U.S. DEPARTMENT OF **ENERGY**

ISM Workshop on Activity-level Work Planning and Control (WP&C)

Special ISM Champions Workshop

DOE Forrestal HQ Building
and Video and Web Conferencing
Washington, DC

May 15-16, 2013

Integration of Safety Culture Attributes into EFCOG Work Planning and Control Guidance Document

Steele Coddington, NSTec, Las Vegas
John McDonald, WRPS, Hanford

May 15, 2013

Background

- EFCOG ISM/QA working group completed the safety culture (SC) task in 2010; EFCOG SC Subgroup then established

- The work planning and control (WP&C) function transferred into ISM/QA working group in this time frame

- Lessons learned from the SC task were used to initially establish the WP&C project plan

- WP&C plan vision was to consider SC attributes

- SC Subgroup members have collaborated with the WP&C team members

- Past WP&C assessment CRADs used SC elements from the DOE ISM Manual

EFCOG

Safety Culture Focus Areas

DOE G 450.4-1C, Attachment 10

Demonstrated safety leadership

- Risk-informed, conservative decision-making
- *Management engagement and time in the field*
- Staff recruitment, selection, training, and development
- *Open communication and fostering and environment free from retribution*
- *Clear expectations and accountability*

Employee Engagement Focus Area

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

Organizational Learning Focus Area

- *Credibility, trust and reporting errors and problems*
- *Effective resolution of reported problems*
- *Performance monitoring through multiple means*
- Use of operational experience
- *Questioning attitude*

FCOG

* WP&C Emphasis Areas

SC/WP&C Integration Considerations

- The EFCOG WP&C team relied on assessment CRADs which incorporate SC attributes
- SC behavior based attributes can be used to evaluate a process like WP&C on how well implementation demonstrates SC
- Iterative emphasis on SC attributes in other processes doesn't appear to add value
- A process can become cumbersome, bloated, and ineffective, actually detracting from safety because of additional detail
- Adding SC attributes to processes such as WP&C can distract from overall effectiveness of the primary process

Linking SC to WP&C CRADS

- EFCOG Work Management Subgroup goal is to provide two peer reviews a year

- While evaluating the WP&C process at a site, SC behaviors can be observed first hand

- EFCOG report to include positive and negative SC observations, for example:

  - Good worker participation in the planning process was observed (positive), or

  - Workers rarely stopped a job, even when conditions were clearly present to do so (negative)

EFCOG and DOE SC and WP&C Collaboration

- Discussed SC model with the WP&C team during the process
- Reviewed WP&C CRADs using the SC attributes
  - Identified CRADs which embodied SC
  - Improved CRADs which missed the mark
- Currently have reviewed *Appendix I –Program Assessment* in EFCOG WP&C Guide
  - Identified 10 CRADs which have a SC connection
  - Discussing wording changes to improve 6

EFCOG and DOE SC and WP&C Collaboration (cont)

- Review of Appendix J next

- Changes are being looked at for Rev 1 of the WP&C Guide

- WP&C CRADS with SC connection will be highlighted
  - Users may need to refer to information in SC reference material

Example WP&C Culture Related CRADs

- The Stop Work process is defined

- If work cannot be performed as written, or if unexpected conditions arise, workers and supervisors take conservative actions to stop the work and follow the approved change control process to modify the work instructions

- The bias is set on proving work activities are safe before proceeding, rather than proving them unsafe before halting

- Active worker involvement in identification, planning and improvement of work and work practices and incorporation of lessons learned into active and in-development work control documents and/or the WP&C procedure

- An effective feedback and improvement process that fosters learning from both internal and external operating experience and continuous improvement for activity level work

FCOG

Example WP&C Culture Related CRADs (continued)

- Obtaining feedback during the execution of WP&C activities and incorporating associated improvement opportunities into active and in-development work control documents and/or the WP&C manual/procedure(s)

- Timely and effective management and independent assessment of the WP&C process, and of specific activity implementation of the process on a periodic basis by line and functional area. These include: …
    - Periodic surveillance by line managers, which include the observations of job walkdowns and JHA walkdowns/meetings, pre-evolution briefings, and work, performed to work documents
    - Periodic review by line managers of in-development and approved work control documents

- Identifying, categorizing, prioritizing, tracking, correcting, and closing deficiencies identified during activity-level work activities and assessment of those

- Learning from both internal and external operating experience

Summary

- WP&C is one of the most visible of all processes at DOE facilities

- SC can be integrated into WP&C activities, most efficiently through assessments

- Primary assessment method is behavior observation

- While not a complete SC assessment, WP&C SC observations can provide a high confidence, focused look at organizational SC for attributes assessed

FCOG