

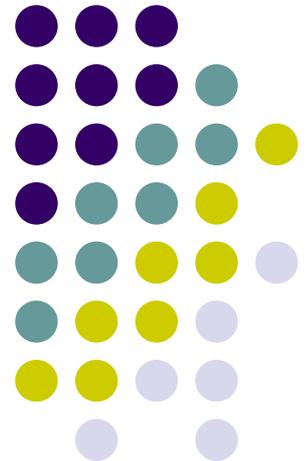
DOE-EFCOG ISM & QA

Development of Safety Culture Self-Assessment Guidance Document

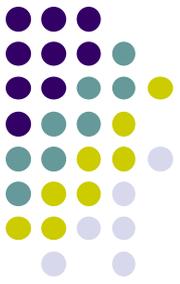


Richard S. Hartley, Safety Culture/HRO Subgroup Chair
October 21, 2014

*“IMPROVING WORKING RELATIONSHIPS TO IMPROVE
PERFORMANCE ACROSS THE DOE COMPLEX”*

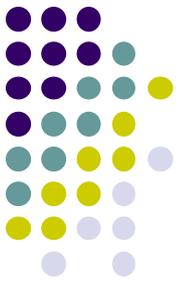


Safety Culture Assessments Conducted Under DOE IP 2011-1



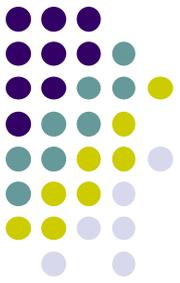
- Full Safety Culture Assessments Performed at Select Sites and DOE by HSS (NRC type process)
 - Multiple tools, providing quantitative and qualitative data, assess each behavior systematically and objectively.
 - Functional Analysis
 - Semi-Structured Interviews and Focus Groups
 - Behavioral Anchored Rating Scales (BARS)
 - Behavioral Observations and Checklists
 - Organizational and Safety Culture Survey
 - Based on NRC Culture Components and Traits
- SCWE Self-Assessments Performed at Other Sites
 - Use at least two assessment methods
 - Based on SCWE Traits from DOE ISM Guide

NRC Safety Culture Components



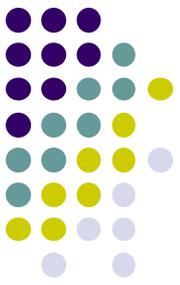
- **Human Performance**
 - Decision-Making
 - Resources
 - Work Control
 - Work Practices
- **Problem Identification and Resolution**
 - Corrective Action Program
 - Operating Experience
 - Self & Independent Assessments
- **Safety Conscious Work Environment**
 - Environment for Raising Concerns
 - Preventing, Detecting, Mitigating Perceptions of Retaliation
- **Other Safety Culture Components**
 - Accountability
 - Continuous Learning Environment
 - Organizational Change Management
 - Safety Policies

NRC Safety Culture Traits



- Leadership Safety Values and Actions
- Problem Identification and Resolution
- Personal Accountability
- Work Processes
- Continuous Learning
- Environment for Raising Concerns
- Effective Safety Communication
- Respectful Work Environment
- Questioning Attitude

SCWE Related Attributes DOE ISM Guide (DOE G 450.4-1C , Attachment 10)



Leadership

- Clear expectations and accountability
- Management engagement and time in field
- Risk informed, conservative decision making
- Open communication/raising issues free from retribution
- Demonstrated safety leadership
- Staff recruitment, selection, retention, & development

Employee/Worker Engagement

- Personal commitment to everyone's safety
- Teamwork and mutual respect
- Participation in work planning and improvement
- Mindful of hazards and controls

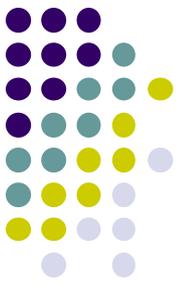
Organizational Learning

- Performance monitoring through multiple means
- Use of operational experience
- Trust
- Questioning attitude
- Reporting errors and problems
- Effective resolution of reported problems

Attributes highlighted in yellow font represent those related to SCWE

Recommended Areas of Improvement

HSS Independent Oversight Evaluation of the Line Self-Assessment of SCWE (Feb 2014)



- Broaden scope to include all aspects of safety culture
- Use common validated survey questions to help facilitate a broad view of culture
- Enhance guidance and tools for survey management, sampling strategy, conduct of interviews and focus groups, conduct of workplace behavior observations, analysis of data, and engagement and confidentiality of employees during the process
- Enhance instructions for performing assessments and documenting assessment process
- Develop methods to ensure assessments use appropriately balance of data collection methods to assess safety culture and that all data collection methods remain independent to prevent data from one data collection method influencing another data collection method
- Develop methods to ensure results and conclusions accurately reflect both the problems and the positive aspects revealed by the data
- Establish qualification standards for self-assessment team members
- Establish guidance for formal SCWE/safety culture team training
- Use behavioral science experts as necessary to initially design assessment approaches, ensure methodological and analytical integrity, and train assessors

EFCOG Approach To Revised Guidance

Body of Document



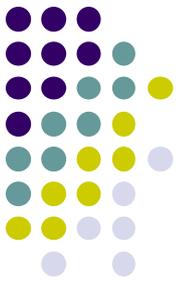
- Purpose (purpose and limitation of this guidance)
- Safety Culture - SCWE relationship
- Planning (team composition, quals/attributes, data collection, single vs. multiple org review, large vs. small organizations)
- Assessment Performance (data collection techniques and reliability, data analysis, team results and interpretation (conclusions))
- Assessment Reporting (Details in appendix)
- Assessment Feedback (lessons learned) and Improvement

EFCOG Approach To Revised Guidance Appendices



- Safety Culture Attributes (ISM Guide, Attachment 10)
- Planning Considerations an Assessment
- Sample Review Plan
- Direct Observations
- Surveys
- Face-to-Face Interviews
- Focus Groups
- Feedback and Improvement Checklist
- USA Assessment Process
- Assessment Feedback (lessons learned) and Improvement

Feedback on Approach



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