



2017 Waste Management Symposium

When Safety Performance Declines

Rob De La Espriella
President, DLE Technical Services, LLC





Discussion Topics

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WHEN SAFETY PERFORMANCE DECLINES

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INTRODUCTION

What Happens When.....

1. There is a transition from Operations to decommissioning that was not well planned
2. There is a major workforce restructuring or other significant organizational changes that creates many distractors and confusion
3. There is a contract transition where the incoming prime has dramatically underbid the contract and Safety performance and Safety culture immediately start to decline
4. The annual DOE ISMS assessment identifies numerous findings



When Safety Performance Declines

Common Problems

- The staff believes (or perceives) that Production takes priority over Safety because management's messages for Safety and Production are not balanced: it's important to stress cost and schedule, but equal time/emphasis is not being given to the Safety message.
- Management provides clear expectations for adhering to instructions and Safety requirements, but their actions and decisions may lead workers to believe they are not serious about Safety.
- The identification and documentation of poor Safety behaviors and low level incidents may be unintentionally discouraged or suppressed.



When Safety Performance Declines

Common Problems

- Unclear or multiple, overlapping standards exist because new and old cultures were not adequately integrated during transition.
- Observation programs are weak and do not identify error-likely situations and at-risk behaviors.
- Employee feedback is not routinely captured and acted on following work activities.
- Tracking and trending of Safety issues is less than adequate, or adverse trends have been identified but corrective actions have not been effective because the root causes have not been sufficiently identified and addressed.



Analyzing the Safety Culture

Use available data and resident knowledge to analyze the Safety Culture

SAFETY CULTURE SURVEYS

Conducted at the start of a transition period or when Safety Culture is in decline. Engages employees and other stakeholders.

ROOT CAUSE ANALYSIS OF SAFETY ISSUES

To analyze an adverse trend of low level Safety issues (or one significant issue), identify the root causes so that proper corrective actions can be taken



DOE SAFETY CULTURE ASSESSMENTS

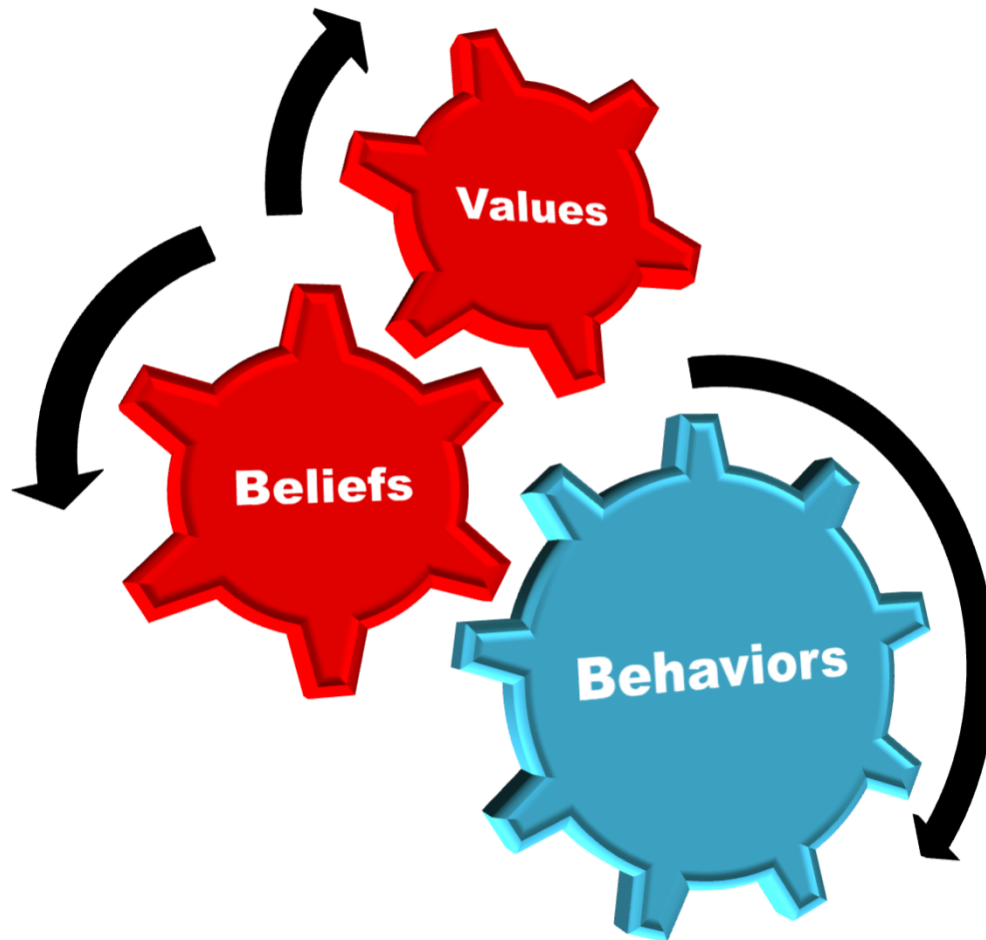
DOE routinely conducts ISMS assessments at the sites and issues Findings where performance is lacking.

