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Organisation de Coopération et de Développement Economiques  
Organisation for Economic Co-operation and Development

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**NUCLEAR ENERGY AGENCY  
COMMITTEE ON NUCLEAR REGULATORY ACTIVITIES**

**NEA/CNRA/R(2006)3  
Unclassified**

**OPERATING GUIDELINES**

**June 2006**

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## ORGANISATION FOR ECONOMIC CO-OPERATION AND DEVELOPMENT

Pursuant to Article 1 of the Convention signed in Paris on 14th December 1960, and which came into force on 30th September 1961, the Organisation for Economic Co-operation and Development (OECD) shall promote policies designed:

- to achieve the highest sustainable economic growth and employment and a rising standard of living in Member countries, while maintaining financial stability, and thus to contribute to the development of the world economy;
- to contribute to sound economic expansion in Member as well as non-member countries in the process of economic development; and
- to contribute to the expansion of world trade on a multilateral, non-discriminatory basis in accordance with international obligations.

The original Member countries of the OECD are Austria, Belgium, Canada, Denmark, France, Germany, Greece, Iceland, Ireland, Italy, Luxembourg, the Netherlands, Norway, Portugal, Spain, Sweden, Switzerland, Turkey, the United Kingdom and the United States. The following countries became Members subsequently through accession at the dates indicated hereafter: Japan (28th April 1964), Finland (28th January 1969), Australia (7th June 1971), New Zealand (29th May 1973), Mexico (18th May 1994), the Czech Republic (21st December 1995), Hungary (7th May 1996), Poland (22nd November 1996), Korea (12th December 1996) and the Slovak Republic (14 December 2000). The Commission of the European Communities takes part in the work of the OECD (Article 13 of the OECD Convention).

## NUCLEAR ENERGY AGENCY

The OECD Nuclear Energy Agency (NEA) was established on 1st February 1958 under the name of the OEEC European Nuclear Energy Agency. It received its present designation on 20th April 1972, when Japan became its first non-European full Member. NEA membership today consists of 28 OECD Member countries: Australia, Austria, Belgium, Canada, Czech Republic, Denmark, Finland, France, Germany, Greece, Hungary, Iceland, Ireland, Italy, Japan, Luxembourg, Mexico, the Netherlands, Norway, Portugal, Republic of Korea, Slovak Republic, Spain, Sweden, Switzerland, Turkey, the United Kingdom and the United States. The Commission of the European Communities also takes part in the work of the Agency.

The mission of the NEA is:

- to assist its Member countries in maintaining and further developing, through international co-operation, the scientific, technological and legal bases required for a safe, environmentally friendly and economical use of nuclear energy for peaceful purposes, as well as
- to provide authoritative assessments and to forge common understandings on key issues, as input to government decisions on nuclear energy policy and to broader OECD policy analyses in areas such as energy and sustainable development.

Specific areas of competence of the NEA include safety and regulation of nuclear activities, radioactive waste management, radiological protection, nuclear science, economic and technical analyses of the nuclear fuel cycle, nuclear law and liability, and public information. The NEA Data Bank provides nuclear data and computer program services for participating countries.

In these and related tasks, the NEA works in close collaboration with the International Atomic Energy Agency in Vienna, with which it has a Co-operation Agreement, as well as with other international organisations in the nuclear field.

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## **FOREWORD**

The Committee on Nuclear Regulatory Activities (CNRA) of the OECD Nuclear Energy Agency (NEA) is an international committee made up primarily of senior nuclear regulators. It was set up in 1989 as a forum for the exchange of information and experience among regulatory organisations and for the review of developments which could affect regulatory requirements. The Committee is responsible for the programme of the NEA, concerning the regulation, licensing and inspection of nuclear installations. In particular, the Committee reviews current practices and operating experience.

With the development of the Joint CSNI/CNRA Strategic Plan and the drafting of a CNRA Operating Plan, the need to develop operating guidelines was recognised. These documents along with the Review Report and the CNRA Historical Perspectives report will thus provide an overview that can serve present CNRA members as well as provide a valuable introduction to CNRA work for new delegates to the CNRA and its working groups.

This guideline takes stock of the accumulated experience of the CNRA since its conception and records it for further use or improvement.

These guidelines were prepared by Barry Kaufer, Deputy Head, Nuclear Safety Division, NEA Secretariat, based on input received from the CNRA Bureau and CNRA Members.



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## 1. INTRODUCTION

### 1.1 Background

Since its conception as a separate NEA Standing Committee in 1989, the Committee on Nuclear Regulatory Activities (CNRA) has operated under the basic procedures of the Organisation for Economic Co-operation and Development (OECD) under the guidance of the Nuclear Energy Agency (NEA) Steering Committee. The organisation and management of its work has been guided by its successive Chairs, a Bureau and the Committee itself with the assistance of the Secretariat of the NEA Nuclear Safety Division. No formal guidelines or procedures have existed to conduct its programme of work over this period.

In its 2005 report<sup>1</sup>, the CNRA Review Group noted, “Succession planning and transfer of knowledge and experience for staff in utilities, TSOs, and regulatory bodies has been identified by the CNRA as a key regulatory challenge. *The Review Group recommends that the CNRA pays due attention to its own internal knowledge transfer issues, both when delegates to the CNRA and its working groups are replaced and when there are changes in the Secretariat. Indeed, in a time of wide-ranging changes in nuclear infrastructure in many countries, both on the nuclear industry side and on the research side, regulatory bodies tend to be more stable as guardians of safety lessons learned over time, and the CNRA could and should play an important role as a “collective professional memory” in this respect.*”

With the development of the Joint CSNI/CNRA Strategic Plan and the drafting of a CNRA Operating Plan, the need to develop operating guidelines was recognised. These documents along with the Review Report and the CNRA Historical Perspectives report will thus provide an overview that can serve present CNRA members as well as provide a valuable introduction to CNRA work for new delegates to the CNRA and its working groups.

This guideline takes stock of the accumulated experience of the CNRA since its conception and records it for further use or improvement.

### 1.2 Purpose of this guidelines

These guidelines have been produced in conjunction with the development of the CNRA Operating Plan. The purpose behind this is to establish a systematic and transparent approach to how the CNRA and its subgroups are organised and how the Committee manages and performs its work. Similar to the Operating Plan this is the first attempt to produce such guidelines.

