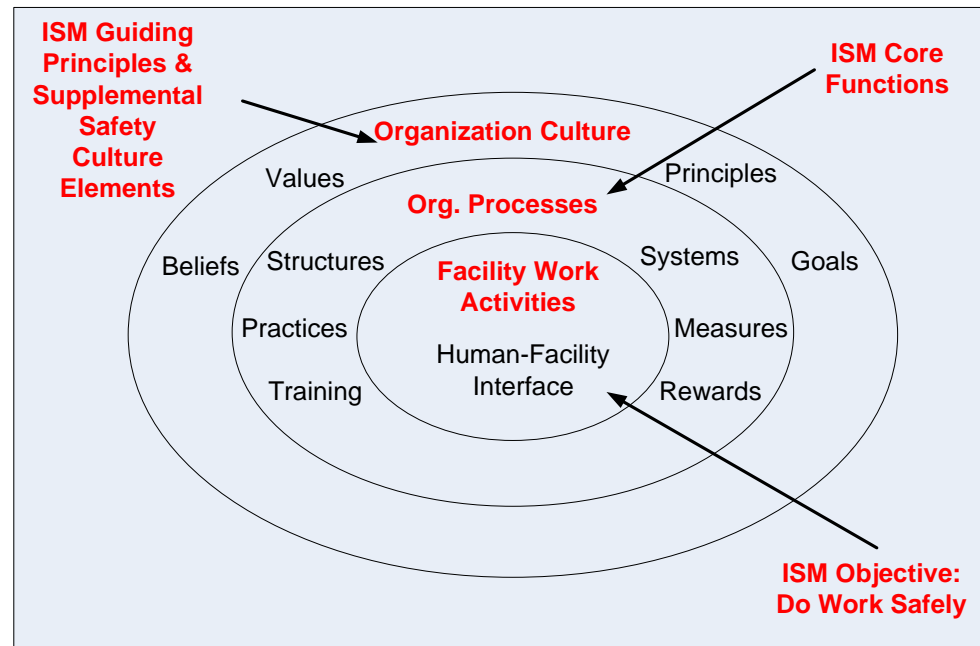


Results of Safety Culture Focus Group Review

Presenters:

- John McDonald
- Liz Norton

DOE ISMS Conference
September 15-16, 2010
Augusta, GA





Bio's

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- **Bio for Liz Norton**

- Elizabeth (“Liz”) Norton has worked at the Hanford site for 28 years as a Nuclear Chemical Operator (NCO). She is currently a Hanford Atomic Metal Trades Council (HAMTC) Safety Representative for Washington River Protection Solutions (WRPS). She is a member of the United Steelworkers Union (USW) Local 12-369 (USW is a member of the Hanford Atomic Metal Trades Council (HAMTC)). Prior to her employment with WRPS, Ms. Norton performed NCO duties in several facilities and for various contractors, including PUREX/UO3 during nuclear fuel processing operations, Waste Receiving and Processing (WRAP) facility, where she was involved in two Operational Readiness Reviews and facility startup, and the Solid Waste Organization. Ms. Norton has been a WRPS HAMTC Safety Representative for the past 8 years. She has been heavily involved in the Department of Energy Voluntary Protection Program (VPP) and Integrated Safety Management System (ISMS). She has been a team member for several VPP self-assessments, and has also been a member of several DOE-HQ onsite reviews for VPP recertification and ISMS reviews.

- **Bio for John McDonald**

- Mr. McDonald has over 30 years of Navy, commercial nuclear, and DOE experience. John is currently the Contractor Assurance Manager for Washington River Protection Solutions, LLC at Hanford. John has held positions as the Vice President, Waste Feed Operations at Hanford Tank Farms, and VP Safe Work Environment at Hanford Tank Farms, and numerous management positions in commercial nuclear power including Plant Manager. He is the Vice Chair for the EFCOG ISMS/QA Working Group. He has recently led a joint DOE/Industry Task Group to produce EFCOG guidance documents on assessing and improving safety culture.

