

Integrated Safety Management Program Management and Integration Subgroup Meeting Minutes – Las Vegas, Nevada

November 19, 2008

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John McDonald (CH2M Hill)
Theron McGriff (INL)
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Doug Minnema (DNFSB)
George Mortensen (Institute of Nuclear Power),
Beverly Ramsey (LANL)
William Roege (DOE-HS)
Joy Rule (BEA)
Roy Schepens (Parsons)
Marcy Shope (NFS)
Robert Thompson (Bechtel-SAIC)
Jessica Wilke (BNL)
Colby Williams (DOE)
Tom Williams (DOE)
Patricia Worthington (DOE-HQ)

Key ISM Website Links

1. EFCOG Link <http://www.efcog.org/>. The ISM Program Management and Integration Subgroup link as well as the Safety Culture Task Team November 2008 link contain the presentations from this meeting.
2. DOE ISM Champions Link <http://hss.energy.gov/HealthSafety/ism/>
3. Idaho National Laboratory 2008 Champions Workshop Presentations <https://secure.inl.gov/ismws08/presentations.aspx>

08:30 – 08:45 Introductions/Meeting Minutes Review

- ◆ John McDonald, the ISM Program Management and Integration Subgroup Chair opened the ISM Program Management and Integration group session. Participants introduced themselves and provided a brief overview of their roles and responsibilities within their respective Institutions/Corporations. The primary purpose for the meeting was to discuss the joint EFCOG/DOE Safety Culture Task status and then get feedback on practices to improve safety culture.
- ◆ John McDonald provided an overview of the ISM Champion safety culture meeting and joint EFCOG/DOE Safety Culture Project. Discussion points included the following:

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- Feedback on union involvement from DOE meetings.
- ◆ Expectations related to safety culture
- ◆ Overview of Task Team Members and their affiliation
- ◆ Lines of inquiry for assessment of reporting culture, detailed metrics, and
- ◆ Current team products, which include:
 - Joint EFCOG/DOE Safety Culture Project team report to EFCOG executive council
 - Safety culture assessment meeting handout
 - Safety culture improvement tools handout

John McDonald also discussed the path forward for the joint EFCOG/DOE Safety Culture project. Activities include:

- ◆ Continue Contractor dialogue at November EFCOG ISMS working group meeting
- ◆ EFCOG Executive Council, DOE, and DNFSB briefings in December
- ◆ Elective contractor participation, one year participation

Steve Coleman will be stepping down as the subgroup secretary after this meeting because of increased job demands and promotion at his facility. A call for anyone interested in this position was communicated. Theron McGriff from INL will work with Steve and assume the role of Secretary (effective May 09 meeting). Steve has done an outstanding job as secretary over the past three years. We wish him well in his new position.

08:45 – 09:15 Case for Improvement – Contractor Perspective (Dave Amerine)

Dave Amerine provided an overview of contractor perspective on safety culture case for improvement. Discussion points included the following:

- ◆ Definition of culture, including artifacts, values and assumptions. The artifacts and behaviors are what you and your employees do, espoused beliefs and values are what you say and underlying assumptions are what you believe. Participants discussed the different levels of organizational culture.
- ◆ Dave also discussed safety culture and integration/linkage and integrated safety management systems. The role of a safety conscious work environment. Based on the concepts above discussed a case for change from the contractor perspective was clearly communicated to participants.

09:15 – 09:30 Case for Improvement – DOE Perspective (Patricia Worthington)

Dr. Worthington provided an overview of the DOE perspective for a case for change and improvement. Dr. Worthington communicated that back in 1991 when evaluating site ES&H programs, reviews identified that a majority of problems at the Laboratories were linked to safety culture. However, significant improvement is still needed and there is a long way to go. Other discussion points include:

- ◆ DOE found that change is really about culture and how do you make those changes? There is a need to be prepared to discuss safety culture and what DOE is doing to address concerns.

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- ◆ Discussed the need for a baseline DOE survey. HSS plans to conduct a survey to get insight on DOE HSS safety culture.

