



INTERNATIONAL ATOMIC ENERGY AGENCY

J8-TM-40410

INFORMATION SHEET

Technical Meeting on

Safety Culture Oversight and Assessment

**IAEA Headquarters
Vienna, Austria**

15–18 February 2011

1. BACKGROUND INFORMATION

In the last two decades organizational and cultural issues have been identified as vital in achieving safe operation. Safety culture is now a commonly used term. Starting from the basic document *Safety Culture* (Safety Series No.75-INSAG-4, 1991) the concept of nuclear safety culture has evolved to the Safety Requirements *The Management System for Facilities and Activities* (Safety Standard Series No. GS-R-3, 2006) and the Safety Guides, *Application of the Management System for Facilities and Activities* Safety Standard Series No. GS-G-3.1, 2006) and, *The Management System for Nuclear Installations* (Safety Standard Series No. GS-G-3.5, 2009). During this time there were several attempts to establish practical approaches for regulatory oversight in the area of safety culture on an international level, for example the joint American Nuclear Society (ANS)/Nuclear Energy Agency (NEA) International Topical Meeting on Safety Culture in Nuclear Installations (April 1995, Vienna, Austria), the IAEA's International Conference on Safety Culture in Nuclear Installations (December 2002, Rio de Janeiro, Brazil), the IAEA's Technical Meeting on the Role of Governments and Regulators in Fostering a Strong Nuclear Safety Culture (September 2003, Vienna, Austria), the OECD/NEA Workshop on How regulatory inspections can promote, or not promote, good safety culture (May 2006, Toronto, Canada), the joint NEA/IAEA Workshop on Maintaining Oversight of Licensee Safety Culture-Methods and Approaches (May 2007, Chester, United Kingdom) and, recently, the 10th OECD/NEA International Nuclear Regulatory Inspection Workshop (May 2010, Amsterdam, Netherlands) addressing experience from inspecting safety culture.

A major outcome of these international efforts is the recommendation for the development of a common understanding on how oversight of a licensee's safety culture should be performed and how safety culture elements should be evaluated.

In parallel, several national initiatives were undertaken to develop different practical approaches for inspection, assessment and oversight of safety culture and safety management. On the licensee side, various nuclear installations implemented their own approaches for safety culture self-assessment and improvement.

Besides this, in the 2008 Fourth Review Meeting of the Convention on Nuclear Safety it was recognized that "safety culture assessments will continue to mature and become common place".

2. THE OBJECTIVE OF THE TECHNICAL MEETING (TM)

The general objective of the meeting is to establish a common opinion on how regulatory oversight of safety culture can be developed to foster safety culture.

In order to reach this objective, the primary purpose of the meeting will be to facilitate a broad exchange of good practices and issues among Member States in the area of oversight of a licensee's safety culture.

Further, the meeting should suggest ways as to how regulators and licensees may use the results of the oversight in order to create an environment that supports a continual improvement of safety culture.

It is intended that the output of the meeting will form the basis for a Safety Report Series document providing guidance on how regulators and licensees can deal with the safety culture components in order to continuously foster a positive safety culture.

3. PROPOSED TOPICS OF THE MEETING

The meeting will be composed of plenary and break-out sessions. In order to allow in-depth discussions and to foster a common opinion of the subject, it is intended that the break-out sessions will be the main format of the meeting.

Items for discussion and presentation will include the following topics:

- Understanding of safety culture (definition, characteristics, attributes, items for assessment, national and regional culture)
- Approaches to foster a positive licensee's safety culture
 - ⇒ Regulation/requirements
 - ⇒ Safety culture oversight approaches (encouragement of licensees to conduct self-assessments, third-party independent assessment, regulator assessment...)
 - ⇒ Regulatory safety culture assessment process from data gathering to data analysis including the feedback to licensees.
- Development and implementation of an approach to foster a positive licensee safety culture
 - ⇒ Challenges when developing and implementing a safety culture oversight approach
 - ⇒ Integration within the existing inspection processes
 - ⇒ Challenges, difficulties, problems to overcome in doing oversight of safety culture
 - ⇒ Impact on the licensee's safety culture

In addition, the outputs of the joint NEA/IAEA workshop on maintaining oversight of licensee safety culture - methods and approaches, held from 21 to 23 May 2007 in Chester, United Kingdom, could be used as a basis for the break-out sessions, pending the agreement of the future participants of this meeting. The proceedings are available on the web at the following address: <http://www.nea.fr/nsd/docs/2008/csni-r2008-10.pdf>

4. PARTICIPATION

Participation is solicited from regulatory bodies, technical support organizations, governmental, national and international organizations, scientific organizations, universities, and licensees of nuclear installations and utilities.

To ensure maximum effectiveness in the exchange of information, it is expected that participants are representatives experienced in dealing with safety culture aspects and/or with decision making roles.

The meeting is, in principle, open to all officially designated persons. The IAEA, however, reserves the right to limit participation due to limitations imposed by the available facilities. It is, therefore, recommended that interested persons take the necessary steps for the official designation as early as possible.

5. QUESTIONNAIRE

For preparation of the Technical Meeting, participants are invited to supply information on their national regulatory approaches used in the oversight of safety culture in accordance with the attached questionnaire (Attachment B). For coordination purposes, and to avoid any duplication, the IAEA used as a basis the questionnaire prepared by OECD/NEA and addressed to OECD Member States last May in preparation for the 10th International Nuclear Regulatory Inspection Workshop organized by OECD/NEA and held in Amsterdam, Netherlands. The questionnaire should be submitted to the IAEA Scientific Secretary by 17 January 2011.

6. WORKING LANGUAGE

The working language of the meeting will be English. No simultaneous interpretation will be provided.

