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Leadership and Team Effectiveness Attributes

Revision 1

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Introduction

As leaders in the commercial nuclear power industry, we carry a unique responsibility. Every day, we commit ourselves and our organizations to producing electricity reliably while upholding the highest standards of safety and performance. We not only focus on the day-to-day activities but also constantly challenge ourselves to anticipate, prevent and, if necessary, respond to low-probability, high-consequence events. Our ability to lead our organizations and teams effectively is essential for fulfilling our obligation to all of our stakeholders — our employees, members of the public, regulators — and to each other as part of the global nuclear power community.

Although our industry is characterized by long-term success, plants continue to exhibit performance decline, often slowly, but in some cases precipitously. At times, site and corporate leaders are either unaware of the declines or are slow to react to them. In addition, the demands of sustaining the highest levels of nuclear safety in an ever-changing business environment continuously challenge nuclear leaders.

Identifying the Standards
and Their Applicability

Strong leaders and leadership teams are essential to sustaining high levels of plant safety and reliability. The link between the presence of effective leaders and leadership teams and the resultant high levels of sustainable performance is supported by numerous examples throughout our industry's history.

This document identifies the standards of effective leadership and teams within the framework of the commercial nuclear industry. Leaders and teams are present at all levels of an organization; however, in the context of nuclear power plant performance, the senior leaders at a site set the tone and model the behaviors for their organizations. Similarly, the site senior leadership team models the behaviors for effective teams.

These standards may be applied to other parts of the organization (such as the corporate support functions), but some elements of the attributes may not directly apply.

Relationship to the Performance Objectives and Criteria

This document supports the achievement of the performance objectives and criteria (PO&Cs) by providing more detailed descriptions of, and focus on, the attributes of leadership and team effectiveness. This document describes observable attributes seen in effective organizations; the specifics of "how" these outcomes are achieved will vary from plant to plant, based on such variables as the plant's history, culture, and the style of the leaders themselves. In addition, while all of the attributes are important, some will be more critical than others depending on the level of performance and the specific challenges present at a particular site.

Development of the Leadership and Team Effectiveness Attributes

INPO has identified that weak leadership teams and weak organizations have continued to challenge industry performance and have been identified as key drivers of plant declines. After reviewing industry strengths and areas for improvement, interactions with high-performing organizations, and applicable research with industry groups and executives, nine leadership attributes and five team attributes were commonly associated with high performance.

While recognizing that other positive attributes may exist, the presence of the following leadership and team effectiveness attributes is foundational for excellent performance.

Leadership Effectiveness Attributes

- Promoting a Clear Vision and Strategy to Achieve Excellence (LE 1.)

- Implementing a Strong Talent Management and Leadership Development Strategy (LE 2.)

- Fostering a Learning Organization — Continuous Improvement (LE 3.)

- Developing an Aligned, Engaged Workforce (LE 4.)

- Inspiring, Motivating, and Communicating (LE 5.)

- Building and Sustaining Trust with Employees and External Stakeholders (LE 6.)

- Providing Effective Coaching and Feedback in an Environment of Healthy Accountability (LE 7.)

- Making Effective Decisions and Appropriately Managing Risk (LE 8.)

- Achieving Sustainable Results (LE 9.)

Team Effectiveness Attributes

- The Team is Aligned Around a Common Purpose, Vision and Goals (TE 1.)

- Team Talent, Roles and Responsibilities are Clear (TE 2.)

- The Team Creates a Positive Atmosphere of Mutual Trust and Respect (TE 3.)

- Team Decision-Making and Conflict Resolution are Effective (TE 4.)

- Members are Committed to the Success of the Team (TE 5.)

Relationship to the Essential Outcomes

The Leadership Effectiveness Attributes in this document are grouped based on how they relate to Essential Outcomes. The Essential Outcomes have been developed to ensure highly effective organizations and are defined as:

Set Direction — Company leaders promote a clear and compelling vision and strategy to achieve organizational alignment, provide common priorities, and foster continuous improvement.

Maximize Competence — Leaders ensure the organization is comprised of diverse, knowledgeable, qualified, capable and proficient team members empowered and accountable to identify early signs of decline and take aggressive action to address performance gaps to excellence.

Engage the Workforce — Leaders foster a positive environment of healthy ownership, trust and accountability. This creates motivated teams that take meaningful actions to advance the organization's priorities and goals.