09:30 – 10:00 Case for Improvement DNFSB Staff Perspective (Doug Minnema)

Dr. Minnema provided an overview of the DNFSB perspective on safety culture in DOE. Doug discussed with participants the following topical areas:

- ◆ The “Reason Model” for safety investment vs. production investments. As organizations desire to economically optimize the relative cost of safety in an activity, with a deficit in safety investments a more rapid degradation occurs (see presentation for a view of the model and detailed description).
- ◆ Discussed the Davis-Besse Nuclear Power Plant conditions that were known and led to the corrosion event. Some examples include; external market conditions drove managers to defer maintenance, workforce responded by reducing the rigor, chasing symptoms not causes, and oversight process was not effective and failed to recognize defective changing organizational behaviors.
- ◆ Participants discussed the event regression model, which describes how organizational accidents often follow the same progression, which are external influences, management response to changes; workers respond to changing behaviors, significance to safety is recognized that often leads to safety performance declining over time.
- ◆ Dr. Minnema also discussed DOE’s cultural challenges; with budget and mission constraints, changes in leadership (i.e., new administration), frequent changes in policies and requirements, lack of a common point of interest and strong loyalty to the institutions staff work are some of the major cultural challenges faced by DOE.

To close, Dr. Minnema communicated and quoted to participants top 10 list when you know you have a safety culture (Winokur, P. (November 2007). Safety Culture, ISM Champions Meeting, Brookhaven National Laboratory). The top 5 are:

1. Leaders “talk the talk”
2. Safety is the overriding priority
3. Leaders “walk the walk”
4. Workers are empowered to ensure their own safety
5. Everybody takes personal responsibility for safety

10:00 – 10:30 Process Overview Diagram (Roy Schepens)

Roy Schepens communicated to participants a process overview for safety culture improvement. Discussion points include the following:

- ◆ Roy defined safety culture and the core values needed for establishing a safety culture.
- ◆ Continuous improvement in ISMS can be accomplished through improved safety culture. The model Roy presented includes; focus areas, tools to improve and tools to assess safety culture. All of the aforementioned process elements are aligned to and with the Integrated Safety Management System guiding principles, core functions and supplemental safety culture attributes.

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- ◆ Significant discussion with participants on the state of analyses performed at Laboratories. Relative to causal analyses and accident analyses, they do not go far enough and in most cases orders are written to pass the blame to individuals.
- ◆ Participants discussed the benefits of periodic assessments and measurement. Such benefits include an indication where emphasis should be placed, provides a basis for more extensive evaluation and finally what gets measured must be managed.
- ◆ Roy also provided examples of indicators and assessment criteria. For details, refer to the presentations on the EFCOG ISM Program Manager and Integration Web Site <http://www.efcog.org/>.

10:45 – 11:45 Safety Culture Background – Linkage to ISM (Richard Hartley)

Dr. Hartley presented three objectives for understanding safety culture and linkage to ISM. The three objectives are; 1) what is safety culture and why it's important to ISMS? 2) How you assess safety culture? And 3) How you enhance your safety culture. Discussion points with participants included the following:

- ◆ Why culture is important? Dr. Hartley communicated that safety culture either provides sustainability for safety or is an inhibitor to being safe. He also provided an overview of safety requirements, unwritten rules and ignored requirements which are integral for establishing the safety culture.
- ◆ Discussed with participants leadership roles and stated “it can be argued that the only thing of real importance that leaders do is to create and manage culture.”
- ◆ An approach to strengthening culture is to understand culture response to external and internal stimuli; management needs to be educated on safety culture, and baseline the current culture. Understand where your organizations are and if ISM programs achieve desired results.
- ◆ Participants discussed the basics of safety culture. Dr. Hartley discussed Schein's levels of culture and an unhealthy/weak safety culture or intelligent culture.
- ◆ Dr. Hartley communicated that a healthy strong safety culture exists when underlying assumptions line up with espoused values which line up with artifacts. Sustainable safety exists when sub cultures align.
- ◆ Participants discussed the challenges and awareness of organizational subcultures. These subcultures unions, fire department, security, manufacturing, maintenance and support functions.
- ◆ Components of safety culture are reporting, just learning and flexible cultures. Where the bottom line is this is conducive to an informed culture.
- ◆ Dr. Hartley discussed the basics of assessing safety culture. Start with evaluating your organization's safety culture. The focus area should focus on the leadership, employee/work engagement and organizational learning attributes. Assessments methods include: direct observations for work behaviors, causal factors analyses, surveys, face to face interviews and performance indicators to name a few.
- ◆ Participants discussed the stages of safety culture maturity. Stage 1 is where organizations sees safety as an external requirement and not an aspect of conduct that will help organizations succeed; stage 2 management perceives safety performance as important even in the absence of regulatory pressure. Stage 3 organization has adopted ideas of continuous improvement and applied the concept to safety performance.