The intention is that these guidelines should fit into the hierarchy of documents that govern the work of CNRA. At the top of this hierarchy is the Strategic Plan of the NEA; immediately below that is the Joint CSNI/CNRA Strategic Plan; then follows the new operating plan and the operating guidelines (this document).

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<sup>1</sup> Review of the Role, Activities and Working methods of the CNRA.

### 1.3 Key Elements regarding the Committees Work

The CNRA Review Report and subsequent discussions at the CNRA derived a number of key elements concerning the work of the Committee, which have been reflected in this document. These are provided in the following list; however the reader should reference both the Review Report and CNRA Summary Records to get a full understanding.

- The work of the Committee is wide ranging, identifying and assessing emerging regulatory issues through the continuing exchange of information, developing consensus views, and by performing specific tasks by the committee itself, its working groups or special expert groups.
- The main working method of CNRA and its working and senior level task groups is performed via a task-oriented approach. The most common way tasks are completed is to collect information, normally either by actual exchange of information or through a survey. The information is then compiled, analysed and synthesised to develop good regulatory practices and documented into a CNRA report.
- The exchange of information remains one of the main purposes of the CNRA. National reports are prepared by the member countries for each meeting, circulated and discussed via a round table discussion. Changes over the past few years have been made to enhance the round table discussions held at each meeting. Instead of, as in the past, having one general round table to discuss national reports, the agenda item has been divided into 3 parts: review of recent operating experience (presented by the CSNI Working Group on Operating Experience), selected events of particular regulatory significance in member countries, and a round table of national reports.
- Another process used is to have an in-depth discussion. In this case the issue is prepared by a small task group and presented to the CNRA, which is followed by discussion among the members and either a satisfactory outcome is reached or further study is recommended. Where there is strong interest, this process can sometimes be turned into a workshop.
- One of the main lessons learned, and possibly one of the main benefits to the CNRA members, is the 'regulatory network' created between members during meetings and throughout the year. Having a forum where members meet and discuss directly with one another twice a year, has proven invaluable in providing CNRA members with easily accessible contacts in other countries to discuss emerging issues (i.e. urgent regulatory problems, sensitive issues, etc.) on a bi-lateral basis.
- The Review Group also noted the Committee should, on a continual basis, re-assess the number of working and senior level task groups. One aspect which may further enhance the effectiveness and efficiency of the Committee is to increase, if possible, the communication between the Committee and the Groups. The Committee needs to clearly articulate what the Working Groups need to accomplish and to provide the necessary support (e.g. resources, etc.). In return, the Working Groups need to respond accordingly to the Committee.
- The Review Group concluded from its observations that the volume of CNRA work over the past decade has increased to such an extent that the available resources are now stretched to the limit, both within the NEA Secretariat and in the form of effort from member organisation experts. Substantial increases in productivity have been achieved through the use of modern information technology and the support of highly qualified consultants. However, both the NEA Secretariat and most of the CNRA member organisations can be expected to have to live with significant budgetary constraints for the foreseeable future.



- The current number of meetings appears appropriate.
- Clear outcomes need to be established for any meeting, forum or workshop.
- Meeting participants should be senior regulators having adequate authority to commit resources.
- Meeting participants should have adequate communication skills.

#### **1.4 Structure of the Guidelines**

The document provides a comprehensive set of operating guidelines for the CNRA and its subgroups. Accordingly the following chapters have been structured to give the reader an overall perspective on the organisation and management of the CNRA.

Chapter 2 looks at the Committee Structure and Methods of Work. This includes information on the setup of the CNRA and its subgroups and how they function.

Chapter 3 provides guidance on the Administration of work by the Committee including organisational issues and approval processes.

Chapter 4 outlines the documentation and dissemination of information produced by the Committee.

The mandates of the Committee and its Working Groups, tables providing reference information on the CNRA activities and other reference material are contained in the Appendices to the report.

#### **1.5 Revision**

Revision of these guidelines should be limited to major structural changes in the organisation of the NEA or CNRA or significant changes in the working methods of CNRA. Otherwise, the need for revision should be assessed by the Committee every 4 to 5 years. Mandate revisions (which occur more frequently should be added by addendum to this edition.



## 2. COMMITTEE STRUCTURE AND METHODS OF WORK

Subject to some comments on the need for improved collaboration with CSNI, periodic upward reports to the NEA Steering Committee, and the transfer to CNRA of the CSNI Working Group on Operational Experience (WGOE), the CNRA Review Group was generally complimentary about the way the CNRA has hitherto organised its work: this has been done in a flexible way, using a mix of Working Groups and Task Groups to prepare reports, presentations and discussions at committee meetings and workshops. It saw no need for any fundamental change in the existing way of working. What follows is basically, therefore, a formal description of how the Committee should organise its activities to achieve its mission.

The membership of the CNRA shall be comprised of senior representatives of the national nuclear regulatory authorities of the NEA Member countries and observers from non-member countries (as per the direction of the NEA Steering Committee) and from relevant international organisations (EC, IAEA, etc.). Delegates selected by their national organisations shall have adequate authority to commit resources to fulfil the programme of work.

### 2.1 The Committee

The CNRA shall be responsible for the program of the Agency (NEA) concerning the regulation, licensing and inspection of nuclear installations with regard to safety (See Appendix A, CNRA Mandate).

The CNRA shall:

- Meet twice a year, with an annual meeting around early December and an additional meeting in June. The Committee should continue to devote part of its June meeting each year to the in-depth treatment of elected topics of high regulatory interest. Such meetings may take various forms e.g., special issues meetings, high level fora or workshops.
- Review, assess and approve the annual programme of work performed by the Committee.
- Provide the NEA Steering Committee with periodic, comprehensive and balanced overviews of safety regulation issues, and how they are addressed by the various NEA committees, thereby ensuring that cross-cutting regulatory issues are properly dealt with through improved co-operation between the committees concerned.
- Ensure that there is enough flexibility in the programme of work to address urgent regulatory safety issues that may emerge, e.g. being raised as the result of incidents or accidents.
- Ensure that Committee and Working Group meetings, workshops, task forces and publications, are planned and run from the user's perspective, in order to produce the most useful output. To ensure successful application of such a user perspective, the CNRA should perform regular assessments of the usefulness of the CNRA output to member organisations, not least with respect to added-value to safety.

