

**EFCOG/DOE Safety Culture Task  
June 3 and 4, 2008  
Forrestal Building, Washington, DC  
Meeting Notes**

**Attendees:**

John McDonald  
Frank McCoy  
Doug Minnema  
Gail Walden  
Todd Conklin  
Bill Rigot  
Chris Midgett  
David Compton  
Jim Tarpinian  
Frank Russo  
Dave Amerine

Bill Roege  
Norm Barker  
Rick Hartley  
Brad Davy  
Earl Carnes  
George Mortensen  
Jim McConnell  
Wayne Frazier  
Kelly Kabir  
Dr. Chuan Wu

**Introduction/Meeting Minutes**

Introductions and meeting purpose were discussed which was to reach agreement on the vision and strategy, start on discussions of specific attributes, and determine additional communications and activities. Minutes were reviewed and approved. Actions from the last meeting were reviewed. Dave Amerine took action to discuss DOE line participation with Inez Triay. Action items were either completed or have been carried forward in these minutes.

**Glenn Podonsky**

Glenn Podonsky, Chief Health, Safety, and Security Officer discussed his expectations for the task group. Some view safety culture as an abstract concept. He is looking for a tangible product with concrete actions and ultimately real impact. ISM is a tangible and proven product. He sees several missing areas in ISMS including leadership and worker participation. He did not feel it would be a good idea to revamp ISM. ISM has been an anchor for many years. To enhance, reinvigorate, or add to ISM would probably be acceptable. He sees the government transition as a significant issue which can lead to stagnation, but that is not the way it has to be. The mission must go on. What we are working on should continue. He asked that we provide an update at the August ISMS Conference on our task. At the conference he would like to see a product of some type dealing with leadership and worker involvement. An additional ISMS Guiding Principle or two would be possible. He would also like to see a detailed plan for the committee going forward. Glenn committed to championing this effort with the DOE senior leaders.

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**Bill Roege**

Bill Roege presented a data analysis performed by his group which looked at ORPS and corrective action data. He acknowledged that the way this data was analyzed was different from what had been done before, a deeper look. It was suggested if we are going to use the data that it be refined to include management and employee involvement. The data appeared to closely match HPI data issued by INPO. His presentation is attached.

**Brad Davy**

Brad Davy discussed the relationship between safety culture and VPP. He estimated that approximately 20% of the DOE complex was currently participating in VPP. One slide made a comparison with safety culture growth and Maslow's hierarchy of needs. It was suggested if we use this graphic that leadership be added between supervision and self. There may be a way to use VPP assessments to assess some or all of safety culture. This issue was tabled for the moment since we are not planning to address assessment or measurement in the near future. His presentation is attached.

**Frank McCoy/Vision**

Frank McCoy presented the results of the vision subcommittee. The vision statement was discussed and revised by the committee with consensus reached on wording. It was suggested that the data be refined to focus on leadership and employee involvement and feedback and improvement. It was also suggested that facility specific data be avoided since it is frequently hard to independently verify or know what type of safety culture activities occurred relative to our efforts. It was suggested that the DNFSB data be broken down between contractor and DOE. It was discussed that the majority of DNFSB issues were safety culture related. The topic of measurement or assessment of safety culture was put in the parking lot.

We agreed that it would be valuable to show the evolution of safety culture in stages, similar to IAEA. Cost avoidance graphics should also be used to make the case for change.

Group consensus definition (from last meeting):

- An Organizations' values and behaviors, modeled by its leaders and internalized by its members, that serve to make safe performance of work the overriding priority to protect the public, workers, and the environment.

The new safety culture vision we adapted:

DOE and its contractors are leaders in achieving ISM excellence and a strong safety culture. A safety culture is an organization's values and behaviors, modeled by its leaders, and internalized by its members, that serve to make safe performance of work the overriding priority to protect the public, workers, and the environment. Through ISM, the principles and attributes of a strong safety culture

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are communicated, understood, embraced, and continually reinforced. As a result, mission critical parameters show continuous improvement.

