



**S**afety  
**C**ulture  
**I**mprovement  
**P**anel

**U.S. Department of Energy  
Safety Culture Improvement Panel**

Produced by:

Safety Culture Improvement Panel  
Annual Report, 2016  
July 1, 2015-June 30, 2016

The Department of Energy (DOE) Safety Culture Improvement Panel (SCIP) was established by a Charter signed by the DOE Deputy Secretary on May 18, 2015<sup>1</sup>. The SCIP's membership, a combination of senior career leaders from both Headquarters and the Field, can be found in Attachment 1.

The SCIP's first meeting was held on July 1, 2015, and was held on the first Wednesday of each subsequent month, via webinar, with two exceptions. In January, the meeting was held on the second Wednesday of the month (January 13) due to the holidays, and the May meeting was held as an Annual Workshop in Las Vegas, NV. An SCIP Powerpedia page was established<sup>2</sup> where copies of the agendas and minutes of each meeting as well as slides for all presentations made can be found. The SCIP monthly webinars are open to any interested party in the DOE community.

Chaired by Matthew Moury, the DOE Associate Under Secretary for Environment, Health, Safety and Security and co-chaired by Jonathan Dowell, Deputy Manager for the Office of River Protection, the SCIP decided to focus its first year of work on three areas identified in Section 3 of its Charter and formed the following three Working Groups to take the lead in developing products for use on a DOE-wide basis:

- Contract Language Working Group
- Safety Culture Monitoring Means Working Group
- Safety Culture Training Working Group

This approach was incorporated in the SCIP's Annual Plan<sup>3</sup> which also called for the formation of Working Group in October 2015 to plan a May 2016 Safety Culture Monitoring and Best Practices Workshop. Finally, the Annual Plan called for the formation of a Working Group to draft and finalize this Annual Report. During the course of the year, SCIP determined that it was necessary to improve communications of SCIP activities more broadly as well as to receive input on a DOE-wide basis, from the shop floor to DOE upper management, to help inform its activities. To address this issue, the Soliciting Employee Input Working Group was established in December 2015.

To keep DOE's senior leadership up-to-date on SCIP activities, SCIP Chairman Moury provided the Deputy Secretary with a *Safety Culture Improvement Panel Update* memo on September 1, 2015 (see Attachment 2), and similarly provided an update memorandum to the Secretary on February 22, 2016 (see Attachment 3).

The Contract Language Working Group authored a report entitled *Safety Culture and Contract Language* (SCIP-16-001). The Working Group reviewed a number of existing contracts at DOE sites as well as one Request for Proposal in which they found safety culture addressed to varying degrees and not in a consistent manner. Based on its review, the Working Group made recommendations for including a

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<sup>1</sup> [https://powerpedia.energy.gov/w/images/5/5f/5-](https://powerpedia.energy.gov/w/images/5/5f/5-18_DOE_Safety_Culture_Improvement_Panel_Charter_signed_by_Deputy_Secretary_Sherwoond_Randall.pdf)

[18 DOE Safety Culture Improvement Panel Charter signed by Deputy Secretary Sherwoond Randall.pdf](https://powerpedia.energy.gov/w/images/5/5f/5-18_DOE_Safety_Culture_Improvement_Panel_Charter_signed_by_Deputy_Secretary_Sherwoond_Randall.pdf)

<sup>2</sup> [https://powerpedia.energy.gov/wiki/Safety\\_Culture\\_Improvement\\_Panel#Annual\\_Meeting](https://powerpedia.energy.gov/wiki/Safety_Culture_Improvement_Panel#Annual_Meeting)

<sup>3</sup> [https://powerpedia.energy.gov/w/images/3/37/SCIP\\_Annual\\_Plan\\_2015.docx](https://powerpedia.energy.gov/w/images/3/37/SCIP_Annual_Plan_2015.docx)

consistent set of safety culture elements in DOE contracts and for assessing the effectiveness of current contractor performance measures in enhancing the safety culture environment.

The Safety Culture Monitoring Means Working Group similarly authored a report entitled Safety Culture and Monitoring Means (SCIP-16-002). The Working Group looked various approaches to monitoring and communicating the status of safety culture implementation at various DOE/NNSA facilities and offices across the complex. The report recommends that DOE sites and organizations establish site-specific monitoring metrics and protocols to conduct periodic worker surveys. It also recommends senior leadership review and discuss these periodically.

The Training Working Group continued to promote delivery of *Safety Culture for DOE and DOE Contractor Senior Leaders* (TLP-200) and well as development and piloting of *Safety Culture for Front Line Leaders* (TLP-150) and *Safety Culture Fundamentals* (for Federal and contractor employees in non-supervisory positions).