- Retain a Bureau to guide the Committee in its programme of work. The Bureau will consist of the Chairman, two Vice-Chairs and four Bureau members distributed among the member countries considering the various regions, nuclear capacities, size and expertise. The Chair and Bureau members will be elected by the Committee and serve 3 year terms.
- Create and maintain Working Groups as forum of discussion and for the exchange of information in specific areas of nuclear safety regulation. The CNRA will approve the mandate for each group at three year intervals and will regularly review and approve its programme of work annually.
- Create and maintain Senior Level Task Groups made up primarily of CNRA members and other senior level regulators for specific issues in terms of expected useful output and with specific time limits. Where appropriate, such task forces should include expertise from other parts of the NEA, notably the CSNI network, and also from industry.
- Organise fora, conferences, and workshops to address current and future nuclear regulatory challenges, urgent issues that may emerge, etc, having close regard to the schedules of meetings convened by other organisations on similar dates and/or topics.
- Strive for enhanced co-operation, co-ordination and communication amongst NEA's other standing technical committees, as necessary, to clarify priorities and required products, and to address cross-cutting regulatory issues in a timely way. In particular, interaction with CSNI should be further improved, to ensure the timely input to the CNRA of CSNI expertise, both in a shorter and longer time perspective.

## **2.2 CNRA Chairman**

The Chairman of CNRA will preside over CNRA meetings, make presentations on the programme of work to the NEA Steering Committee (as required), represent the Committee at the annual meeting of NEA Standing Committee Chairs and perform other functions as designated by the Committee. Either of the Vice-Chairs (or other CNRA Bureau members as designated by the Committee) may perform these duties in his absence.

## **2.3 CNRA Bureau**

The Bureau will guide the Committee in its programme of work. In this role, the Bureau will:

- meet as necessary to formulate the programme of work of the Committee and its subgroups,
- establish and maintain (as a living document) a five (5) year CNRA Operating Plan based on the Joint CSNI/CNRA Strategic Plan,
- select and recommend nuclear regulatory issues for inclusion in the Programme of Work using the selection criteria and prioritisation scheme recommended in the 2005 CNRA Review Report,
- meet annually with the CSNI Bureau to review and co-ordinate their respective programmes in regard to nuclear safety, and
- perform other functions as designated by the Committee.

## 2.4 Working Groups

The CNRA currently has three (3) Working Groups as follows (mandates are given in Appendix B):

- Working Group on Inspection Practices (WGIP)
- Working Group on Operating Experience (WGOE)
- Working Group on Public Communication (WGPC) of Nuclear Regulatory Organisations

The Working Groups shall consist of senior experts in their field on the specific issue of relevance to the group (e.g., WGIP is composed of nuclear regulatory inspectors), nominated by their respective CNRA members<sup>2</sup>. Each Working Group shall be a forum for the exchange of information in their area of expertise, identify emerging issues, discuss their implications and propose (as necessary) ways to address these issues and shall receive guidance from the CNRA in formulating and implementing their programmes of work.

The 2005 CNRA Review Group noted that even with the close relationship between the Committee and its working groups, success requires constant monitoring and overseeing of the work. Additional concerns can also develop in determining the group membership (e.g. continuity needs, requirements to educate other staff internationally, resources needed, etc.). Therefore, it has to be ensured that proper attention is provided at an adequate level by each national organisation.

The Review Group also noted the Committee should, on a regular basis, re-assess the number of working and senior level task groups. One aspect, which may further enhance the effectiveness and efficiency of the Committee, is to increase, if possible, the communication between the Committee and the Groups. Additionally, the Committee needs to clearly articulate what the Working Groups need to accomplish and to provide the necessary support (e.g. resources, etc.). In return, the Working Groups need to respond accordingly to the Committee.

In general, each Working Group shall:

- meet once or twice a year, as necessary, to carry out its programme of work,
- elect a Chairman and Vice-Chair(s) to guide its work and report to the main Committee. The Chair and Vice-Chairs will serve 3-year terms.
- carry out a round table exchange on regulatory practices within their area of expertise,
- prepare state-of-the-art reports, reports on regulatory practices, etc.,
- organise international workshops, conferences, etc., and submit the outcomes and conclusions to CNRA,
- maintain close liaison with the other CNRA Working Groups (see below),

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<sup>2</sup> NEA Observers (Russian Federation and Slovenia and International Organisations) may appoint Observers to the Working Groups. Unless provided for under the terms of the OECD, Non-member countries cannot attend Working Group meetings.

- maintain proper interfaces and co-ordination with Working Groups in the other NEA Standing Committees (especially CSNI) and with other international organisations to minimise duplication and enhance knowledge transfer,
- regularly perform systematic assessments (at 2 to 3 year intervals) of the usefulness of their outputs to member organisations and the CNRA, not least with respect to added-value to safety, and
- perform other functions as designated by the Committee.

More specifically:

- WGIP's function as a professional meeting forum for inspectors should be preserved, and meetings should generally be held at senior inspector level. Occasional "tutorial seminars" for junior inspectors might be considered. WGIP shall promote co-operation and learning to mutually enhanced regulatory effectiveness and efficiency by reviewing the effectiveness of existing regulatory inspection practices, prepare reports, identify commendable practices and disseminate lessons learnt. The underlying concept of the WGIP should be expanded from inspection to cover an integrated assessment of lessons learned from inspection activities (i.e. inspection results, reviews, reports, indicators, etc.). New tasks performed by the group should focus on evolving inspection issues and methods. Further, national legal and organisational frameworks for inspection activities differ widely among the NEA member countries. Too detailed work on commendable inspection practices, which may be of limited use to several CNRA member organisations, should therefore be avoided.
- WGOE shall constitute a forum of experts for the analysis of operation experience, and meetings should include experts from regulatory, technical support and industry organisations. Analysis of operating experience and analysis of inspection experience are both of high importance for regulatory oversight of operational safety. The CNRA should therefore make use of possible synergy effects that could be obtained through a closer interaction between the WGIP and WGOE.

