively through changes to processes, procedures, equipment, and training.
- Operating experience is used to understand equipment, operational, and industry challenges.

2

## Self-Assessment

The organization routinely conducts self-critical and objective assessments of its programs and practices.

- Independent and self- assessments, including nuclear safety culture assessments, are thorough and effective and are used as a basis for improvements.
- The organization values the insights and perspectives assessments provide.
- They are performed at a regular frequency and provide objective, comprehensive, and self-critical information that drive corrective actions.
- Targeted self-assessments are performed when a more thorough understanding of an issue is required.

3

## Benchmarking

The organization learns from other organizations to continuously improve knowledge, skills, and safety performance.

- The organization uses benchmarking as an avenue for acquiring innovative ideas to improve nuclear safety.
- The organization participates in benchmarking activities with other nuclear and nonnuclear facilities.
- The organization seeks out best practices by using benchmarking to understand how others perform the same functions.
- Benchmarking is used to compare standards to the industry and to make adjustments to improve performance.

4

## Training

The organization provides training and ensures knowledge transfer to maintain a knowledgeable, technically competent workforce and instill nuclear safety values.

- The organization fosters an environment in which individuals value and seek continuous learning opportunities.
- Individuals are adequately trained to ensure technical competency and an understanding of standards and work requirements.
- Knowledge transfer and knowledge retention strategies are applied to capture the knowledge and skill of experienced individuals.
- Training is developed and continuously improved using input and feedback from individual contributors and subject-matter experts.



# PERSONAL ACCOUNTABILITY

ALL INDIVIDUALS TAKE PERSONAL RESPONSIBILITY FOR SAFETY

1

## Standards

Individuals understand the importance of adherence to nuclear standards. All levels of the organization exercise accountability for shortfalls in meeting standards.

- Individuals encourage each other to adhere to high standards. They demonstrate a proper focus on nuclear safety.
- Individuals hold themselves personally accountable for modeling nuclear safety behaviors.
- Individuals across the organization apply nuclear safety standards consistently.

2

## Job Ownership

Individuals understand and demonstrate personal responsibility for the behaviors and work practices that support nuclear safety.

- Individuals understand their personal responsibility to foster a professional environment, encourage teamwork, and identify challenges to nuclear safety.
- They understand their personal responsibility to raise nuclear safety issues.
- Individuals ensure that they are trained and qualified to perform assigned work and understand the objective of the work activity, their role in the activity, and their personal responsibility for safely accomplishing the overall objective.

3

## Teamwork

Individuals and work groups communicate and coordinate their activities within and across organizational boundaries to ensure nuclear safety is maintained.

- Individuals demonstrate a strong sense of collaboration and cooperation in connection with projects and operational activities.
- They work as a team to provide peer-checks, verify certifications and training, ensure detailed safety practices, actively peer coach new personnel, and share tools and publications. Individuals strive to meet commitments.