ANALYZE HUMAN PERFORMANCE DATA

FLS and management observations should be generating HUM performance data that can be analyzed. If not, there are other techniques that can be used.

Analyzing the Safety Culture

The worker's values and beliefs will drive their Safety behaviors



- *To analyze a culture, observe behaviors*
- *To change a culture, change behaviors*
- *To change behaviors, influence people's values and beliefs*

Improving Safety Performance

ISMS Mentors & SSWs

- Whether as an initiative or a justification for continued operation (JCO), mentoring of managers, first line supervisors and work crews by (internal or independent) experienced personnel can provide rapid improvement of Safety performance.
- Mentoring reinforces management expectations for performing high quality work, ensuring adherence to requirements and desired behaviors to improve the safe performance of work and the Safety culture.



Improving Safety Performance

Project Plan for behavior based Safety Culture Improvement Initiatives

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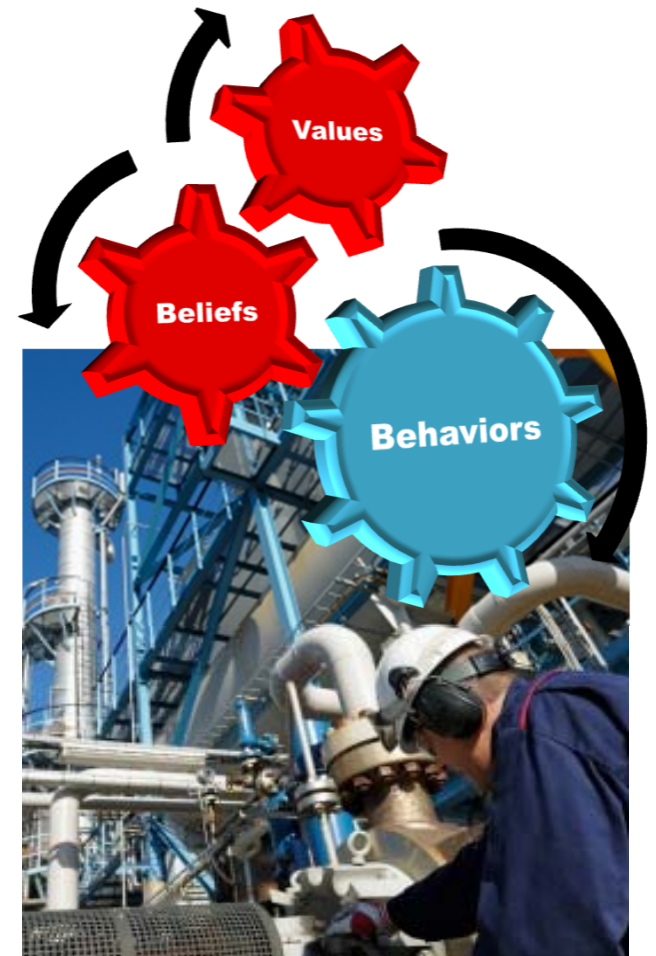
Improving Safety Performance

- Organize the findings from Safety Culture Surveys, analysis and assessments and establish a single, integrated action plan with desired behavioral-based end-states.
- A T-Matrix is an elegant solution to capture and cross reference findings, action plans and desired end-states.