The IAEA Culture Maturity Model:

International Atomic Energy Agency (IAEA) developed a capability maturity model that illustrates the stages that an organization goes through in achieving a mature safety culture (source Attachment 2 DOE M 450.4-1 Page 20 11-1-06).

These stages are:

**Stage I.** The organization sees safety as an external requirement and not as an aspect of conduct that will help the organization to succeed. The external requirements are those of national governments, regional authorities, or regulatory bodies. There is little awareness of behavioral and attitudinal aspects of safety performance, and no willingness to consider such issues. Safety is seen very much as a technical issue. Mere compliance with rules and regulations is considered adequate.

**Stage II.** An organization at Stage II has a management which perceives safety performance as important even in the absence of regulatory pressure. Although there is growing awareness of behavioral issues, this aspect is largely missing from safety management methods which comprise technical and procedural solutions. Safety performance is dealt with, along with other aspects of the business, in terms of targets or goals. The organization begins to look at the reasons why safety performance reaches a plateau and is willing to seek the advice of other organizations.

**Stage III.** An organization at Stage III has adopted the idea of continuous improvement and applied the concept to safety performance. There is a strong emphasis on communications, training, management style, and improving efficiency and effectiveness.

Everyone in the organization can contribute. Some behaviors are seen within the organization which enables improvements to take place and, on the other hand, there are behaviors which act as a barrier to further improvement. Consequently, people also understand the impact of behavioral issues on safety. The level of awareness of behavioral and attitudinal issues is high, and measures are being taken to improve behavior. Progress is made one step at a time and never stops. The organization asks how it might help other companies.

The environment described herein can take the Department to IAEA Stage III performance, a fully developed safety culture. On the path to achieving a fully developed safety culture, the culture in various parts of an organization is likely to be at different stages of development. As such, until the fully mature culture is achieved, organizations will likely be able to recognize the characteristics of more than one stage at any given time.

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George agreed to provide a quote from their CEO on the impact of safety culture and various commercial nuclear industry data showing improvement over time.

We made a note to try to talk about safety culture in familiar terms and avoid unfamiliar and abstract safety culture terms. One team member encouraged the group not to employ turgid (pompous, boring, and overcomplicated) language to describe safety culture or desired actions.

### **Strategy Subcommittee**

Todd Conklin presented the results of the strategy subcommittee. Things changed after listening to Glenn's discussion earlier. More emphasis needs to be placed on building the case for change and communicating with key stakeholders. He needs to make changes to the strategy to incorporate Glenn's discussion. The group accepted the analogy that culture was like the Mississippi River was useful in communicating that culture is strong and deep and hard to change. The group also accepted the model and culture theory of Edgar Schein going forward.

### **Attributes**

Gail presented the results of her review of the attributes. It was agreed to focus on leadership, worker involvement, and learning organization which is where the remainder of the discussion focused. It was agreed not to get too hung up on the title of management and leadership vs. other options at this time. Todd suggested safety leadership as a new term. There was discussion on keeping individual and management leadership issues clearly separated from each other. Dr. Hartley prepared a strawman list of characteristics within our three focus areas based on discussions on Tuesday. It was then agreed that he would come up with a straw man that listed key characteristics of the three focus areas against the three stages of culture maturity used by the IAEA which would be sent to committee members by June 6. Comments by members on his product are expected to be sent to Rick, cc Gail, by June 13.

Jim presented a gap analysis model used by his company which could be used here which looks at the desired end state, where the organization is at today, and what are the deltas that need to be addressed.

### **On-going Committees**

#### **Steering committees**

- On EFCOG/contractor side, the EFCOG executive council can serve as line oversight of the progress and product. Other opportunities for communication exist within EFCOG such as the Program Management and Integration subgroup, and the ISMS/QA working group. Dave Amerine will have the responsibility to keep the council updated.
- The DNFSB should also be kept up to date on progress. John has responsibility to update the DNFSB prior to end of August.

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- From the DOE side, Pat has the action to figure out how best to engage DOE management although this issue seemed to be on the right track to resolution.