More specifically, WGOE shall also have an oversight of the IRS system established for collection and dissemination of operating experience. It should analyse the reported experience with the purpose of identifying potential generic need to take measures to improve safety (e.g., changes in hardware, procedures, activities, or organizations) or to initiate research to fill the gaps in the current state-of-the-art knowledge. The Working Group should also ensure that the quality of the IRS reports and the corrective actions is such that allows others to consider whether similar measures should be implemented, and facilitates the discussion by CNRA of any necessary actions.

Additionally, the information exchange process with the CSNI and its working groups should be at least as efficient as in recent years. In this sense, the combined conclusions from operating and inspection experience should provide improved guidance for specific CSNI activities

- WGPC mandate includes sharing information, news, documents, data, views, ideas and experiences in the field of public communication and stakeholder interaction. It will also keep abreast of activities of a similar or related nature undertaken by other Standing Committee in the NEA. The group shall also prepare reports on the general strategy of regulatory communications develop regulatory papers following topical discussions.

## 2.5 Senior Level Task Groups

Senior level Task Groups are established to provide consensus reports in the NEA member countries on the basic concepts of specific regulatory issues within specific time limits. The types of publications resulting from Task Group activities have varied over the last 10 years, but the main product of these groups has been small green booklets (Appendix C). These task groups use qualified consultants where appropriate, to assist the Secretariat to merge and distil inputs from the CNRA member organisations into useful reports (but not to replace such inputs). Where appropriate, such task groups should also include expertise from other parts of the NEA, notably the CSNI network, but also from industry.

In general, senior level task groups should consist primarily of CNRA members or other senior level regulators. The Task Group should elect a Chairman from within its membership. Task groups shall meet as necessary to meet their schedule. Important characteristics of these groups include: (1) Continuity of membership - while it is sometimes unavoidable, changes in group membership can cause problems in that new members coming into the group do not have the benefit of the previous discussions and more importantly decisions that were made; (2) Openness in discussions – the free and open exchange of ideas can provide new or unforeseen issues that can improve the report; (3) Reaching consensus – finding consensus is not easy, but members should strive to be flexible in their objectives and to seek a common understanding; and (4) timeliness in providing comments – late responses from one or two members can cause serious time delays.

## 2.6 CNRA Fora, Conferences, Workshops and Special Issues Meetings

The CNRA holds fora, conferences and workshops on various regulatory issues, as needed. The overall structures are the same and the type is normally determined based on the size and level of participation merited by the chosen issue. All share the same criteria, which is the need to be timely and have a clear objective and a defined outcome, so as to bring added value to the participants and provide them with useful information.

All of these types of meetings may be open<sup>3</sup> to non-member countries, other international organisations, research organisations, industry representatives, other stakeholders, etc. In general:

- Fora have large participation (> 50), are organised to provide a unique environment in which Head Regulators from the NEA member countries and non-Member countries address major policy issues and are held under the auspices of the NEA. Intervals between these meetings should be chosen to ensure a good selection and preparation of topics and in consideration of the many other demands on top-level regulators to participate in international meetings.
- Conferences also have large attendance, but typically of a slightly lower level of audience participation, and are normally held jointly with another international organisation. Typically they are organised to provide a unique environment in which regulators can address current and emerging regulatory issues, which can then be used as a basis for regulatory developments in the national context.
- Workshops and/or Specialist Meetings are held by both the CNRA and its Working Groups and vary in size according to the topic being discussed. Typically they are organised to provide a unique environment in which high-level regulators can address specific regulatory issues, which can then be used as a basis for regulatory developments in the national context.

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<sup>3</sup> By invitation from the CNRA or a co-sponsoring organisation.

- Special Issues Meetings are those in which CNRA devotes a full day for an in-depth discussion on a nuclear safety issue of high regulatory concern. These meetings typically require sufficient member countries resources to provide experts to work with the Secretariat to prepare and present the issue such that a full CNRA debate can be held. Special Issues meetings should end with tentative regulatory conclusions from the meeting made by the CNRA Chair, assisted by the Secretariat.

## **2.7 Other CNRA Meetings**

In addition to those listed in the previous sections, from time to time, CNRA organises additional meetings. These may be generated by events or incidents, new technological knowledge, changes in the regulatory environment, etc. They also may evolve from CNRA co-ordination or co-operative efforts with other NEA Committees or international organisations. This type of meeting could be organised in any of the ways described previously, based on the decision of the Committee.

## **2.8 Membership**

CNRA membership shall be based on nominations received by the NEA Secretariat from each member country. Membership in CNRA subgroups (e.g., working groups, senior level expert groups, organising committees, etc.) shall be based on nominations received by the NEA Secretariat from the respective CNRA member(s) in each member country.

CNRA observers<sup>4</sup> shall be selected as described above by either the national regulatory organisation for a country or by the appropriate designated individual for international organisations.

The following items should be considered relating to membership:

- When membership changes are being contemplated (for the CNRA, the Working Groups, etc.), the CNRA members should consider having an orderly turnover (e.g. the retiring and new members would both attend a meeting together prior to the changeover).
- For short term tasks (e.g. senior level task groups), it is important to have clear membership from the beginning to the end. Changes have been seen to cause inefficiency, in that new members are not always up-to-date on decisions that were made previously.

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<sup>4</sup> NEA Observers (Russian Federation and Slovenia and International Organisations) may appoint Observers to the Working Groups. Unless provided for under the terms of the OECD, Non-member countries cannot attend Working Group meetings.



### 3. ADMINISTRATION

In order to carry out its Programme of Work, it is necessary that the CNRA has clear and transparent processes, performs its work efficiently and effectively and ensures that its activities are well documented. The following sections provide general guidance on how the Committee and its sub-groups are organised and carry out their work and describes the approval process used by the Committee.

#### 3.1 Organisational Issues

In organising its programme of work, the Committee needs to acknowledge the important role played by the CNRA in sharing knowledge among member organisations, the wealth of regulatory experience available, and how this serves as a valuable introduction to CNRA work for new delegates to the Committee or any of its working groups.

