

EFCOG/DOE Safety Culture Task
July 23 - 24, 2008
Forrestal Building, Washington, DC
Meeting Notes

Attendees:

John McDonald	Dave Zeff	Glenn Podonsky
Todd Conklin	Rick Hartley	Steve Kirchhoff
David Compton	Earl Carnes	Terry Krietz
Jim Tarpinian	Dae Chung	Ali Ghovanlou,
Frank Russo	Todd Lapointe	
Wyman Nettles	Pat Worthington	

Introduction/Meeting Minutes

Introductions and minutes were reviewed and approved. Action items were either completed or have been carried forward at the end of these minutes.

Results of DNFSB Briefing

The DNFSB was briefed by John McDonald, Pat Worthington, Frank Russo, and David Compton on July 22. The DNFSB presentation was reviewed at the meeting. The meeting went very well. Feedback was positive. The DNFSB is anxiously awaiting a product that will advance ISMS around the complex. They suggested more DOE laboratory involvement.

EFCOG Executive Council Briefing

Dave Amerine briefed the EFCOG Executive council on the status of our task team, receiving full support to continue. The council asked that a plan with names, dates, and deliverables be prepared. A draft plan was prepared after the meeting by John and forwarded to Dave for use with the Council.

Review Feedback on Safety Culture Characteristics

ISM has the structure to make this effort successful. ISM will be the driver of safety culture improvements. Much discussion centered on a set of safety culture attributes or values that the team could agree on. Rick had limited input from the last meeting on the matrix he issued. A sub team consisting of John, David, and Rick continued to refine the list of attributes after the last meeting. Two lists were provided, one being a simplified, bulletized list and one being a more detailed, descriptive list. The team focused on the list, finding it easier to agree on concepts rather than more descriptive information. To keep it simple, the team attempted to limit the key attributes to 5 or less under each focus area. This list will be used at the upcoming DOE ISM champions' workshop. It was also discussed that there seemed to be a high level of correlation with the existing ISMS guiding principles and these attributes.

John agreed to be the liaison for the ISM manual effort with Ali. They are looking to streamline the manual. It was noted in the meeting and previously at the DNFSB meeting that the guiding principles are located inconspicuously in an addendum in the manual. It was noted that the attributes and focus areas are interdependent. One can't

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expect to focus on one area and not on the others and get good performance. They must all be addressed in a balanced way.

The final product agreed to by the team was:

Line Management Responsibility

- Demonstrated (visible) safety leadership (1, 2, 3, 6, 9) Modeling and mentoring
- Clear expectations and accountability (1, 7)
- Open communication (10) raising issues (Harassment, intimidation, retaliation, and discrimination not tolerated) (5, 10)
- Management engagement (4) Management time in field (4) (note for John: Training)
- Conservative decisions (8)
- Staff Recruitment, Selection, Retention, & Development

Worker (employee) Involvement [Note: Leaders value workers and provide appropriate systems]

- Personal commitment to everyone's safety (1, 3)
- Participation in work planning and improvement (All work is planned)
- Mindful of hazards and controls
- Teamwork and mutual respect
- Reporting errors and problems (Org Learning #2)

Learning Organization

- Trust (1, Employee Involvement #2 & 7)
- Questioning attitude (Employee Involvement #4)
- Performance monitoring through multiple means (6)
- Use of operational experience (7)
- Effective resolution of reported problems (4)

Draft Strategy

The strategy was presented by Todd. The strategic objective is to build interest, create need, and facilitate change in our focus areas. A compelling argument for change must be identified. Why change and why change now? The drivers of this activity need to be defined. Example drivers include:

- the DOE complex not seeing desired level of continuous improvement
- a desire to be best in class
- event prevention
- identified as a DOE ISM champions top 10 issue

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Key stakeholders need to be identified:

- DOE ISM Champions
- DNFSB
- EFCOG member management/Executive Council
- EFCOG ISMS & QA Working Group participants
- EFCOG ESH Working Group
- Our Facilities and Sites