Cope with Risk — Leaders leverage organizational expertise to promote informed decision-making with the overarching philosophy that nuclear is different. Risk is recognized, understood and addressed before action is taken.

Essential Outcomes

Set Direction

Maximize Competence

Engage Workforce

Cope With Risk

Achieve Sustainable Results

Achieve Sustainable Results — Leaders achieve sustainable results by influencing organizational behaviors and reinforcing high standards to achieve ownership and accountability for performance. Teams are most effective when members at all levels are committed to the success of the team by

Leadership and Team Effectiveness

Leadership Effectiveness Attributes

LE 1
Establish a Clear Vision and Strategy

LE 2
Develop Talent

LE 3
Foster a Learning Organization

LE 4
Align and Engage Workforce

LE 5
Inspire/Motivate/ Communicate

LE 6
Build and Sustain Trust

LE 7
Coach and Foster Accountability

LE 8
Make Good Decisions and Manage Risk

LE 9
Achieve Sustainable Results
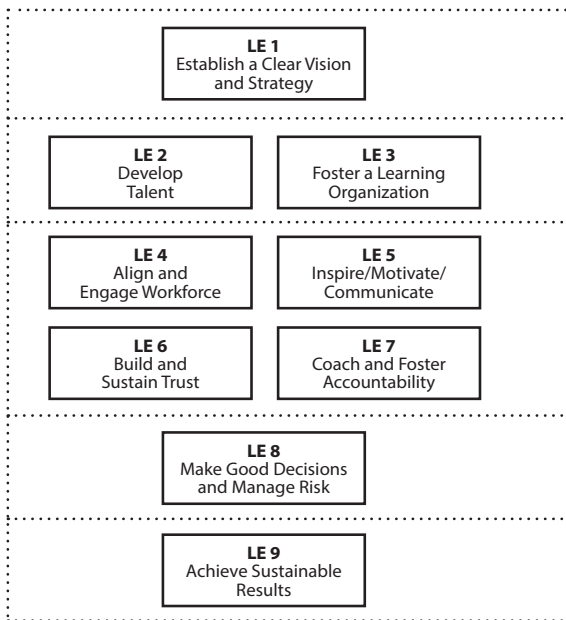
demonstrating personal ownership for the collective outcomes. While success is measured by a wide spectrum performance, including achievement of short-term wins and long-term goals, appropriate focus is also applied to the behaviors employed to achieve results.

Attributes Diagram

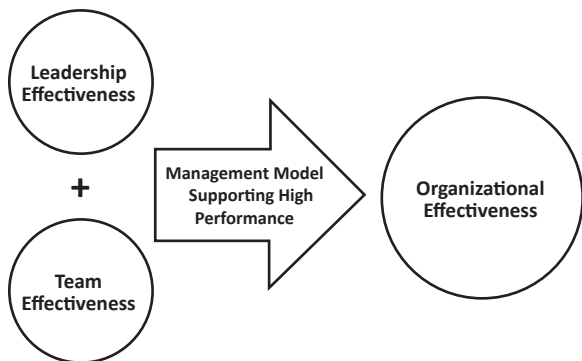| Essential Outcomes	Team Effectiveness Attributes
Set Direction	**TE 1** Aligned on Common Purpose, Vision and Goals.
Maximize Competence	**TE 2** Team Talent, Roles and Responsibilities are Clear
Engage Workforce	**TE 3** Positive Atmosphere of Mutual Trust and Respect
Cope With Risk	**TE 4** Decision-Making and Conflict Resolution are Effective
Achieve Sustainable Results	**TE 5** Committed to the Success of the Team

The Ultimate Outcome: Organizational Effectiveness

Organizational effectiveness is the outcome of sound individual leaders, a strong leadership team, and an effective management model including elements such as programs, processes, resources, management controls, and oversight. The following diagram depicts the relationship among effective leadership, teams, a management model, and organizational effectiveness. In general, across the industry the elements contained within the management model are mature and well defined. When plants are in decline or, conversely, when plants have sustained long periods of strong performance, the management model itself is rarely the driver. Instead, the performance is driven by the effectiveness of the leadership and the team and, by extension, by how well the management model is executed. Said another way, effective leadership and leadership teams are foundational to fostering the environment to implement a highly effective management model and, in so doing, achieve excellent organizational effectiveness.

