***Purpose***

Provide a framework for WANO members to self-assess performance with respect to WANO performance objective Leadership Foundations (LF) described in PO&C 2019-1, Performance Objectives and Criteria. This document will align with principles and definitions as detailed in WANO PL2019-01, Nuclear Leadership Effectiveness Attributes.

***How To Use***

This document should be used in conjunction with, rather than instead of, the organisation’s self-assessment process and requirements (see also WANO principles 2001-07, Effective Self-Assessment and Corrective Action Program). This document should assist in scoping, staffing, and conducting a self-assessment of leadership foundations to facilitate a systematic and comprehensive review based on the principles in WANO PL2019-01.

This document contains and refers to many organisational effectiveness and leadership performance assessment documents and tools that can be used to complete the review of leadership foundations. The team leader or equivalent position should determine which tools will be most useful for the specific assessment. In addition, the team leader should be familiar with using the tools or obtain assistance from someone who is familiar. Using too many tools, or the wrong tools, could result in not identifying the most important gaps or in finding too many gaps, too many corrective actions and diluting the main issue.

***Conducting the Self-Assessment***

1. Scoping & Scheduling

Clearly defining the scope of the assessment will assist the team in identifying the appropriate activities and conducting the assessment. Conducting a review or analysis of leadership foundations should be sponsored by the executive with line responsibility for the organisation. This individual may be a corporate or site employee, but must have the positional authority to accept any findings of the team and implement the necessary corrective actions.

The assessment sponsor should meet with the team leader to clearly establish the scope of the assessment, the boundaries and assumptions, and necessary timeframe. The team leader should also meet with the senior site leader to ensure the scope meets station expectations. The scope could be broad such as a comprehensive review of leadership performance at the site, or specific such as a response to an area for improvement (AFI) or causal product. Time spent clearly defining the scope will benefit the assessment team as well as the station team as activities will be understood and supported by all participants.

When scoping the assessment, the sponsor should be clear that the assessment team is not evaluating the performance or effectiveness of any individual leader. The team will not be commenting on nor making recommendations regarding any specific leaders in their current roles. The team will be evaluating the effectiveness of the organisation and the leadership team (site or departmental) as a whole. The assessment team will review the performance in terms of the leadership effectiveness attributes and provide conclusions and recommendations with respect to improving the outcomes and effectiveness of the organisation.

The assessment should be scheduled following the station procedures and requirements. The assessment should not normally be scheduled during high stress or high activity timeframes such as refuelling or maintenance outages, high holiday/annual leave periods, or external review periods (WANO, OSART, regulatory, etc.). In addition, the assessment should be scheduled when work activities are at normal levels and the majority of the station managers are present onsite in their assigned roles. These scheduling considerations will facilitate the team observing the necessary activities and interactions in standard operating conditions.

In some instances, the intent of the assessment may be to determine why a leadership team is less effective during times of high stress. In these cases, some observations during high stress times could be important inputs to the team to determine how the leadership team reacts to stressors. Analysis of this input should focus on whether teamwork and positive behaviours are maintained during times of stress or whether leaders revert to poor behaviours and individual focus.
2. Team Composition

In order to complete a quality assessment of leadership effectiveness, a team approach is necessary. An assessment team will be able to draw on the experiences and viewpoints of multiple members and will provide a more balanced perspective, more developed conclusions and comments, and more robust and implementable actions.

A graded approach should be used when identifying the necessary composition for the assessment. The team leader and sponsor should discuss and agree on team composition and team membership. The sponsor agreement is a key factor in the long-term success of the assessment. If the sponsor does not endorse the standing and experience of the assessment team, the conclusions and recommendations may lack the necessary credibility to be implemented as intended. The following table can be used to assist in staffing the self-assessment team:

|  |  |  |  |  |
| --- | --- | --- | --- | --- |
|  | **Site Comprehensive** | **Site Focused** | **Department Comprehensive** | **Department Focused** |
|  | In-Depth Assessment Reviewing All Leadership Effectiveness Attributes for the Entire Station | Focused Assessment Reviewing a Subset of Leadership Effectiveness Attributes | In-Depth Assessment Reviewing All Leadership Effectiveness Attributes for a Specific Department | Focused Assessment Reviewing a Subset of Leadership Effectiveness Attributes |
| **Sponsor** | Senior Onsite or Offsite Manager or Executive | Senior Onsite Manager or Executive | Department Manager or Above | Department Manager |
| **Team Leader** | Onsite or Offsite Senior Manager or Director | Onsite Senior Manager or Director | Onsite Department Manager – not the department under assessment | Onsite Department Manager or Superintendent – not the department under assessment |
| **Team Size** | 6-8 people | 4-6 people | 4-6 people | 3-4 people |
| **Participant Experience** | Manager or AboveAt least one participant with Senior Manager or Executive experience | Manager or AboveAt least one participant with Senior Manager experience | Manager or Senior ManagerAt least one person with Senior Manager or Director experience | Manager or SuperintendentAt least one person with Department Manager experience |
| **External Participant(s)** | 2 peopleSenior Manager Level | 1-2 people Senior Manager Level | 1-2 people Department Manager Level | 1 person Department Manager or Superintendent Level |
| **Assessment Duration** | 5-7 Days | 3-5 Days | 4-5 Days | 3-4 Days |

1. Inputs

As with the team composition, a graded approach should be used in determining the inputs the team should use for consideration and review. While historical and performance documents can provide context and background for the team, organisational and leadership effectiveness is best reviewed by interviewing the members of the organisation and observing the organisation at work. These interactions will allow the assessment team to understand the drivers and causes of behaviours – both positive and undesired.

Documents that should be considered for review by team members include:

WANO Peer Review Reports – LF, NP, SC AFIs/Strengths
Causal products that respond to plant events
Causal products that address organisational or programmatic drivers
Employee Engagement Survey results – if available
Internal and External Oversight Reports
Regulatory Findings
2. Team Activities

Each team member should develop a schedule of activities that includes time observing and interacting with the organisation. These activities could include meeting observations; organisational observations (rather than task or activity observations); interviews of leaders, stakeholders, and employees; focus groups; or leader shadowing. The activities should be focused on gaining insights into how leaders work and engage with the organisation, how employees in the organisation interact with each other, and how these behaviours compare to station/department expectations and behaviours associated with excellence in leadership effectiveness.

Each member should have a copy of WANO PL2019-01, Nuclear Leadership Effectiveness Attributes for reference as the week progresses. In addition, throughout the week, team members should use Attachment 2, Self-Assessment Team Member Worksheet (LEA), and Attachment 3, Self-Assessment Team Member Worksheet (NSC) to capture observation facts, insights, perspectives, and other relevant information from their activities. These documents will be used in the team analysis meeting on the final day of the assessment.
3. Team Assessment

On the final day of the assessment, the team should conduct a joint assessment of the leadership effectiveness attributes using Attachment 1, Organisational Effectiveness Analysis. The team leader should act as the facilitator for the activity, guide the conversation, and capture the insights and inputs of the team members. This assessment should be used to formulate the final team conclusions and recommendations. It should be noted that this Attachment should not be used as a stand-alone document to review organisational or leadership team effectiveness. In addition, the attachment should not be used by a single individual to rate organisational effectiveness. The contents of the document assume that multiple team members have participated in gaining insights and perspectives of the organisation, and those insights will combine to provide an accurate and more complete picture. In addition, the use of a team provides a balanced perspective rather than individual opinions.

After the team completes the exercise described in Attachment 1, the team leader should facilitate a discussion to identify common themes and trends in the discussion. Additionally, the team leader should capture specific examples that explain the team ratings. The discussion should be conducted as a driver analysis to determine which themes are drivers, which are impacts and which are the outcomes. As the drivers are identified, further definition and perspectives should be documented to assist the station senior leaders in developing the appropriate corrective actions. The results of this analysis should be used to facilitate a discussion with station senior managers and for the basis of the self-assessment report.

***References and Tools***

WANO PL2019-01, Nuclear Leadership Effectiveness Attributes

XXX, WANO Document – What Good Looks Like

YYY, WANO Document – LE Solutions Guides

ZZZ, WANO Document – OD Process Manual

AAA, LF.1 How-To Review Guide