



Security Culture Change and Leadership

A Benchmark for EFCOG

– Perspective for Path Forward

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Presentation Outline



- **An INL Benchmark** *Isaac Simmons*
 - Reflection of the past
 - Current Human Performance initiatives and tools
 - Roles and responsibilities of the Leadership, the Organization and the Individual
 - Review
- **Perspective for EFCOG Path Forward** *Jeff Jay*
 - HQ mandate & reinforcement methods
 - EFCOG challenge to baseline security culture
 - EFCOG SWG Schedule and Deliverable
- **Summary** *Isaac Simmons*



Idaho National Laboratory Protective Force



- **The mission of the INL protective force is to support the Idaho National Laboratory (INL) by providing a motivated, highly trained, state of the art, committed protective force to protect SNM, personnel, and National Security interests from theft, diversion, sabotage, and malicious acts, while maintaining operational duties in a professional manner and achieving recognition to be the best protective force in the DOE community**



Past Culture at the INL Pro-Force

- **Process**
 - **Similar to Military**
 - **Procedural driven**
 - **Not on “my” watch**
 - **Punish the errors out of people**
- **Results**
 - **Distrust**
 - **Lack of communication**
 - **Not a fun place to work**
 - **Events and Injuries**

The Human Factor



New Culture of the Pro-Force (Ideal)

- **Process:**
 - Takes into account human performance
 - Sets individuals up to succeed
 - Not on “our” watch
- **Results:**
 - Opens up the communication
 - Enables excellence in all aspects
 - People
 - Security
 - Safety
 - Productivity
 - Fun place to work

5 Principles of Human Performance

- 1. Humans are fallible, and even the best make errors.**
- 2. Error-likely situations are predictable, manageable, and preventable.**
- 3. Individual behavior is influenced by organizational processes and values.**
- 4. People achieve high levels of performance based largely on the encouragement and reinforcement received from leaders, peers, and subordinates.**
- 5. Events can be avoided by understanding the reasons errors occur and applying the lessons learned from past events.**

Human Performance Improvement



The Leadership

- **Volunteers**
- **Human Performance Improvement
Competent Personnel Program**
- **SOAR (Behavior Based Safety)**
- **People want to do a good job**
- **Supervisors and Managers lead
the culture change**



The Organization

- **Become a high reliability organization**
- **Procedures and processes with the five principles of HPI built into them**
- **Establish programs that enable excellence**
- **Opportunities for progression**

The Individual

- **Opportunities (Disguised as hard work)**
 - **Educated on the system**
 - **Delegated the responsibility**
 - **Ownership of the programs**
- **Rewarded for the right behaviors**
 - **Verbally**
 - **Certificates**
 - **Tangible items**

INL Benchmark Review

- **You can not punish the errors out of people**
- **The Human Factor**
- **Sound principles from years of experience and reputable sources**
- **Programs to enhance professionalism and enable excellence**
- **Leaders to facilitate and manage change**
 - **Bottom up/ Top Down implementation**

Perspective for EFCOG Path Forward – *HQ Mandate & Reinforcement*

- **HQ direction to EFCOG SWG**
- **Formal Inspections**
- **Contractor Assurance Program - PAAA**

Perspective for EFCOG Path Forward – Challenges to Baseline Security Culture

- **Volunteer aspect of EFCOG**
- **Relatively new HP program focus in DOE complex**
- **Different program/site priorities**
- **HP knowledge base for security practitioners**
- **Common evaluation criteria for integrated security and operations performance**
- **Process for presenting integrated picture**

Security Culture Effectiveness – Conceptual Framework

Business Performance Improvement System

Program Management

- All aspects of business risks are qualified, monitored, and reduced to an acceptable level
- Customer satisfaction and employee satisfaction are monitored and improved
- Equipment and human performance problems are prevented, detected, and corrected.
- The business mission, plan, goals, and expectations are established and known to all employees.
- Key performance indicators are routinely monitored.
- Program deficiencies detected through routine common cause analysis.
- Mgt supports the programs and provides sufficient resources.
- Program led by program mgr with defined accountability, responsibility, and authority.