Organizational Effectiveness Model

Leadership Effectiveness

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Team Effectiveness

Management Model Supporting High Performance

Organizational Effectiveness

How to Use this Document

While this document provides a detailed description of leadership and team effectiveness attributes and outcomes, it is not intended to be a "checklist." It is not required that the wording used to describe the attributes be duplicated in site- or company-specific documents; however, it is expected that these attributes be present and evident in the daily activities, behaviors, and outcomes of your organization.

Expected actions are to compare these attributes to the current content of your competencies and leadership/team effectiveness models and to close identified gaps. Implementation guidelines are contained in INPO 16-008, Leadership and Team Effectiveness Attributes Implementation Guideline, as a tool to assist the organization in promoting effective implementation and monitoring of these attributes. These attributes and associated supporting material in INPO 16-008, including discussion questions, could be used in midcycle assessments, training, and other forums to identify actions needed to improve performance. In addition, a library of best practices aimed at improvement in specific attributes or fundamentals has been compiled and maintained by the industry and is available on the INPO website.

Leadership Effectiveness Attributes

Effective leaders are critical to the success of the organization as well as to the success of the collective world nuclear industry. Leadership skills can be and must be developed at all levels within an organization and throughout an individual's career. Senior leaders have the responsibility to ensure leadership talent development is a high priority.

The following attributes are most important to be demonstrated by the senior leaders of the organization. However, leaders at all levels of the organization, including individual contributors leading work teams, are more effective when they exhibit most, if not all, of these attributes.

The leadership effectiveness attributes are grouped based on how they relate to essential outcomes, as illustrated in the Leadership Effectiveness Attributes diagram on Page 8-9. These outcomes are as follows: Set Direction, Maximize Competence, Engage the Workforce, Cope With Risk, and Achieve Sustainable Results.

When considering outcomes and their corresponding individual attributes, the observable behaviors for each level of the organization will be different. For example, under "Set Direction," some outcomes associated with the attribute of promoting a clear vision and the strategy to achieve excellence are

different for the senior leadership team, department managers, first-line supervisors, and corporate leaders.

a. The site vice president and the senior leadership team establish, communicate, and reinforce the strategic direction and goals for the site.

b. Department managers communicate the site strategy and goals and establish, communicate, and reinforce department-specific goals and actions supporting the station strategy.

c. First-line supervisors communicate department goals and actions to their employees and align their priorities and activities to ensure successful completion.

d. Leaders at all levels of the organization demonstrate alignment to the site strategy and goals by holding themselves and others accountable to support the strategy and activities associated with the strategy.

e. The corporate leadership team establishes, communicates, and reinforces the strategic direction and goals of their nuclear fleet.

Similar examples exist for each of the attributes.

Set Direction

LE 1. Promoting a Clear Vision and Strategy to Achieve Excellence

Leaders promote a clear and compelling vision and strategy to achieve organizational alignment, establish common priorities, and foster continuous improvement. They set a personal example by their own behaviors.

a. Goals are clear and represent industry excellence in nuclear safety and plant reliability.

b. Leaders demonstrate, by words and actions, their full commitment to the vision and strategy.

c. Leaders, managers, and employees understand their roles in the strategy.

d. Leaders understand and appropriately consider the financial impacts of their strategic plans.

e. Leaders effectively communicate, demonstrate, and reinforce behaviors and standards reflective of the pursuit of excellence.

f. Leaders recognize and reinforce the importance of team effectiveness.

Maximize Competence

LE 2. Implementing a Strong Talent Management and Leadership Development Strategy

Leaders implement a development strategy that creates an organization comprised of diverse, qualified, capable, and proficient individuals able to sustain long-term performance.

a. Leaders fill key positions with well-qualified, prepared candidates who have the behaviors, necessary technical expertise, and experience to be successful.

b. Leaders include diversity as an integral factor in talent management and leadership development.

c. Leaders ensure subject-matter expertise, qualifications, and certifications are vested in a broad number of individuals.

d. Leaders use development plans and mentoring to both improve employees' performance in current roles and to prepare them for future roles.

e. Leaders are personally engaged in succession planning activities and manage risks associated with staffing changes.

f. Leaders monitor individual and leader performance and adjust talent and resources as necessary for organizational success.

g. Leaders support healthy pipelines in the organization and proactively identify individuals with leadership potential.