Subcommittees:

Characteristics/Attributes

- Gail (lead)
- Rick Hartley

Vision

- Frank M (lead) /Bill Rigot to assist
- Jim T
- Dave A
- Frank Russo
- Doug Minnema

General White Paper

- John M (lead)
- Jim T
- Dave C
- Frank Russo
- Doug Minnema

Strategy (to achieve buy-in on white paper by sponsors and stakeholders)

- Todd (lead and honorary VP of Strategy)
- Norm
- Chris
- Dave C

Change Management

- Jim (Lead)
- David Compton
- John McDonald

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**Actions for August Conference**

- We need to develop themes for Bodman, presentations, EFCOG, Glenn, and the DOE ISM champions meeting at the conference.
- We need to identify the products for the conference
- We need to identify the contents of presentations for the conference
- We need talking points for the EFCOG executive council briefing for Dave. (Dave A, John, Pat)
- We need to conduct a DNFSB briefing. (John, Dave A., Pat, Frank, Glenn)
- Senior DOE leadership briefing (Pat, Frank, Dae with Glenn)
- We need refined data (Jim)

Products needed for DOE workshop in August:

- Draft white paper (JAM and white paper team, with Frank's team and Todd)
- Presentations (tbd)
- Change management brochure (tbd)
- Vision
- Strategy
- 3 focus areas with draft attributes
- Compelling case for change
- The white paper should contain most of what is needed for the conference.

White paper contents (from last meeting)

- DOE(?)/EFCOG approvals
- Team members
- Safety culture principles
- Safety culture attributes of the principles
- Problem statement/compelling argument to implement recommendations
- Executive summary
- Vision statement
- Definition of safety culture
- Recommendations

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- DOE?
- Contractors
- Implementation strategy
- Level/degree of consensus
- Process used to develop white paper
- Additional white paper comments from this meeting:
  - DOE field managers discuss with senior contractor management during development
  - Train DOE and contractor management on safety culture
  - DOE field managers discuss safety culture with HQ
  - Tie periodic culture assessment to the ISM annual declaration, and we would develop guidance on how to address this
  - We need to use EFCOG as a feedback mechanism
  - Continue committee to full develop attributes
  - Obtain feedback on a draft white paper which addresses the 3 initial focus areas

**DOE ISM Workshop Preparations:**

We are currently looking at potentially 4 presentations including an overview presentation, and one for each focus area.

**Topics for general presentation (John and Dave C)**

- Themes
- Committee members
- Contents of white paper
- Recommendations on path forward
- Data and compelling case for change

**Miscellaneous Follow-up Issues:**

In preparation for the DNFSB presentation, thought should be given to what they can do to help. It was discussed that their active participation during the process and ultimate buy in to the product would be very helpful.

**Data discussion (Jim, Earl, Doug)**

- Mine data for 3 focus area themes
- Equate HPI commercial data and DOE data

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- No Venn diagrams – use simple bar or pie charts
- Include ORPS and DNFSB data
- Include the general case for change with the data to allow broader development of safety culture

A brochure could contain FAQs such as:

What is the difference between HPI and safety culture?

What is the relationship between ISM and safety culture?

Why does ISM need to be re-vitalized?

Was something wrong with ISM when it was implemented in the mid 1990s?

**Communication Themes:**

- This is a work in progress. It will take time to produce a final quality product.
- Our initial focus was on leadership, worker involvement, and learning organization.
- This effort will be closely aligned with the existing ISMS.
- We are focusing on tangible vs abstract deliverables.
- We used recognized and existing safety culture models such as IAEA, INPO, and Dr. Schein
- This is a never ending journey, not a project with a start and end point. Energy must continue to be applied to keep moving forward and not backslide.
- ISM is working and has had a positive impact on improving performance. We are taking ISM to the next level by learning from others' events. This is a proactive initiative that captures event learning since ISM was first developed.
- The product is expected to apply to DOE as well as contractors.
- The maturation of safety culture model we are using is based on the IAEA model.
- The concepts associated with a learning organization deal directly with complacency.
- A compelling case exists for adopting safety culture characteristics within the DOE complex which would have a significant positive impact on mission performance and safety.

