

# Establishing a Safety Culture through Human Performance Improvement

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- DOE – ORP Hanford Tank Operations Contractor (TOC)
- Actively engaged with DOE/EFCOG safety culture activities since contract transition in 2008
- Incorporated the safety culture model into TOC charter and procedures
- Focused on common safety culture improvement activities, such as assessments, surveys, workplace intervention, etc.
- Difficult to maintain focus on HPI for a number of reasons
- Renewed focus on HPI principles would help improve performance



- 2008-2010: EFCOG/DOE safety culture task team developed safety culture model
- 2009: HPI white paper developed to support EFCOG/DOE safety culture task; posted on EFCOG website
  - HPI cultural attributes were incorporated into the model
- 2009: DOE issued HPI guide
- 2011: DOE institutionalized model with minor modifications (DOE G 450.4-1C, attachment 10)
- WRPS has incorporated these attributes into a facility charter and behavioral expectations



- Facilitate open communication
- Treat people fairly
- Promote teamwork
- Reinforce desired behaviors
- Eliminate latent organizational weaknesses
- Value the prevention of events and management of errors



# Attribute: Treat People Fairly

- Strike the right balance between how willful violations and unintentional errors are addressed
- Break the blame cycle based on by the belief that human error occurs because people are not properly motivated; no matter how motivated an individual is, active errors will continue to occur
- Related ISMS attachment 10 attributes:
  - Address disciplinary actions in a consistent manner; disciplinary actions are reviewed to ensure fair and consistent treatment of employees at all levels of the organization.
  - Use mistakes for opportunities to learn, rather than blame.
- WRPS ISMS Expectation (example)

**M8** Treat employees fairly, consistently, and with respect

# Attribute: Promote Teamwork

- Cultivate a safe atmosphere by treating people with honesty, fairness and respect
- Related ISMS attachment 10 attributes:
  - Teamwork and mutual respect:
    - Make open communications and teamwork the norm.
    - Listen to individuals at all levels of the organization and effectively engage in crucial conversations to ensure meaning, intent and viewpoints are understood, and differing points of view are acknowledged.
    - Focus on problem solving, rather than on individuals.
- WRPS ISMS Expectation (example)

**E2** Earn each other's trust by treating each other with dignity and respect; be open and honest  
- View participation in event critiques as an opportunity to truthfully and openly discuss the event and capture Lessons Learned

# Institutionalizing HPI Cultural Attributes; Examples

- DOE ISM Guide 450.4-1c, Attachment 10
- TOC Safety Culture Charter (flows down attachment 10 attributes)
- Facility Behavioral Expectations
- Procedures include concepts
  - Disciplinary Action process
  - Event Investigation process
  - Corrective Action Program
  - Management Observation Program
- Staffing and training program
- Performance indicators that measure related aspects



# Institutionalized Examples

## Expectations for Implementation of the Integrated Safety Management System

Demonstrating ISMS accountability by our behavior in the workplace

### Expectations for all employees

- 01 Perform all work safely using the five core functions of the Integrated Safety Management System; and
  - Watch out for each other
  - Apply ALARA principles to any potential hazardous task
  - If you aren't sure, please and get the right answer
  - Leave a Stop Work for imminent safety hazards
  - Learn from both your successes and mistakes
  - Report to work if you're truly, go home as healthy and safe as you were when you came to work
- 02 Earn each other's trust by treating each other with dignity and respect, be open and honest
  - View participation in event critiques as an opportunity to learn and learn from the event and capture lessons learned
- 03 Comply with our procedures and any written instructions that define how to do a task
  - If a procedure or written instructions 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
- 04 Demonstrate a questioning attitude
  - If something doesn't seem right, it probably isn't. Bring it to the attention of your supervisor or the appropriate person
  - If appropriate, write a Problem Evaluation Request to document the problem
- 05 Participate and complete required training; only perform tasks that you are qualified and authorized to do
- 06 Maintain a safe and well kept work environment
- 07 Comply with the requirements of the Labor Contract agreements
- 08 Control and Non-Worktime personnel fully participate in employee performance review and improvement processes (supervisors and direct reports)
- 09 Support Voluntary Protection Program approaches to safety
- 10 Never engage in or tolerate harassment, intimidation, retaliation, or discrimination
- 11 Adhere to Conduct of Operations requirements
- 12 Work with your customer to set expectations; then meet those expectations