LE 3. Fostering a Learning Organization – Continuous Improvement

Leaders foster a learning organization that recognizes small signs of decline and uses appropriate methods for aggressively closing performance gaps.

a. Leaders actively seek and act upon independent input.

b. Leaders staff internal and external oversight organizations with highly competent personnel who deliver quality feedback.

c. Leaders demonstrate a bias for prompt action in response to signs of decline, even when small, without rationalization.

d. Leaders promote and reward prevention and detection behaviors throughout their organizations.

e. Leaders use benchmarking, self-assessments, operating experience, and training to improve performance.

f. Leaders understand and mitigate proficiency challenges.

g. Leaders teach the organization by sharing knowledge gained from industry training, communicating lessons learned from industry meetings, and imparting professional and leadership experiences.

Engage the Workforce

LE 4. Developing an Aligned, Engaged Workforce

Leaders develop an aligned and engaged workforce who understands their role in meeting organizational goals and is willing to strive for and sustain excellence.

a. Leaders align individuals to a common mission and goals.

b. Leaders develop a workforce who understands the importance of their actions on plant operations.

c. Leaders openly communicate, demonstrate, and reinforce alignment with cross-functional priorities.

d. Leaders create an environment that encourages employees at all levels to identify gaps and to make improvements to activities, processes, and working conditions.

e. Leaders listen, actively seek input and demonstrate through their actions that they value diverse input.

f. Leaders celebrate individual and team successes.

LE 5. Inspiring, Motivating, and Communicating

Leaders, by commitment and example, create an environment where individuals are engaged, inspired, and motivated.

a. Leaders create a positive environment where employees want to do their best.

b. Leaders communicate important issues and key operational decisions in a clear, straightforward, and timely manner to all stakeholders.

c. Leaders demonstrate resilience, positively motivating employees — especially during periods of plant challenges, significant events, or extended recovery periods.

d. Leaders practice and develop the skills necessary to make decisions and to communicate effectively during periods of high stress.

e. Leaders monitor for and correct working conditions that can inhibit employees from achieving their best performance.

LE 6. Building and Sustaining Trust with Employees and External Stakeholders

Leaders build and sustain trusting relationships with employees and external stakeholders by listening, acting, and communicating with integrity while ensuring the purpose of goals and strategies is well understood.

a. Leaders set a personal example by modeling desired behaviors and maintaining high standards of integrity.

b. Leaders seek out and are receptive and responsive to differing ideas, concerns, questions, and opinions.

c. Leaders openly encourage and act upon feedback about their own behaviors and actions.

d. Leaders develop and sustain healthy relationships with regulators, community leaders, neighbors, and other external stakeholders.

e. Leaders recognize and act upon their obligation to be influential as members of the broader nuclear industry.

f. Senior station and corporate leaders interact proactively and positively and explain the "why" behind important actions and decisions whenever possible.

LE 7. Providing Effective Coaching and Feedback in an Environment of Healthy Accountability

Leaders provide candid and timely feedback, reinforce positive behaviors, correct shortfalls, and nurture ownership — creating a culture of healthy accountability to improve performance. Coaching is used for motivation as well as for accountability.

a. Leaders are visible in the field and actively provide constructive feedback.

b. Leaders use constructive coaching and mentoring to motivate and to develop other leaders.

c. Leaders reinforce positive behaviors and results as well as provide candid feedback on performance gaps and development areas.

d. Leaders use appropriate management systems and follow up to ensure important items are resolved in a timely manner, even where strong personal relationships exist.

e. Leaders hold employees and each other accountable for compliance with programs, processes, procedures, and expectations.

Cope with Risk

LE 8. Making Effective Decisions and Appropriately Managing Risk

Leaders ensure decisions are made at the appropriate organizational level and involve diverse perspectives to make certain that potential unintended consequences are recognized and that risk is appropriately managed.

a. Leaders use appropriate technical and nontechnical expertise to inform the decision-making process.

b. Leaders ensure that affected stakeholders understand decision-making roles and responsibilities and ensure that the ultimate decision-making authority is clear.

c. Leaders encourage a questioning attitude and seek diverse input.

d. Leaders are directive when required.

e. Leaders consider cumulative impact when making decisions.