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

- Use the IAEA culture maturity model.
- Continue to send minutes and meeting notice to Dr. Chung and Dr. Wu.
- Rick to put together a matrix by June 5 which identifies key attributes or characteristics the 3 stages of culture development and the 3 focus characteristics. Members will review and comment on this draft document by June 13 returning comments to Rick and Gail. Rick and Gail will compile comments and reissue a draft by June 20 which incorporates comments.
- 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.
- George Mortensen to provide a statement from the INPO CEO which credits safety culture with big part of their improvement with data.
- Talk in tangible vs theoretical terms.
- Doug will breakdown the DNFSB data to the 3 focus areas as well as separating contractor and DOE data.
- Pat to ensure appropriate DOE executive oversight which ensures buy in of final product.
- We need to produce a strategy white paper by the first week of July. Todd has lead.
- Status of this task needs to be presented at the August DOE ISM conference. (John)
- We need to make sure the DOE characteristics are the same as the contractor characteristics to ensure alignment.
- We need to establish a change management subgroup to be chaired by Jim Tarpinian. This should include Secretary Bodman involvement and ownership.
- 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.

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- Look at a guidance document similar to the INPO document to describe the safety culture characteristics. (tbd)
- Include organizational change management in leadership which would be to understand the safety implications prior to making organizational changes.(Gail/Rick)

Products will be issued by the next meeting tentatively scheduled for week of July 21.

**Date for next meeting:**

- Week of July 21. David Compton to verify facility availability.
- John will send out confirmation.

**Draft agenda topics for next meeting**

- Review Minutes and actions
- Review draft vision Frank
- Review draft strategy white paper Todd
- Review draft attributes and principles of 3 focus areas Gail
- Review draft presentations
- Review general white paper

**Meeting feedback**

- Good participation – both attendance and active, respectful interaction.
- The meeting was a good learning experience
- Need more DOE line management involvement
- The meetings are long.
- Location is good.
- Subgroup efforts outside the meeting were very good.
- Lunch was okay the way we handled it this time.
- Rick's overnight preparation activities were greatly appreciated.
- People were open-minded with good dialogue on issues.
- Venn diagrams should not be used.
- We lost focus for a time on theoretical discussion but this had some positives in leading to agreement on the Schein cultural model.
- Useful to have Glenn, Bill, Brad, Dave Amerine, Jim McConnell participating. DOE support was excellent.

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**Action Items:**

<b>Who</b>	<b>What</b>	<b>When</b>
John	Meeting Notes including distribution to Chung/Wu	6/13/08
John	Send out meeting notice for next meeting	6/13/08
David C.	Reserve room for next meeting	6/27/08
Jim T. (Lead)	Revise data	7/13/08
Gail/Rick	Send out draft characteristics and compile comments. Send out revised characteristics to members.	6/20/08
Pat	Continue with DOE line management involvement and DOE executive buy in	On going
John	Brief DNFSB	Prior to next meeting
Dave A.	Brief EFCOG Exec Council	Prior to next meeting
John/Bill/Todd/Dave C	Develop presentations for the DOE workshop	Prior to next meeting
George	Provide a statement from the INPO CEO which credits safety culture with big part of their improvement with data	6/20/08
Doug	Breakdown the DNFSB data to the 3 focus areas	6/20/08

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<b>Who</b>	<b>What</b>	<b>When</b>
	as well as separating contractor and DOE data	
Todd	Complete strategy white paper	7/3/08
Jim	Develop change management plan	7/11/08
John	Develop preamble paragraph	7/3/08
Gail/Rick	Include organizational change management in leadership which would be to understand the safety implications prior to making organizational changes	6/20/08
Jim	Recruit members to change management team as deemed necessary	6/20/08
Frank	Ensure data is updated as discussed in the meeting	7/10/08
Pat/Frank	Brief appropriate DOE executives prior to ISM conference	8/15/08
John	Develop draft brochure to distribute at ISM conference	Prior to next meeting
John/Dave C	Develop detailed plan for task team per Glenn's request	8/1/08