Safety (SCAQs) and Observations Identified by the DOE Safety				Safety Culture Improvement Initiative Crosswalk from SCAQs to Action Items to Desired End States	Desired End States	
A process for encouraging employee involvement and feedback has not been sufficient.					For Workers	For Management
Employee involvement in the planning of the day to day activities is limited. The lack of worker involvement in the planning of work has inhibited the ability of AAA to perform effectively.	Based on interviews, many of AAA actions encourage workers from raising safety concerns and identifying potential issues. However, the DOE that workers is available too many issues are not identified within project activities.	During the DOE assessment, AAA personnel were provided information by their line manager to speak to DOE Safety assessment personnel only when the AAA manager was present. When the observation was shared with AAA, it was manager who wrote the instructions. AAA management took immediate action to correct the condition, and workers were allowed to meet with DOE to review without oversight.	Although AAA management reacted to the incident adequately and timely, the culture that created this incident is present and will need to be better understood and appropriate corrective actions will need to be developed.	<ul style="list-style-type: none"> Workers are personally responsible for their own safety. Workers look out for each other's safety. Workers value and follow the processes that keep them safe. Workers follow procedures or pause when they cannot follow procedures or when the situation is not as expected. Workers demonstrate a questioning attitude. Workers feel comfortable raising safety concerns. Workers suggest improvements to processes and procedures. 	<ul style="list-style-type: none"> Managers reinforce and hold personnel accountable for process compliance. Managers seek and encourage worker input on procedures. Managers encourage and reward a questioning attitude, including identification of problems. Managers seek to understand issues rather than spoon-feeding them. Management creates the environment that makes workers feel empowered to do the right thing. Workers ensure workers are qualified or competent before starting work. Managers ensure there are enough workers/resources to do the safety and compliance. Managers send a consistent message of the balance between cost and schedule. Managers don't allow budget shortcuts to meet schedule. Management develops strong programs and processes (incentive programs, etc.) that keep workers safe. Management leads by example, consistently demonstrating desired behaviors. 	
<p>Action Plan to Address Performance</p>						
Safety Culture goals provide positive reinforcement for supervisors and managers to encourage identifying potential issues and raising safety concerns.	Safety Culture goals provide positive reinforcement to supervisors and managers for establishing a strong safety culture.		Incorporate Safety Culture goals (desired end states) into the AAA Rewards and Recognition system to reinforce desired behaviors for both workers and management. This includes employee involvement in work planning, encouraging employee feedback and raising safety concerns.	Safety Culture goals help establish the desired end states for workers.	Safety Culture goals help establish the desired end states for management.	
Safety culture survey will help determine a base line of how frequent workers are discouraged from raising safety concerns.			Conduct a survey to establish a baseline for the AAA Safety Culture that will identify areas of needed focus and will allow future measurement of change.	Safety Culture Survey will help identify and address gaps to desired end states for workers.	Safety Culture Survey will help identify and address gaps to desired end states for management.	
Worker training will include work control requirements.	Worker training will reinforce the ability to raise safety issues.		Develop and implement a training program for AAA Workers to reinforce management's expectations for working safely in accordance with procedures and work instructions (See Section 3.1), and to provide tools and techniques to work and error free.	Worker training program will help establish desired end states for workers.		
Supervisor training will include work control requirements.	Supervisor training will include the SCWE Policy.	Supervisor training will include the SCWE Policy.	Develop and implement a training and development program for AAA Supervisors to give them the tools and skills to consistently and effectively communicate safety expectations, encourage open reporting, and create a learning environment.	Supervisor training program will help establish the desired end states for supervisors.		
Manager training will include work control requirements.	Manager training will include the SCWE Policy.	Manager training will include the SCWE Policy.	Develop and implement a training and management development program for AAA Managers and Leaders to give them the tools and skills to consistently and effectively communicate safety expectations, encourage open reporting, and create a learning environment.	Management training program will help establish the desired end states for management.		
Training on SCWE and Employee Concerns will address the freedom to raise safety concerns.	Training on SCWE and Employee Concerns will address the freedom to raise safety concerns.	Training on SCWE and Employee Concerns will address the freedom to raise safety concerns.	Strengthen training and communication of AAA SCWE policy and Employee Concern program.	Training on SCWE will help reinforce the desired end states for workers.	Training on SCWE will help reinforce the desired end states for management.	
Oversight programs will include planning for implementation of work controls and procedure adherence.	Oversight programs will include observing the freedom to raise safety concerns.	Oversight programs will include observing the freedom to raise safety concerns.	Strengthen the AAA management/supervisor matter expert oversight program (e.g. management field observations and self-assessments, SMS mentors, SSWs).	Strengthening oversight programs will help establish desired end states for workers.	Strengthening oversight programs will help establish desired end states for supervisors and managers.	
Strengthening causal analysis & corrective actions will improve feedback for work planning.			Enhance the effectiveness of event/near miss response, causal analysis, and corrective actions to prevent recurrence.	Strengthening the effectiveness of causal analysis and corrective actions to prevent recurrence will correct deviations from the desired end states for workers.	Strengthening the effectiveness of causal analysis and corrective actions to prevent recurrence will correct deviations from the desired end states for management.	
Strengthening performance management will improve SCWE compliance.	Strengthening performance management will improve SCWE compliance.	Strengthening performance management will improve SCWE compliance.	Enhance the performance management program to ensure management is reinforcing desired behaviors and providing accountability and progressive consequences for non-compliance with procedures and work instructions.	Strengthening accountability will help correct deviations from the desired end states for workers.	Strengthening accountability will help correct deviations from the desired end states for management.	
Communication Plan will include the need to improve worker involvement.	Communication Plan will include the need to improve SCWE compliance.	Communication Plan will include the need to improve SCWE compliance.	Develop and execute a communication plan that allows employees to readily understand the need for change, the desired end state, the process to achieve the desired end state, and consistently sends messages that reinforce desired behaviors.	Communicating the need for change and desired end states will help workers understand desired behaviors.	Communicating the need for change and desired end states will help supervisors and managers understand desired behaviors.	
Enhancements include worker involvement in work planning process.	Enhancements include management feedback on issues raised.	Enhancements include management feedback on issues raised.	Enhance processes and programs to encourage employee involvement and ensure employees receive feedback on issues raised.	Enhancing processes to encourage raising safety issues help establish the desired end states for workers.	Enhancing processes to encourage raising safety issues help establish the desired end states for management.	