An executive steering committee needs to be formed to ensure High-Level buy in with EFCOG and DOE Executive Leadership. A communication plan needs to be defined for key stakeholders. Key stakeholders and contacts include:

- ISM Champions (Pat/Frank lead)
- DNFSB (Pat/John lead)
- EFCOG ISM and QA meetings (John lead)
- EFCOG executive council meetings (Dave Amerine lead)
- Task team member communication with parent organization leaders (all)

An EFCOG document such as a tool kit or resource guide will contain the actual implementation plan:

- Next Steps to Implementation
- Shared Expectations
- Common Language
- Measures
- Barriers

Internal and external lessons learned needs to be captured such as from ISMS rollout, and INPO, IAEA, NASA and others. Identify any relevant information from Oversight and Enforcement and the entire body of culture knowledge. Additional challenges which need to be considered include transition, 2 to 4 to 6 year Maturity Cycle, unstable systems (political and others), and classic change management issues. For the August Conference we need to leverage this time to build interest, create need, and facilitate change in our focus areas.

Change Management Plan

Successful change includes three progressive steps:

- Unfreezing the present level of performance
- Moving to a new level
- Freezing group life at the new level

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The traditional approach to change in DOE involves:

Build internal consensus

- Develop a policy/directive/guidance document
- Roll it out to the sites/get feedback
- Develop a CRD

Coerce compliance

- Monitor implementation
- Provide contractual incentives
- “Inspect in” the guidance

Drawbacks to applying this to the Safety Culture effort:

- Takes years
- Leaves out beneficiaries and stakeholders
- Only gains consensus, not the assurance of commitment
- Will likely create confusion (e.g. “flavor of the month”) and could detract from ISM efforts

Building a concentric commitment is a better way to approach this effort.

Building “Concentric Commitment”



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Benefits are the change would be Faster and Cheaper, with greater certainty of success and sustainable change. This could be accomplished by:

- Socialize the objectives and approach at ISM Champion's workshop
- Gain EFCOG Leadership commitment
- Obtain Secretary Bodman's support through Glen
- Identify and educate the change agents in our organizations
- Identify and influence the detractors
- Recommendation: Hold a workshop for contractor management and worker change agents. This recommendation was accepted. Action: John will set up the meeting.

Draft White Paper

The draft paper was circulated for review. Since it is an early draft, members were encouraged to read it outside the meeting and send comments to John. The paper summarizes what has been done by the committee to date. The white paper will likely take a different form before it is issued such as some type of EFCOG document.

Data

Action: Earl is to get safety data going back about 15 years. This will show ISMS has been effective, but also that something is needed to take ISM to the next level. The pie charts are very hard to read. If they could be cleaned up and made easier to read, that would be good.

Presentation for the DOE Workshop

The DNFSB presentation was made with a number of suggestions for improvement for the workshop. John to revise.

Safety Culture Preamble

The following words were drafted but not reviewed in the meeting. These words were supposed to provide a lead in to use of the attributes and put things in perspective. This is captured here for potential use in an implementation document later.

“Our existing ISMS is viewed as effective and strong. For many years, ISMS has had a positive impact on overall improvement within the DOE complex. However, periodically changes or enhancements are required based on new industry information and lessons learned as a never ending journey. Strong safety culture has been shown to have a positive impact on the reduction of significant organizational events, providing an added margin of safety to the occurrence of these events.

Several years ago, several industry events resulted in the issuance of DNFSB Recommendation 2004-1. In response to this recommendation, the DOE issued a revision to the ISMS Manual to include new supplemental safety culture elements.

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These safety culture elements were intended to capture lessons learned from various industry events and experience. They were never adapted as requirements by the DOE. Based on review of external operating experience and internal DOE complex performance data, as well as the supplemental safety culture elements, a compelling case exists for adopting new safety culture characteristics to provide a significant positive impact to overall mission performance and safety.