Achieve Sustainable Results

LE 9. Achieving Sustainable Results

Leaders achieve sustainable results by shaping organizational behaviors and by relentlessly reinforcing high standards to achieve ownership and accountability for performance.

a. Leaders assign clear responsibility and appropriate authority for achieving strategic goals.

b. Leaders act with a sense of urgency to arrest performance declines.

c. Leaders intervene when ownership of issues is uncertain or when progress toward achieving results is inadequate.

d. Leaders understand the capacity of their organizations and ensure resources are effectively used.

e. Leaders create an environment where individuals see themselves as part of a larger team — a team demonstrating both a collective ownership of the mission and a collective accountability for its success.

f. Leaders understand the need for, and are capable of, adapting their leadership behaviors to maximize team effectiveness across a wide band of performance.

g. Leaders have the courage to make difficult or unpopular decisions and to challenge the status quo.

Team Effectiveness Attributes

Leaders have an obligation not only to do their best as individuals but also to ensure that they perform effectively as team members to achieve organizational results. Effective leadership teams are able to accomplish more collectively than individual leaders will accomplish separately. When teams demonstrate collective ownership of the mission and collective accountability for success, the organization has increased capability to perform at an excellent level.

Leadership team effectiveness is a key driver in achieving sustained excellent plant performance; thus, the following attributes are most important to be demonstrated by the senior leadership team.

Set Direction

TE 1. The Team is Aligned Around a Common Purpose, Vision, and Goals

The leadership team aligns itself, its organizations, and its priorities around a common purpose, vision, and goals to achieve organizational results.

a. Team members clearly articulate a shared vision of excellence.

b. Team members share common guiding principles and a clear understanding of roles and responsibilities.

c. Team members commit to shared goals and to each team member's success, including alignment of activities in their core business.

d. Team members demonstrate collective ownership for overall station performance, including improving the effectiveness of the entire organization — not just their responsible area.

Maximize Competence

TE 2. Team Talent, Roles, and Responsibilities Are Clear

Teams are proficient when requisite knowledge and skills are available, and team members are prepared to execute their roles and responsibilities precisely.

a. Team member capabilities are complementary, balanced, and result in team proficiency.

b. Team members maintain awareness of team and individual proficiency challenges and act to mitigate gaps.

c. Team members reinforce the importance of individuals executing their team roles and challenge those who do not meet the intent or who step out of their assigned roles.

d. Team members understand different individual styles (for example, the tendency to behave, contribute, and interrelate with others in a particular way) and interact in ways to sustain optimal team dynamics.

Engage the Workforce

TE 3. The Team Creates a Positive Atmosphere of Mutual Trust and Respect

Leaders create a level of trust within the team and with external organizations such that team decisions and results are understood and accepted as fair and appropriate and support organizational goals.

a. Teams demonstrate excellent internal and external communication skills.

b. Team members critique their successes and shortfalls in order to improve performance.

c. Team members communicate in a mutually supportive, respectful, open, honest, and complete manner.

d. Team members motivate each other, avoid negative competition, and readily assist other members when needed.

e. Teams promote a positive atmosphere through celebration and collegial fun.

f. Team members put effort into building team cohesion.

g. Team members communicate unified support for team decisions to their organizations.

h. Team members "walk their talk," and actual behavior aligns with stated values and expectations.

Cope with Risk

TE 4. Team Decision-Making and Conflict Resolution Are Effective

Teams effectively leverage the collective talent of diverse team members to make sound decisions.

a. Team members communicate assertively — not aggressively, express concerns without blaming individuals, listen thoughtfully, and use challenges to positively influence better team outcomes.

b. Team members resolve conflicts promptly, openly, and respectfully. Different conflict resolution techniques are used depending on the issue, such as consensus, compromise, negotiation, authoritative command, or delegation.

c. Team members identify and communicate conflicts potentially impacting team effectiveness.

d. Teams leverage diverse member styles, strengths, and perspectives to optimize results and avoid groupthink.

e. Teams make timely decisions commensurate with the level of risk.

f. Teams address emergent issues and adjust to unexpected outcomes.

g. Team members support decisions and remain receptive to new information that could challenge the bases for prior decisions.

Achieve Sustainable Results

TE 5. Members Are Committed to the Success of the Team

Teams are most effective when members are committed to the success of the team by accepting personal accountability for the collective outcomes.

a. Team members demonstrate ownership for goals and share mutual accountability to achieve team and organizational objectives.

b. Team members provide support and are accountable for the success of their teammates as well as themselves.

c. Team members hold themselves and each other accountable for meeting internal and external commitments.

d. Team members give each other positive and critical feedback to improve performance and team functioning.

e. Team members work together to mitigate risks to the plant, to the organization, and to the overall enterprise.

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