### Additional expectations for managers and supervisors

- 011 Set, demonstrate and enforce high standards of Integrated Safety Management System performance with emphasis on safety, quality, mission progress, procedural compliance, and personal conduct
- 012 Maintain a safe work environment where employees feel free to raise issues without fear of reprisal
- 013 Be present in the field/work place with your employees. Earn the trust of your employees. (senior management refer to SMT)
- 014 Own the plan; join the team, seek out win-win solutions
- 015 Challenge the status quo
  - Resolve issues or escalate quickly to the next level of management
- 016 Recognize and reward individual and team performance for safe and productive work
- 017 Treat your employees as your most important resource
  - 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
- 018 Treat employees fairly, consistently, and with respect
- 019 Take immediate action to stop inappropriate behaviors (e.g. harassment, intimidation, retaliation, discrimination) and address any potential chilling effect impact on your employees
- 020 Learn from both mistakes and successes; use them as teaching opportunities
  - Demonstrate that we are a learning organization
- 021 Honor the Labor Contract including support of its safety, environmental and HAWG Safety Requirements

### Additional expectations for senior management

- SM1 Use the Guiding Principles of the Integrated Safety Management System and Voluntary Protection Program to lead your team
- SM2 Establish and communicate an achievable vision for the future
- SM3 "Set the example" every day by your words and actions
- SM4 Foster an environment where people can get work done safely and productively
- SM5 Be visible in the field/work place with your employees
  - Dedicate your time to face-to-face contact with your people
  - Schedule time on your calendar to "walk the farms," meet directly with employees in their work area, or attend "all employees" type informational update sessions
  - Be open with the work force, on hidden agendas; people must know what you are thinking
- SM6 Challenge the status quo; actively seek ways to remove barriers and question "why"
- SM7 Set and hold your employees and yourself accountable to expectations, achievable but challenging goals and our corporate values
- SM8 Establish reward and recognition systems
- SM9 Develop your managers and employees
- SM10 Demonstrate a positive attitude, support your peers, as well as your employees
- SM11 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 concerns

ISMS Safety Culture Pillars	FY2013	1 <sup>st</sup> Quarter FY2014	Quarterly Trend
Leadership			→ Continual learning
Worker/Employee Involvement			→
Organizational Learning			↑ Encouraging questioning attitude
SCWE			→

## SWE Attribute - Trust

There is a high level of trust within the organization, and people at all levels of the organization treat each other with dignity and respect.

Results indicate Trust is about the same as the 2009 survey. The workforce perceives their immediate manager is trustworthy, trusts them to make good decisions, do their job, and treats them with respect. However, continual improvement is needed in teamwork among organizations.

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ATTACHMENT A – BASIC CAUSAL ANALYSIS

Figure A-13. Causal Analysis Worksheet

Cause Analysis Worksheet

Problem Statement

Extent of Condition

Where else does the potential exist for more of the same?  
Where does the potential exist for more of similar??"

Remedial Corrective Actions/Compensatory Measures

- 1.
- 2.

HPI Error Precursors

The following error precursors we identified and:

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Causal Analysis

Analysis Methods and Tools Used:

## Manual for Performance Management

### Recognition, Coaching, Performance Improvement and Discipline

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# Obstacles to Singular HPI Focus

- Desire to limit focus on multiple safety programs and program of the month (examples: VPP, ISMS, HPI, BBS, SCWE, etc.)
- Change of contractors, management, and SME
- Failure to institutionalize attributes into processes and procedures
- Failure to integrate concepts into training
- Perceived higher priorities
- Lack of management knowledge or appreciation



- Safety culture and industrial safety performance have shown improvement; but more emphasis on day-to-day human performance is warranted
- Formulating plan to provide more focus on Human Performance Improvement as a cross-cutting issue
- Striving for more consistent performance, early identification of latent issues, and lower event rates
- Renewed commitment to HPI as value added activity:
  - Greater use of training and simulators to emphasize HPI
  - Drill scenarios that include HPI aspects
  - Greater attention to HPI-related trend data
  - Addition of an HPI SME
- Desired outcomes:
  - Consistent and excellent human performance
  - Identification of latent organizational errors
  - Improved first-line supervisor effectiveness