##### 3.1.1 Meeting Agendas

In view of the above, and in order to achieve better efficiency and effectiveness, the following key elements should be included **at each meeting** of the CNRA and its Working Groups:

- Exchange of regulatory information and regulatory practices
- Interface and interaction with others, for example:
  - in the case of CNRA, with other NEA Standing Committees, International Organisations, etc., and,
  - in the case of Working Groups, with CNRA and CSNI Working Groups, International Organisations, etc.
- Review of Programme of Work
- User Perspectives:
  - Conduct a feedback round-table discussion to review how the inputs are being used in Member countries and
  - Chairman's summary of the main results of the meeting.

Succession planning and transfer of knowledge and experience has been identified by the CNRA as a key regulatory challenge and as such CNRA members should ensure continuity in the membership of the Committee and its working groups.

### **3.1.2 Meeting Organisation**

Note: Additional information is included under Section 4.2.3 CNRA Meeting Documents

*CNRA and Working Groups* The official notification for each CNRA or Working Group meeting should be prepared by the Secretariat in conjunction with the Chairman. Notifications should include as a minimum, preliminary agenda in addition to the time, date and location of the meeting. Documents related to the meeting (agenda items) should be transmitted (or posted on the NEA web site) as far in advance as feasible. Highlights and/or summary records should be prepared by the Secretariat following the meeting.

*Task Groups and Other Meetings* These meetings do not require an NEA official notification, however the Secretariat in conjunction with the group involved, should transmit (electronically) a preliminary agenda in addition to the time, date and location of the meeting.

## **3.2 Programme of Work Organisation**

### **3.2.1 Proposal Process**

In approving work, the Committee should reflect on the following recommendation in the CNRA Review Report, which states:

*The Review Group therefore concludes that further expansion of the CNRA work volume does not appear realistic, and recommends that the CNRA Bureau together with the NEA Secretariat makes a thorough assessment to check that the future programme of work is commensurate with the available resources, both those at the Secretariat and those assigned by member organisations, so that timely and useful output can be ensured on the issues of highest priority according to the criteria in the previous sections.*

All work to be proposed should be submitted via the CNRA Proposal Form (see Appendix D) shall include information on:

- Title: Subject of the work to be performed.
- Objectives and scope: Short definition of the main objectives and scope for the work to be performed.
- Relevance: Short description of the relevance of this work to the member countries and why it is essential to be carried out by a CNRA Working Group. Reference to appropriate section of CNRA Operating Plan or other CNRA documents (i.e., meeting summary record) should be included.
- Expected Outputs: What is the added value of this work to nuclear safety and regulatory activities and what will be the final product.
- Work Process: Short description of how the work will be carried out, task group, participants, consultants, co-ordination with others, etc.
- Schedule and milestones: Expected intervals for develop, obtaining interim results and delivering final products, etc.
- Interaction with Others: Other organisations work is being co-ordinated with both inside NEA and externally (e.g., IAEA, WENRA, etc).

### **3.2.2 Approval Processes**

#### *The Committee*

The Programme of Work of the Committee shall be carried out, as in the past, based upon the consensus of the CNRA members and the agreement of the NEA Steering Committee.

In accordance with the NEA direction, the Mandate for the CNRA shall be approved for a 5-year period by the NEA Steering Committee.

CNRA publications, CNRA reports shall be approved based on consensus of the CNRA members.

Meeting documents and internal documents (tabled reports, presentations, results of surveys, etc.) shall be agreed to by the committee or subgroup holding the meeting.

#### *Working Groups*

The Programmes of Work for the Working Groups shall be approved by the consensus of the CNRA members on a yearly basis. The mandates for each Working Group shall be reviewed and approved by the CNRA every 3 years. In order to better clarify newly proposed work, all new proposals shall be submitted via the CNRA Proposal Form.

Each Working Group shall also provide systematic assessments on how it is meeting its Programme of Work. The Working Groups shall report the results of these assessments and of any other significant problems or delays in the performance of the work regularly (either annually or bi-annually) to the CNRA.

#### *Senior Level Task Groups*

CNRA shall initiate Senior Level Task Groups for specific objectives in terms of expected useful output and with specific time limits. Where appropriate, such task groups should include expertise from other parts of the NEA, notably the CSNI network, and also from industry. In addition, CNRA shall continue to use qualified consultants where appropriate, to assist the Secretariat to merge and distil inputs from the CNRA member organisations into useful reports (but not to replace such inputs).

As recommended in the CNRA Review Report, publications and reports developed by the Senior Level Task Groups should be carefully prepared, appropriately peer reviewed, and the final publication endorsed by the CNRA in plenum.

#### *CNRA Fora, Conferences, Workshops and Special Issues Meetings*

Based on endorsement from CNRA in plenum, Fora, Conferences, Workshops and Special Issues Meetings shall be organised. Where appropriate, such task groups should include expertise from other parts of the NEA, notably the CSNI network, and also from industry. In addition, CNRA shall continue to use qualified consultants, where appropriate, to assist the Secretariat to merge and distil inputs from the CNRA member organisations into useful reports (but not to replace such inputs). Resulting reports (or proceedings) should be carefully prepared, appropriately peer reviewed, and the final publication endorsed by the CNRA in plenum.



## 4. DOCUMENTATION AND DISSEMINATION

In order to carry out its Programme of Work, it is necessary that the CNRA has clear and transparent processes, performs its work efficiently and effectively and ensures that its activities are well documented. The following sections define the different types of reports and other documents that are produced as outputs of the CNRA activities and how they are disseminated.

### 4.1 General

The Review Group concluded that CNRA activities are well documented, but that more stringency would be beneficial in the definition of the different types of reports and other documents that are produced as outputs of various CNRA activities. The Group therefore recommended that the CNRA prepare guidance defining the types of documents produced under the auspices of the CNRA.

Correspondingly, the following types of documents shall be produced by the CNRA:

- **Publications:** Significant regulatory reports and CNRA green booklets
- **Reports:** CNRA Reports include Regulatory Practices, State-of-the-Art Reports, Workshop Proceedings, etc and Working Group Reports
- **Meeting Documents:** Meeting Notifications, Summary Records, etc.
- **Internal Documents :** Meeting Room Documents, Results of Surveys, etc

Details on the format and dissemination of each of the above are given in the following sections.