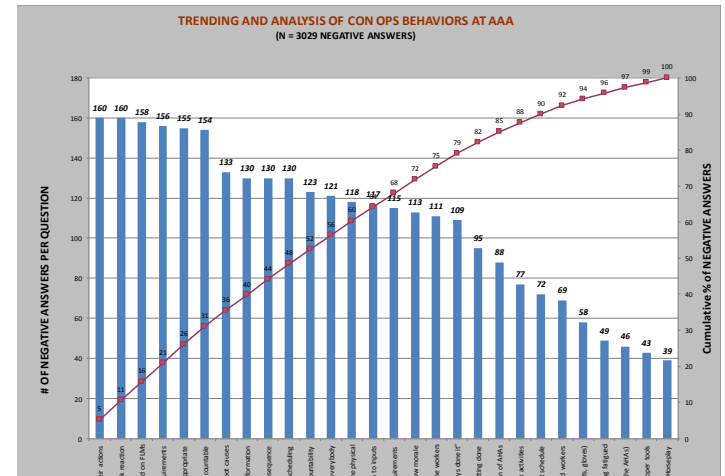
Key Take-Aways

- Safety performance is influenced by how much the organization actually **VALUES** Safety and by how much the work force **BELIEVES** that management is serious about Safety.
- Dramatic improvements in Safety performance happen when personnel change their behaviors (i.e. do the right thing even when no one is watching).....therefore improvement efforts should be aimed at reinforcing the desired values and beliefs.



Key Take-Aways

- Use data and root cause analysis to identify and address the most significant contributors to poor Safety performance
 - Data from observation programs that document personnel behaviors
 - Identification of error-likely situations at at-risk behaviors
 - Identification of organizational and programmatic issues
- Maintain a single, integrated action plan to avoid duplication of effort (T-Matrix)
- Sometimes outside mentors and consultants are needed as catalysts to identify the issues and accelerate the turn-around of poor Safety performance.





Questions?