	Prevention	Detection	Correction
Management System	<ul style="list-style-type: none"> • Mgrs knowledgeable about mgt system problems and prevention methods. • Behavior-based expectations established. • Mgt performance control loop established. • Mgrs continuously improve work culture. • Right people are selected for mgt jobs. 	<ul style="list-style-type: none"> • Mgt common cause analyses performed. • Mgt skills of key mgrs are assessed. • Mgt aptitude of key mgrs is assessed. • Mgt teamwork is assessed. • Mgt accomplishment of tasks is assessed. 	<ul style="list-style-type: none"> • Mgt culture is self critical & self-improving. • Mgt is accountable for correcting mgt system problems. • Key exec mgrs are accountable for business achievements. • Exec mgrs as a team are accountable to correct issues transcending depts • Assistance is provided for weak mgt skills. • Weak mgrs are removed from mgt team.
Organization & Program	<ul style="list-style-type: none"> • Org changes are optimized. • New programs are optimized. • New work processes are optimized. • Integrated work prioritization system exists. • Ownership for key programs / processes is defined. 	<ul style="list-style-type: none"> • O&P common cause analyses performed. • O&P root cause analyses performed. • All orgs conduct self-assessments. • Independent quality org conducts self-assessments, detects global O&P issues. • Unneeded work is constantly detected. 	<ul style="list-style-type: none"> • The org is capable of correcting global O&P issues. • Depts effectively correct intra-dept issues. • CAP tracks all corrective actions. • Timely completion of corrective actions. • Effectiveness of CAP is assessed. • Org mgrs understand effective means of correcting O&P issues.
Work Practices (Individual Performance)	<ul style="list-style-type: none"> - Workers and supervisors: • Capable of using human error reduct skills. • Have adequate tech & admin knowledge. • Understand and accept mgt expectations. • Establish a work culture of prevention. • Have common interests to achieve goals. 	<ul style="list-style-type: none"> • Work culture is routinely assessed. • Human error common cause is performed. • Supv field surveillance is performed. • Behavior based monitoring is performed. • Co-workers coach one another. 	<ul style="list-style-type: none"> • Work culture is self-critical and self-improving. • Wrks & supv correct inadequate behavior. • Wrks & supv hold "lessons learned mtgs". • Timely correction of real-time problems. • Wrks & supv are accountable to fix work problems.
Equipment Performance	<ul style="list-style-type: none"> • The PM, design mod, & ind experience prgms work well to prevent equip failures. • The procurement pgm keeps low reliability items from use. • Critical Component Reliability Analyses is performed for new systems. • Procedure compliance during engr and maint work. • Workers are trained with equip field observation techniques. 	<ul style="list-style-type: none"> • Equip reliability perf monitoring & trending. • Condition-monitoring program established. • In-service testing & inspection, and erosion/corrosion prgs are established. • Experts used to solve complex equip issues. • In-maintenance inspections are performed. 	<ul style="list-style-type: none"> • Mgrs are accountable for high equip reliability. • Orgs are aligned to improve work quality and productivity. • Equip root cause pgm provides input to CAP. • Backlog of the corrective actions & maint on key equip is low. • Corrective maint work is based on root cause analysis results.

Perspective for EFCOG Path Forward - SWG Schedule for Deliverable

- **Establish EFCOG web-page and VTC tools for HP evaluation**
2/29/2008
- **EFCOG inventory of HP capability and identification of gap**
3/31/2008
- **EFCOG SWG assessment and analysis of HP culture**
5/31/2008
- **Security Culture Report preparation and review**
6/31/2008
- **EFCOG SWG Chair/Sponsor comment and review**
7/31/2008
- **EFCOG Sponsor presentation to EFCOG Board**
8/15/2008

Summary

- **Closing Comments by EFCOG Task Leader – *Isaac Simmons***
- **Closing Comments by EFCOG SWG Chair - *Jimmy Mulkey***
- **Questions**