### 4.2 Documentation

#### 4.2.1 Publications

*CNRA Publications* include Significant Regulatory Reports and CNRA green booklets. NEA/CNRA publications are glossy green and white covered reports, and those issued for CNRA are categorised under *Nuclear Regulation*. Such reports are normally initiated by the CNRA or one of its Working Groups, with a clearly defined purpose from a user perspective. Publications should be available in both printed and electronic form.

#### *Significant Reports*

Those reports which contain significant information on nuclear regulatory safety issues including results from major workshops and which the Committee deems of high interest to others (e.g., government authorities, nuclear power plant operators, the general public, etc.) shall be produced as an NEA publication. In most cases these are 'for sale publications and are issued in the official languages of the OECD (French and English).

### *CNRA Green Booklets*

Over the past 10 years or so the CNRA has produced a series of Green booklets. These booklets have provided the consensus of senior level regulatory experts in the NEA member countries in the basic concepts of a specific regulatory issue (e.g. safety culture, de-regulation, decision making, etc.) in a concise pamphlet. In most cases these are free publications and are issued in the official languages of the OECD (French and English).

In order to better clarify the contents and identify the series of CNRA green booklets, with the issuance of this operating plan, they will now be sequentially numbered, beginning with the first report on The Role of the Nuclear Regulator in Promoting and Evaluating Safety Culture (See Appendix D). Note: Documentation on the downloadable versions on the NEA website will be revised to reference the sequential numbering of these reports.

### **4.2.2 Reports**

#### *CNRA Reports*

CNRA Reports include Regulatory Practices, State-of-the-Art Reports, Workshop Proceedings, etc. CNRA Reports are green (thick paper) covered reports and are categorised under the NEA heading of *Nuclear Regulation*. They also are identified with an NEA document number for CNRA [e.g., NEA/CNRA/R(200x)x].

These types of reports consist of documentation on activities that CNRA, its Working Groups or Task Forces would find useful to have recorded in such a series. Working documents such as Regulatory Practices, State-of-the-Art Reports, Workshop Proceedings, etc., shall be in separate, numbered series for the CNRA and each of its working groups. To save time and costs, working documents would typically be available from the Secretariat only in electronic form and could consist of simple electronic compilations of presentations at meetings and workshops.

#### *Regulatory Practices and State-of-the-Art Reports*

These are generally reports prepared by a CNRA Working Group or generated from a CNRA Special Issues meeting on specific regulatory safety issues.

#### *Workshop Proceedings*

Workshop Proceedings normally contain a compilation of the papers and presentations made at the workshop along with additional background information that was obtained either through surveys or questionnaires. In most cases a summary of the workshop with the main conclusions and/or recommendations should be added.

#### *Working Group Reports*

Working Group reports generally consist of specific results from surveys or topics of interest within the expertise of the working group itself. In general the reports contain significant information that is valuable to international experts working within the specific discipline and not necessarily to all regulators. Working Group Reports are white (thick paper) covered reports and are categorised under the NEA heading of *Nuclear Regulation*. They also are identified with an NEA document number for Working Group (e.g., CNRA/WGxx/(200x)x).

### 4.2.3 CNRA Meeting Documents

CNRA Meetings documents are produced on normal paper with the OECD template and side bar information. In addition, meeting notifications have a 'red bar' at the top and bottom.

#### *Meeting Notifications*

Formal notifications (including preliminary agendas) should be issued for all meetings of the CNRA and its Working Groups<sup>5</sup>. Senior Level Expert Groups, Workshop Organising Committees and other groups do not require official notifications and summary records, and their issuance is left up to the group and the Secretariat.

Notifications should include a preliminary agenda in addition to the time, date and location of the meeting, and every effort should be made to have it transmitted at least one month prior to the meeting.

#### *Highlights / Summary Records*

Highlights and (formal) Summary Records should be issued for all meetings of the CNRA and its Working Groups<sup>6</sup>. Informal highlights should be prepared for Senior Level Expert Groups, Workshop Organising Committees and other groups. Summary records are not required for these meetings.

Highlights should be brief and contain the significant decisions and main actions taken.

Summary records of meetings should be brief and concise reports, including the main conclusions, major decisions and a brief summary of the significant discussions. Summary Records are required for each CNRA Meeting and for each meeting of a CNRA Working Group. Summary Records for other meetings are optional. Each summary should include (as a minimum) the following:

- Committee Name, Working Group, date and location of meeting,
- Brief Highlights and Actions taken,
- Meeting Summary and
- List of Participants and attachments (e.g., significant reference documents).

Every attempt should be made to transmit the Summary Record of a meeting within one month of the closure of the meeting. CNRA members shall receive copies of Summary Records from each Working Group, and each Working Group should receive a copy of the CNRA Summary Record.

They are identified with an NEA document number as follows: NEA/SEN/NRA/group name (year sequential number) and are classified as FOR OFFICIAL USE ONLY (restricted to the use of CNRA and/or the sub-group).

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<sup>5</sup> Per OECD/NEA procedures.

<sup>6</sup> Per OECD/NEA procedures.

### *Revision Process*

A new revision of a meeting document should be made for major changes.

Minor editing or comments made to a previous meeting document at a following meeting should be reflected in the new summary record for that meeting and does not require revision of the past record.

### *Internal CNRA Documents (Meeting Room Documents, Results of Surveys, etc.)*

Internal CNRA Documents requiring identification are white (thick paper) covered reports. Numerous internal documents are generated by the CNRA and its sub-groups. These include meeting room documents such as national reports on regulatory practices and events, slide presentations, information from other organisations, etc. Additionally, members provide information on specific regulatory practices, specific regulatory issues (e.g., digital I&C inspections) and the results of informational surveys or group discussions.

As these are internal documents for the CNRA or its sub-groups, no approval process is required, however, it is required that these documents are classified as either UNRESTRICTED (public access allowed) or FOR OFFICIAL USE ONLY (restricted to the use of CNRA and/or the sub-group).