7. VISAS

Designated participants who require a visa to enter Austria or any other Schengen State should submit the necessary application to the nearest diplomatic or consular representative of that State as soon as possible. In the case of Austria, persons who require a visa have to apply for a Schengen visa at least 14 days before entry into Austria. In States where Austria has no diplomatic mission, visas can be obtained from the consular authority of a Schengen Partner State representing Austria in the country in question.

8. EXPENDITURE

The costs of the Technical Meeting are borne by the IAEA; no registration fee is charged to participants.

Travel and subsistence expenses of participants will not be borne by the IAEA. Limited funds are, however, available to help cover the cost of participants from countries eligible to receive technical assistance under the technical cooperation programme. Such assistance can be offered, upon specific request, to one participant per country provided that, in the IAEA's view, this participant will make an important contribution to the meeting. The application for financial support should be made at the time of designation of the participant.

9. APPLICATION PROCEDURES

Nominations should be submitted on the attached Participation Form (See attachment A). Completed forms should be endorsed by and returned through the official channels. They must be received by the IAEA not later than **31 December 2010**. Nominations received after that date or applications sent directly by individuals or by private institutions cannot be considered. Nominating Governments will be informed in due course of the names of the selected candidates and at that time full details will be given on the procedures to be followed with regard to administrative and financial matters.

10. LOCAL ARRANGEMENTS

The Technical Meeting will be held in Conference Room VICMOE , at the IAEA's Headquarters in Vienna, Austria, and will start on Tuesday, 15 February 2011 at 9.30 a.m. and end at noon. on Friday, 18 February 2011. You are kindly requested to be at Checkpoint 1/Gate 1 of the Vienna International Centre (VIC) at least half an hour before the meeting starts to allow adequate time for your photo badge to be issued. Please bring some form of a personal identification with you, such as a national passport, so you can identify yourself to the Security Officers at Checkpoint 1.

The Technical Meeting agenda, together with information on local arrangements, will be sent to designated participants when the completed participation forms have been received.

11. PROCEEDINGS

The outputs of the meeting will be published in a technical report in electronic form.

12. IAEA Secretariat

The IAEA Scientific Secretary for the meeting is Ms Anne Kerhoas of the Division of Nuclear Installation Safety.

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ATTACHMENT A – PARTICIPATION FORM

Technical Meeting on Safety Culture Oversight and Assessment

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**IAEA Headquarters, Vienna, Austria
15–18 February 2011**

To be sent to the competent official authority (Ministry of Foreign Affairs or National Atomic Energy Authority) for transmission to the International Atomic Energy Agency, Vienna International Centre, PO Box 100, 1400 Vienna, Austria (telefax no. +43 1 26007).

PARTICIPATION FORM

FAMILY NAME:		ALL INITIALS OF GIVEN NAMES:	Mr/Ms
INSTITUTION:	FULL ADDRESS:		
	TELEPHONE No.: TELEFAX No.: EMAIL ADDRESS:		
NATIONALITY:	DESIGNATING GOVERNMENT OR ORGANIZATION:		
MAILING ADDRESS (IF DIFFERENT FROM THE ADDRESS INDICATED ABOVE):			
DO YOU INTEND TO SUBMIT A PAPER? YES <input type="checkbox"/> NO <input type="checkbox"/>			
TITLE OF PAPER:			

ATTACHMENT B - QUESTIONNAIRE

Experience from Overseeing Safety Culture

Submittal Date: 17 January 2011

Notes

Only one response per country is required. If more than one person from your country is participating, please coordinate the responses accordingly.

Submittals should be sent by email to: a.kerhoas@iaea.org

Forward

For preparation of the Technical Meeting, participants are invited to supply information on their national regulatory approaches used in the oversight of safety culture.

The questions cover topics from requirement to knowledge and skills and include evaluation approaches and reporting to licensees and external stakeholders.

For coordination purposes and to avoid any duplication, the IAEA used as a basis the questionnaire prepared by OECD/NEA and addressed to OECD Member States last May in preparation for the 10th International Nuclear Regulatory Inspection Workshop organized by OECD/NEA and held in Amsterdam, Netherlands.

Questionnaire

1. Are there any regulatory requirements related to safety culture in your organization? Yes / No
2. If yes, describe the regulatory requirements.
3. In the absence of regulatory requirements, how does your regulatory body convey its expectations regarding the importance of safety culture for nuclear safety and the promotion of safety culture, (e.g. the content of a safety culture programme and the need to be proactive) to operators/licensees?
4. How does your organization oversee compliance with its safety culture expectations for operators/licensees (e.g. routine inspections, special inspections, inspection criteria) in the absence of regulatory requirements?
5. How does your oversight programme convey to operators/licensees that the organization's expectations for the implementation of a safety culture programme have or have not been met (e.g. management meetings, documentation of inspection findings, enforcement or regulatory actions)?

6. How does your organization train its staff in the oversight of safety culture (e.g. does it use experts educated in this area, and/or does it train its inspectors)?

7. How does your organization avoid subjectivity and maintain consistency when overseeing safety culture?

8. How does your organization fairly communicate findings in the area of safety culture to external stakeholders (e.g. other operator/licensees and the general public) to ensure that its findings are not mischaracterized or taken out of context?

9. How does your organization assess the effect of safety culture on decision making process of operators/licensees (e.g. performing maintenance or equipment testing in a plant configuration that meets technical specifications and regulatory requirements but reduces the margin of safety)?

10. What have been the outcomes and findings associated with your oversight of the safety culture of operators/licensees?

11. What problems or difficulties did you recognize in dealing with safety culture oversight?

12. What would you like to learn about the oversight of safety culture at the technical meeting?