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Dr. Hartley and other presenters recommend managers; leaders and supervisors read “Organizational Culture” by Schein. The author communicates 3 different safety cultures and that intelligent workers will do what the manager says.

01:00 – 02:30 Assessing Safety Culture (Todd Conklin)

Todd interacted with participants to show an example of how cultures are established. Todd discussed with participants the following:

- ◆ Review of the levels of culture
- ◆ Discussed evaluating your organizations safety culture, words of wisdom when assessing safety culture, safety culture attributes, and characterization of safety culture.

Several of the presentations and discussions were similar in nature and contained a great deal of the same information. See presentations for detailed information.

Root cause analysis can provide insights into safety culture issues, but is difficult to associate directly with specific root causes. Triangulation is the concept promoted by the task team to assess safety culture since it is difficult to measure because of its nature. HPI gap analysis is another process that could be used to assess safety culture.

02:45 – 03:45 Changing Safety Culture (William Rigot)

Bill provided an overview of some activities to improve safety culture in DOE facilities. Activities discussed include:

- ◆ Schien’s thoughts and definition on culture. Schien is a recognized leader on cultural change. Culture must be aligned with the direction of the leadership team and leaders must listen with humility.
- ◆ Discussed tools to improve safety culture, which include behavior based programs, six sigma, human performance improvement and culpability decision trees.
- ◆ Participants discussed senior management commitment. The aforementioned can be accomplished through safety culture training, management policy to establish a strong safety culture and provide a management champion for each of the 3 focus areas (leadership, workforce engagement, continuous improvement).
- ◆ Bill communicated that expectations must be identified and communicated to staffs. Line management must spend time in the field and be engaged with the workers.
- ◆ Other areas discussed with participants were; coaching and mentoring, employee recognition, visible evidence of a reward system, participation in the voluntary protection program (VPP)

04:00 – 05:00 ISM Program Manager/Integration sub group – Safety Culture Path Forward (John McDonald)

The final part of the meeting collected feedback from meeting participants on their thoughts and concerns about what was presented today. In general feedback was positive and constructive. The conclusion was to continue of with this effort, factoring in the comments received throughout the day.

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Comments received in the closing session were:

- More discussion of positive reinforcement needed.
- More emphasis on return on investment.
- Worker involvement could be discussed in greater detail.
- Too much nuclear emphasis in meeting presentations. Find ways to reach out to non-nuclear organizations. An example is deaths occur from traffic, cranes; they never occur from nuclear events.
- Employee safety committees are an effective tool to promote safety culture.
- There should be more emphasis on senior management sponsorship.
- There is a lot of information. Avoid jargon. Work on consistency of message:
 - Don't focus on one assessment tool.
 - Senior management leadership is essential.
 - The link between safety culture and ISMS needs to be clear- ISMS is a structure to build safety culture.
- This is a great proactive effort by the contractors to promote this aspect of ISMS.
- A one page executive summary would be good to have.
- Eliminate all the theory background discussion. Keep it simple and consistent.
- Work on practical examples for doing this with real examples.
- There needs to be more discussing the bridge between assessment and tools to improve culture.

A “thank you” was given to all those who presented and also for the participants and the valuable feedback provided. The next EFCOG ISM/QA Working Group meeting will be at Oak Ridge National Laboratory the first week of May.