## **4.3 Dissemination**

Publications and reports produced by the CNRA shall be made available in both printed and electronic form. Distribution or downloading of CNRA documents shall be based on the OECD classification (UNRESTRICTED or FOR OFFICIAL USE ONLY) and per the following sections of this plan.

The Secretariat, in concurrence with the CNRA Bureau, shall determine the proper access requirements for CNRA documents (e.g., Summary Records should have secure password protected access, while CNRA reports should normally be unrestricted and open to the public). Moreover, easy localisation and downloading of CNRA documents over the Internet is a key factor from a user perspective.

*NEA Website Documents:* All CNRA documentation shall be made available<sup>7</sup> on the NEA website in the appropriate locations (The NEA Internet site [www.nea.fr](http://www.nea.fr)). Nuclear Safety section, under the heading CNRA, will have at the bottom of the page a portion accessible only to members and observers of the CNRA - "CNRA members' area". Working Groups will have similar sections on their individual pages. These areas are password protected. Additional secure access areas for specific tasks will be based on their particular requirements.

### **4.3.1 CNRA Publications**

*Printed Version:* Hard copies of all publications will be distributed to all CNRA members, CNRA observers and members of the CNRA working groups. Additional copies will be available upon request to the Secretariat<sup>8</sup>. The Secretariat, in concurrence with and as designated by the CNRA or its Bureau, shall also distribute copies to other NEA Standing Committees (e.g., CSNI), organisations, stakeholders, etc.

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<sup>7</sup> There may be some circumstances in which this is not possible and the Secretariat should inform the CNRA members accordingly.

<sup>8</sup> Printed copies of the glossy publications are normally limited to one publication run. Following distribution of all glossy copies, the Secretariat will make available green thick paper copies.



*Electronic Version:* Downloadable versions of all publications will be made available on the NEA web site.

#### **4.3.2 CNRA Reports**

*Printed Version:* Hard copies of all reports will be distributed to all CNRA members, CNRA observers and members of CNRA Working Groups. Additional copies will be available upon request to the Secretariat. The Secretariat, in concurrence with, and as designated by the CNRA or its Bureau, shall also distribute copies to other NEA Standing Technical Committees (e.g., CSNI), organisations, stakeholders, etc. Hard copies of internal CNRA documents will be distributed to meeting participants.

*Electronic Version:* Downloadable versions of all publications will be made available on the NEA web site. Downloadable versions of internal CNRA documents will be made available on the secure web site associated with either the CNRA or the sub-group performing the work.

#### **4.3.3 Working Group Reports**

*Printed Version:* Hard copies of all reports will be distributed to the CNRA Working Group which produces the report. Additional copies will be available upon request to the Secretariat. The Secretariat, in concurrence with, and as designated by the CNRA or its Bureau, shall also distribute copies to others. Hard copies of internal CNRA documents will be distributed to meeting participants.

*Electronic Version:* Downloadable versions of all publications will be made available on the NEA web site. Downloadable versions of internal CNRA documents will be made available on the secure web site associated with either the CNRA or the sub-group performing the work.

#### **4.3.4 CNRA Meeting Documents**

*Printed Version:* Hard copies of all meeting notifications<sup>9</sup> and summary records will be distributed to all CNRA members, CNRA observers and members of the CNRA Working Groups. Summary Records are issued as FOR OFFICIAL USE ONLY documents. Additional copies will be available upon request to the Secretariat. The Secretariat in concurrence with and as designated by the CNRA or its Bureau shall also distribute copies to other interested parties.

*Electronic Version:* Downloadable versions of meeting notifications will be made available on the NEA web site. Additionally, the various documents supporting meeting agenda items will be placed in the Members Area as soon as they become available and if possible CDs will be distributed to members at the end of each meeting.. Summary Records will be made available in the NEA Delegates area, which is a secure site.

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<sup>9</sup> Meeting notifications for individual Working Groups will be transmitted to the CNRA and the specific Working Group involved.



## APPENDIX A

### CNRA MANDATE

The Committee on Nuclear Regulatory Activities (CNRA) shall be responsible for the program of the Agency concerning the regulation, licensing and inspection of nuclear installations with regard to safety. The Committee shall constitute a forum for the exchange of information and experience among regulatory organisations. To the extent appropriate, the Committee shall review developments, which could affect regulatory requirements with the objective of providing members with an understanding of the motivation for new regulatory requirements under consideration and an opportunity to offer suggestions that might improve them or avoid unwarranted disparities among member countries. In particular, it shall review current management strategies and safety management practices and operating experiences at nuclear facilities with a view to disseminating lessons learnt. The Committee shall promote co-operation among member countries to use the feedback from this experience to improve safety, to enhance efficiency and effectiveness in the regulatory process and to maintain adequate infrastructure and competence in the nuclear safety field.

The Committee shall promote transparency of nuclear safety work and open public communication. The committee shall maintain an oversight of all NEA work that may impinge on the development of effective and efficient regulation.

The Committee shall focus primarily on existing power reactors and other nuclear installations; it may also consider the regulatory implications of new designs of power reactors and other types of nuclear installations. Furthermore, it shall examine any other matters referred to it by the Steering Committee. The Committee shall collaborate with, and assist, as appropriate, other international organisations for co-operation among regulators and consider, upon request, issues raised by these organisations. The Committee shall organise its own activities. It may sponsor specialist meetings and working groups to further its objectives.

In implementing its programme the Committee shall establish co-operative mechanisms with the Committee on the Safety of Nuclear Installations to work with that Committee on matters of common interest, avoiding unnecessary duplications. The Committee shall also co-operate with the Committee on Radiation Protection and Public Health and the Radioactive Waste Management Committee on matters of common interest.



**APPENDIX B**  
**WORKING GROUP MANDATES**

## **Working Group on Inspection Practices**

### ***Scope***

The scope of work of WGIP is to examine regulatory inspection practices within the following context:

- Inspection is any examination, observation, measurement, or test to assess structures, systems, components, materials, operational activities, processes, procedures, and personnel and organisational competence. Regulatory inspection is inspection by or on behalf of a regulatory body.
- One important responsibility of a regulatory body is to verify by inspection that licensees operate safely, that their activities fully comply with all applicable regulations, and that safety is given the highest priority. Regulatory inspection must therefore be supplemented by reviews and by other regulatory controls to yield an integrated assessment of safety and provide a basis for enforcement, which is an essential part of the regulatory oversight process.