Tank Farm Background/History


- Managed by the Department of Energy's (DOE) Office of River Protection (ORP)
- WRPS is the prime contractor for tank farm operations
- Mission includes storage, retrieval, and disposal of high-level radioactive waste currently stored in 177 underground tanks
- 1940s to 1980s - Construction and operation in support of production of nuclear weapons
- 1989 - Environmental cleanup began

Tank Farms Safety Culture History

- Pre 2009 Contract Change
 - 2 VPP Stars
 - Initiated safety culture improvement activities following significant budget cuts, staff cuts, and large reorganization
 - S-102 Event
- FY 2009 - 2010
 - Contract change
 - Acceptance of existing safety culture program
 - Participation in EFCOG pilot
 - Successful ISMS verification
 - One Star VPP submittal

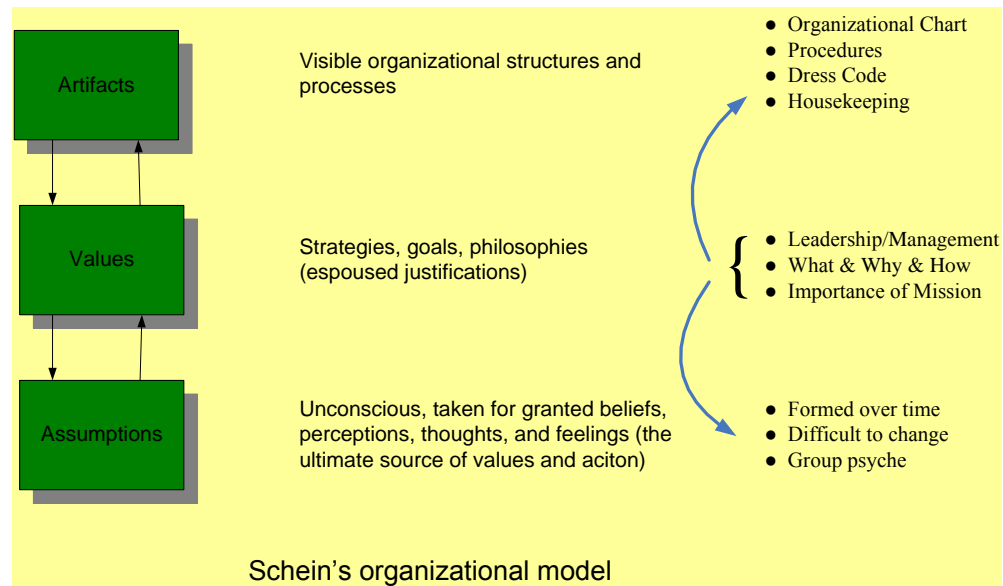
Expectations for Implementation of the Integrated Safety Management System
WRPS Rev 0