This document is intended to proactively enhance previously existing ISMS Guiding Principles in the areas of leadership, employee involvement, and learning organization. These enhancements are consistent with the latest safety improvements in the commercial nuclear industry (INPO), the International Atomic Energy Agency, high reliability organizations, DNFSB Recommendation 2004-1, and other related experience. These enhancements are intended to apply to DOE as well as contractor personal.

The cultural implementation practices put forth in this document are to be used by DOE and contractors. One possible outcome is the integration of the ISMS supplemental safety culture elements with the characteristics put forth in this document and new or existing ISMS guiding principles. Comments and feedback will be collected and factored into final implementation over the next year. Every attempt was made to include input from contractors, DOE, and experienced external organizations to provide the best possible product. “

Draft Brochure

The brochure was well received by the team. It will closely follow the presentation at the workshop. Comments were captured separately to update the brochure prior to the workshop.

Task Team Plan

The team generally agreed with the overall timeline proposed. The plan should be simplified for the August workshop.

Next Meeting

The next meeting was tentatively set for October 7 and 8, 2008.

Parking Lot and Actions (see table below for action items):

- How to measure or assess safety culture will be addressed at a future meeting.
- Develop a generic model of culture maturing which builds on the model presented by Brad Davy which should include leadership.
- Frank’s team to continue to develop cost avoidance graphic.
- Doug will breakdown the DNFSB data to the 3 focus areas as well as separating contractor and DOE data.

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- Pat to ensure appropriate DOE executive oversight which ensures buy in of final product.
- We need to consider various levels of management in change management discussion. (Jim)
- Preamble paragraph which addresses how to deal with the changes we are proposing. (John)
- Take small steps to get to the endpoint. Get buy in on initial products first to gain momentum based on previous ISM experience.
- EFCOG guidance document to describe how to implement the safety culture characteristics.
- Include organizational change management in leadership which would be to understand the safety implications

Draft agenda topics for next meeting

- Review Minutes and actions
- Attributes
- Workshop results
- Draft EFCOG document
- EFCOG and DNFSB Communication

Action Items:

Who	What	When	Status
John	Meeting Notes including distribution to Chung/Wu	6/13/08	Complete
John	Send out meeting notice for next meeting	6/13/08	Complete
David C.	Reserve room for next meeting	6/27/08	Complete
Gail/Rick	Send out draft characteristics and compile comments. Send out revised characteristics to members.	6/20/08	Complete
Dave A.	Brief EFCOG Exec Council	Prior to next meeting	Complete
John/Bill/Todd/Dave C	Develop presentations for the DOE workshop	Prior to next meeting	Complete (John only)
George	Provide a statement from the INPO CEO which credits safety	6/20/08	Complete

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	culture with big part of their improvement with data		
Todd	Complete strategy white paper	7/3/08	Complete
Jim	Develop change management plan	7/11/08	Complete
John	Develop preamble paragraph	7/3/08	Complete
Gail/Rick	Include organizational change management in leadership which would be to understand the safety implications prior to making organizational changes	6/20/08	Complete
Jim	Recruit members to change management team as deemed necessary	6/20/08	Complete
John	Develop draft brochure to distribute at ISM conference	Prior to next meeting	Complete
John/Dave C	Develop detailed plan for task team per Glenn's request	8/1/08	Complete
Pat	Brief appropriate DOE executives prior to ISM conference	8/15/08	
Earl	Ensure data is updated as discussed in the meeting	8/12/08	
Doug	Breakdown the DNFSB data to the 3 focus areas as well as separating contractor and DOE data	8/12/08	
John	Set up workshop prior to ISM conference in Idaho.	7/31/08	Complete
John	Revise brochure	8/20/08	
John	Revise workshop presentation	8/20/08	
All task team members	Review draft white paper, provide comments to John	8/20/08	
Pat	Continue with DOE line management involvement and DOE executive buy in	On going	
John	Brief DNFSB	On going	

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John	Serve as liaison with DOE ISM Manual revision	On going	
John/Dave	Set up next meeting 10/7 -8	8/15/08	
John	Draft EFCOG Guidance Document	10/7/08	
Frank Russo	Obtain greater laboratory involvement with the task team	8/20/08	