### ***Main Objectives***

The working group shall constitute an international forum for exchanging information and experience and with the agreement of CNRA will plan its work to ensure improvements in nuclear safety through more effective and efficient regulation.

To this end, the working group shall:

- promote co-operation and learning to mutually enhance regulatory effectiveness and efficiency by reviewing the effectiveness of existing regulatory inspection practices, prepare reports and disseminate lessons learnt, and by sponsoring and holding international workshops on regulatory inspection practices;
- consider what inspection and practices are appropriate to address the future regulatory challenges as identified by CNRA;
- consider the lessons learnt from regulators and regulatory inspections and practices from operational experience.

### ***Methods of Working***

Annually the WGIP will prepare a revised plan of work for the next 2 years for agreement by the CNRA.

The working group will closely interact with the Working Group on Operating Experience (WGOE), as the analysis of operating and inspection experiences are both highly important to the oversight of operational safety.

With CNRA's agreement the working group will collaborate with, and assist other NEA committees and other international regulatory organizations.

## **Working Group on Operating Experience**

### ***Objectives***

The main objective of WGOE is to share experience and knowledge, analyse and provide expert insights from operating experience to reach timely conclusions on trends, lessons learnt and effective responses in the short to medium term, and to promote proposals for re-assessment of safety, additional research, new or revised regulatory inspection practices, improvements in managing operations, and other actions to maintain and improve safety in the longer term.

In order to accomplish this prime objective the working group shall:

- Meet periodically to share from their member states incident and event information covering trends, significant important events, responses and measures taken, and lessons learnt.
- Meet periodically to review the information from the IRS and other data bases. Have oversight of the Incident Reporting System (IRS) established for collection and dissemination of operating experience. The Working Group should also ensure the quality of the IRS reports and that the corrective actions are presented in such a manner that they allow others to consider whether similar measures should be implemented, thus facilitating CNRA to discuss and decide on respective actions.
- Promote the development and sharing of improved techniques and methods for the collection, assimilation, review and analysis of incidents.
- Provide expert insight and analysis capabilities to event and inspection experience, and effectiveness of actions taken

### ***Methods of Working***

- Constitute a forum of experts for the analysis of operating experience from regulatory authorities, technical support organisations and industry representatives
- Closely co-ordinate with and provide input to the Working Group on Inspection Practices (WGIP), as the analysis of operating experience and analysis of inspection experience are both of high importance for regulatory oversight of operational safety.
- Report to the Committee on Nuclear Regulatory Activities (CNRA) and assist that Committee with its work. The programme of work of WGOE will be approved by CNRA. It shall also sponsor specialist meetings and workshops to further its objectives.
- Provide and receive regular reports to and from the Committee on the Safety of Nuclear Installations (CSNI), from which the CSNI may consider initiating specific tasks in existing working groups, establish new research programmes or provide input on the current state-of-the-art. The Working Group shall collaborate with or assist the CSNI Working Groups and NEA Projects.
- Coordinate its work with other NEA committees and international organisations (e.g., IAEA, EC, WANO, etc.).
- Provide regular reports to the CNRA on trends, significant important events, responses and measures taken, lessons learnt nationally and internationally.

**Working Group on Public Communications of Nuclear Regulatory Organisations**

1. The Working Group will share information, news, documents, data, views, ideas, and experiences in the field of public communication and stakeholder interaction. It will keep abreast of activities of a similar or related nature undertaken by other parts of the NEA.
2. The Working Group will review developments, progress, techniques, tools, procedures and achievements in the area of nuclear regulatory communication with the public and stakeholders. It will highlight lessons learned and good practices.
3. The Working Group will provide assistance to CNRA members, through technical notes and workshops, by addressing specific issues and practices.
4. The Working Group will co-operate, internally and externally, with other organisations in regulatory public communication and stakeholder interaction matters, in line with NEA policy.”



**APPENDIX C**  
**PROPOSAL FORM FOR NEW WORK**

<b>CNRA PROPOSAL – GROUP/YEAR/NO.<sup>10</sup></b>	
Title	Subject of the work to be performed
Objective/Scope	Short definition of the main objectives and scope for the work to be performed.
Relevance	Short description of the relevance of this work to the member countries and why it is essential to be carried out by a CNRA Working Group. Reference to appropriate section of CNRA Operating Plan or other CNRA documents (i.e., meeting summary record) should be included.
Expected Outputs	What is the added value of this work to nuclear safety and regulatory activities and what will be the final product?).
Work Process	Short description of how the work will be carried out, participants, consultants, co-ordination with others, etc.
Schedule / Milestones	Expected intervals for develop, obtaining interim results and delivering final products, etc.
Interaction with Others	Description of co-ordination: Internal: Other CNRA Working Groups, CSNI Working Groups or other NEA Standing Committees External: Other organisations, for example, IAEA, WENRA, WANO, etc.
Approved by CNRA	Date and meeting when approved by CNRA

<sup>10</sup> Group/Year/Number – Example WGIP(2006)1



**APPENDIX D**  
**CNRA GREEN BOOKLETS**

CNRA #	Year Issued	Title
1	1999	The Role of the Regulator in Promoting and Evaluating Safety Culture
2	2000	Regulatory Response Strategies for Safety Culture Problems
3	2001	Nuclear Regulatory Challenges Arising from Competition in Electricity Markets
4	2001	Improving Nuclear Regulatory Effectiveness
5	2002	The Nuclear Regulatory Challenges in Judging Safety Backfits
6	2002	Improving versus Maintaining Nuclear Safety
7	2003	The Regulatory Challenges of Decommissioning Nuclear Reactors
8	2003	Nuclear Regulatory Review of Licensee Self-assessment (LSA)
9	2004	Nuclear Regulatory Challenges Related to Human Performance
10	2004	Direct Indicators of Nuclear Regulatory Efficiency and Effectiveness Pilot Project Results
12	2005	Nuclear Regulatory Decision Making
13	2006	Regulatory Challenges in Using Nuclear Operating Experience