Demonstrating ISMS accountability by our behavior in the workplace

 Expectations for all employees	 Additional expectations for managers and supervisors	 Additional expectations for senior management
<p>E1 Perform all work safely using the five core functions of the Integrated Safety Management System; and</p> <ul style="list-style-type: none"> - Watch out for each other - Apply ALARA practices to any potential hazardous task - If you aren't 100% certain, get the right answer - Make it a goal to do the right thing - Learn from both your successes and mistakes - Report to work if for duty, go home as healthy and safe as you were when you came to work <p>E2 Earn each other's trust by treating each other with dignity and respect, be open and honest</p> <ul style="list-style-type: none"> - View participation in event critiques as an opportunity to contribute and openly discuss the event and capture lessons learned <p>E3 Comply with our procedures and any written instructions that define how to do a task</p> <ul style="list-style-type: none"> - If a procedure or written instruction can't be followed, pause and get clarification or correction before proceeding on that specific activity - If you think it can be done safer or more efficiently, provide that recommendation to the procedure owner <p>E4 Demonstrate a questioning attitude</p> <ul style="list-style-type: none"> - If something doesn't seem right, it probably isn't. Bring it to the attention of supervision (or the appropriate person if appropriate, write a Problem Evaluation Request to document the problem) <p>E5 Participate and complete required training; only perform tasks that you are qualified and authorized to do</p> <p>E6 Maintain a safe and well kept work environment</p> <p>E7 Comply with the requirements of the Labor Contract agreements</p> <p>E8 Exempt and Non-exempt personnel fully participate in employee performance review and improvement processes (supervisors and direct reports)</p> <p>E9 Support Voluntary Protection Program approaches to safety</p> <p>E10 Never engage in or tolerate harassment, intimidation, retaliation, or discrimination</p> <p>E11 Adhere to Conduct of Operations requirements</p> <p>E12 Work with your customer to set expectations, then meet or exceed those expectations</p> <p>E13 Be a good steward of employeemaker assets</p> <p>E14 Professional staff members develop well thought-out, technically defensible, high-quality products</p> <p>E15 Give your best effort every day, take pride in your work, help us find better, more efficient ways to do our work, challenge the status quo</p>	<p>M1 Set, demonstrate and enforce high standards of Integrated Safety Management System performance with emphasis on safety, quality, mission progress, procedure compliance, and personal conduct</p> <p>M2 Maintain a safe work environment where employees feel free to raise issues without fear of reprisal</p> <p>M3 Be present in the field/work place with your employees</p> <ul style="list-style-type: none"> - Earn the trust of your employees (senior management refer to SMT) <p>M4 Own the plan, join the team, seek out win-win solutions</p> <p>M5 Challenge the status quo</p> <ul style="list-style-type: none"> - Relative issues or escalate quickly to the next level of management <p>M6 Recognize and reward individual and team performance for safe and productive work</p> <p>M7 Treat our employees as your most important resource</p> <ul style="list-style-type: none"> - Actively listen - Ensure that employees are actively engaged in work planning - Support their needs and keep them informed, treat them as if they were your customer - Recognize the benefits of diversity, seek out differing perspectives - Help them develop to the best of their abilities <p>M8 Treat employees fairly, consistently, and with respect</p> <p>M9 Take immediate action to stop inappropriate behaviors (e.g. harassment, intimidation, retaliation, discrimination) and address any potential chilling effect impact on your employees</p> <p>M10 Learn from both mistakes and successes, use them as teaching opportunities</p> <ul style="list-style-type: none"> - Demonstrate that we are a learning organization <p>M11 Honor the Labor Contract including support of its safety agreements and HAM/TC Safety Representatives</p> <p>M12 Manage and supervise contractors and contract personnel in accordance with WRPS safety and performance standards</p> <p>M13 Demonstrate your commitment to a free flow of information, including signing up to the "Commitment to Free Flow of Information"</p>	<p>SMT1 Use the Guiding Principles of the Integrated Safety Management System and Voluntary Protection Program to lead your team</p> <p>SMT2 Establish and communicate an achievable vision for the future</p> <p>SMT3 "Set the example" every day by your words and actions</p> <p>SMT4 Foster an environment where people can get work done safely and productively</p> <p>SMT5 Be visible in the field/work place with your employees</p> <ul style="list-style-type: none"> - Dedicate your time to face-to-face contact with your people - Schedule time on your calendar to "walk the tanks," meet directly with employees in their work areas, or attend "all employees" type informational update sessions - Be open with the work force; no hidden agendas; people must know what you are thinking <p>SMT6 Challenge the status quo; actively seek ways to remove barriers and customer "holy"</p> <p>SMT7 Set and hold your employees and yourself accountable to expectations, achievable but challenging goals and our corporate values</p> <p>SMT8 Establish reward and recognition systems</p> <p>SMT9 Develop your managers and employees</p> <p>SMT10 Demonstrate a positive attitude, support your peers, as well as your employees</p> <p>SMT11 Support the right of any member of the workforce to raise any concern and to have that concern addressed in a timely, effective and respectful manner without fear of retaliation. Be available to resolve any issues or concerns</p> <p>SMT12 Contribute to the well being of our community</p> <p>SMT13 Demonstrate good stewardship of client's (government's) money; assure only appropriate expenditures of authorized funding</p>



- Safety culture (ISMS) safety management program (SMP) includes regular assessment of safety culture
- Various safety culture assessment methods are considered
- EFCOG safety culture documents were reviewed for assessment options
- Multiple methods provide more accurate result

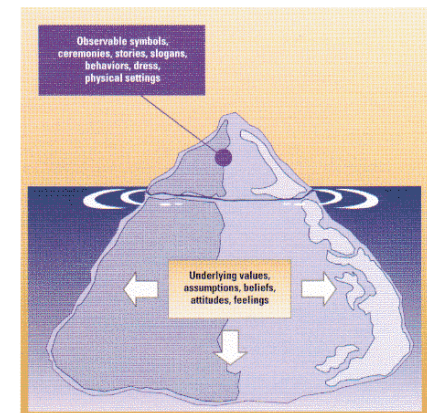




Safety Culture Assessment Methodology

- Procedure compliance was recently identified as a “cultural issue”
- EFCOG safety culture documents were reviewed for assessment options
- The focus group option was chosen to evaluate this subject:
 - Efficient process (1 day, 14 individuals)
 - Ability to target and probe certain issues that needed immediate attention with employee input
 - Opportunity for constructive dialogue and team building between new management and existing employees

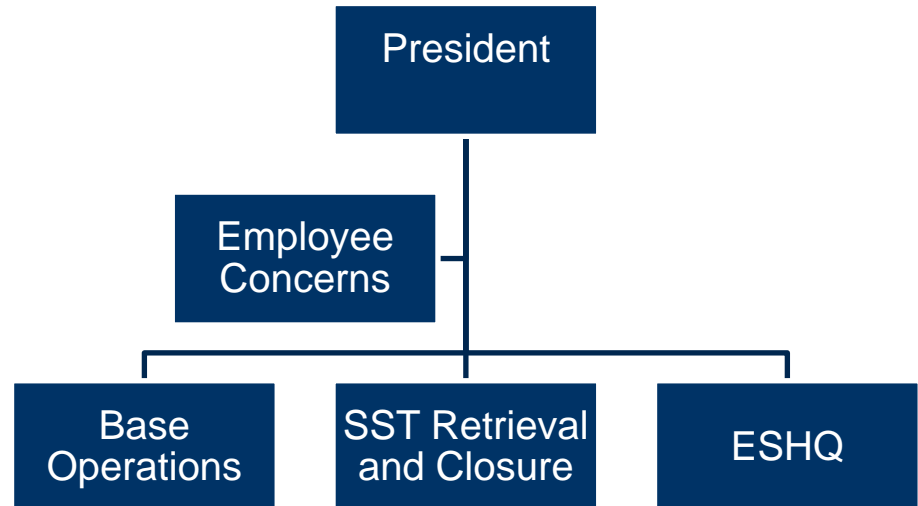
LEVELS OF ORGANIZATIONAL CULTURE





Focus Group Team Selection

- Preparation meetings with senior sponsor and facilitator on issues, type of candidates that would be best, agenda,
 - Union stewards
 - Union safety representative
 - Senior sponsor
 - Outside facilitator





Meeting Agenda

Agenda

WRPS Safety Culture Assessment

7:00 am – 4:30 pm

- 07:00 Kickoff
- 07:05 Introductions/Meeting Purpose
- 07:15 What is culture and how to improve it?
- 07:45 Define the issue. Why procedure compliance?
- 08:15 How does management influence procedure compliance
- 10:15 Break
- 10:30 Summarize management issues
- 11:00 How do workers influence procedure compliance
- 11:30 Lunch
- 12:30 Worker influence (continued)
- 14:00 Break
- 14:15 Summarize worker issues
- 14:45 Recommendations
- 16:15 Meeting wrap up/feedback/path forward
- 16:30 Adjourn



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Example Strengths

- High risk work
- Procedure development
- Understanding of expectations



Example Management Cultural Issues

- Overemphasis on production at pre-job briefs
 - Strong focus on schedule
- Management changes (and change management) not implemented well at all levels
 - No inclusion ahead of time with Stewards or HAMTC Safety Reps
- Work priorities negatively affect teamwork among work groups
- Inadequate staffing/qualification of FLS
- Inconsistent management expectations
 - Different at various management levels
- Inconsistent standards across organization
 - i.e., work planning, instruction level of detail



Example Worker Cultural Issues

- Workers rationalize compliance for a number of reasons (different definitions among workers)
- Different expectations for low, medium, high risk work, e.g. pre-job briefs
- Complacency for low, medium risk work
- Waiting for management to take charge of issue
- Lack of management trust on how problems will be addressed
 - Hard to hold each other accountable



Recommendations

- Post-job reviews
 - Discuss compliance at post-job and hot wash right after job
 - Provide feedback to workers
- Evaluate FLS staffing and qualification
 - Appropriate supervision for job (PIC, FWS)
- Work planning with all involved on job
- Hold workers and management accountable
 - Focus on workforce and FLS
- Communicate and reinforce expectations
 - What is procedure compliance?
 - Any pre-job is opportunity to reinforce expectations and emphasize there is no difference between low, medium, high risk on compliance
 - Treating each other with dignity and respect
 - Provide management feedback



Assessment Process Conclusions

- Good management and workers support of the process
- Positive step in understanding culture, both good and bad, and then taking actions to influence the culture in positive ways
- The safety culture has many positive characteristics that are considered to be healthy.
- There are characteristics that need additional focus to improve
- Follow up actions and communication of actions and results to the workforce is an important part of this process