From May 2-4, 2016, the SCIP held its first Annual SCIP Workshop in Las Vegas, NV, to review progress to date, share lessons learned, and begin to plan for the following year's activities (see Attachment 4 for a Workshop agenda). Based on Workshop discussions, it was agreed to form a Working Group to develop not only the SCIP 2016-2017 Annual Plan but to develop an overarching Strategic Plan to support the SCIP's long-term goals for integrating safety culture into the way DOE does business. In addition, it was recognized that communications was a key element to this long-term goal and strong communication links were needed not only to and from the SCIP but throughout the Department as a whole to strengthen DOE's safety culture. To help meet this need, a Communications Working Group was also established to develop an SCIP Communications Plan to complement the SCIP's Strategic Plan, Annual Plan and other efforts to further consistent safety culture messaging via multiple means.

## SCIP Membership

- **Co-Chair** Matthew B. Moury, Associate Under Secretary for Environment, Health, Safety and Security
- **Co-Chair** Jonathan Dowell, EM Field Element Member, Office of River Protection
- Michael Budney, Senior Manager Rep for EERE
- Jennifer Appleton, EERE Senior Field Manager Member, Golden Field Office
- James Hutton, Deputy Assistant Secretary Safety, Security and Quality Programs, EM Senior Manager Member
- Steven Davidson, Special Assistant, Office of Fossil Energy
- Kelli A. Markham, Senior Manager for NE
- Douglas Dearolph, NA Senior Field Manager Member, Savannah River Field Office Manager
- Geoffrey Beausoleil, NA Field Element Member, Manager, NPO
- Joseph A. McBrearty, Deputy Director for Field Operations, Senior Manager for SC
- Rock E. Aker, SC Field Element Member, Argonne Site Office
- Josh S. Allen, Fac Rep of the Year
- Mark R. Hahn, SSO of the Year
- **Supporting Members**
  - Jeffrey Roberson, Chief of Defense Nuclear Safety, (NA-51)
  - Gregory Sosson, Associate Deputy Assistant Secretary for Safety, Security, and Quality Programs (EM-40) Office of Environmental Management
  - Andrew Lawrence, SCIP Executive Secretary, Office of Environment, Health, Safety and Security
- **Ex-Officio Members**
  - Robert Gibbs, Chief Human Capital Officer
  - Brandon Guzzone, Chief Learning Officer
  - Ingrid Kolb, Director, Office of Management
  - Patricia Worthington, Director, Office of Health and Safety
  - Karen Boardman, Director, National Training Center
  - Julie Goeckner, SME, Office of Environmental Management
  - Rizwan Shah, Organizational Culture Advisor, Office of Environment, Health, Safety and Security
- **Advisors**
  - Diane Seracki, Senior Safety Culture Program Manager, Office of Enforcement, U.S. Nuclear Regulatory Commission
  - Tracy Dillinger, Safety Culture Manager, NASA HQ / OSMA



Department of Energy  
Washington, DC 20585

SCIP-16-004 Nov  
Attachment 2

September 1, 2015

MEMORANDUM FOR THE DEPUTY SECRETARY

THROUGH: David M. Klaus  
Deputy Under Secretary for  
Management and Performance

FROM: Mathew B. Moury *MB Moury*  
Associate Under Secretary for  
Environment, Health, Safety and Security

SUBJECT: Safety Culture Improvement Panel Update

MEMO TYPE: INFORMATIONAL

BACKGROUND/CONTEXT:

You approved the creation of the Safety Culture Improvement Panel (SCIP) and signed its Charter on May 18, 2015. Since then, we have staffed the SCIP and held two WebEx meetings. These meetings have been open to all employees who wish to follow the SCIP activities. Key actions that have been completed since the Charter was signed include:

1. Staffed the SCIP with senior managers from the Program Secretarial Offices and the Field.
2. Elected Jonathan Dowell, Deputy Manager, Office of River Protection, as the co-chairman.
3. Held meetings on July 1st and August 5, 2015. The first Wednesday of each month has been designated as a permanent date to hold the meetings.
4. Developed a Powerpedia page:  
[https://powerpedia.energy.gov/wiki/Safety\\_Culture\\_Improvement\\_Panel](https://powerpedia.energy.gov/wiki/Safety_Culture_Improvement_Panel)
5. Received presentations from key stakeholders including:
  - a. Mr. David Klaus – Welcoming remarks
  - b. Dr. Patricia Worthington, Director, Office of Health and Safety, provided a detailed discussion on Department of Energy's evolution of safety culture, within the context of Integrated Safety Management Systems, from its origins in 1996 through today.
  - c. Ms. Diane Sieracki, Nuclear Regulatory Commission, and Dr. Tracy Dillinger, NASA, spoke about the challenges their organizations encountered in their efforts to improve safety culture.



- d. Mr. John McDonald, Chairman, EFCOG Safety Working Group, discussed EFCOG's safety culture status, including the group's priorities and plans for a safety culture assessment guide.
  - e. Mr. Tom Staker, from the Office of Enterprise Assessments, discussed the nine safety culture assessments they have performed and key findings.
6. Established Working Groups:
    - a. Contract Clause Working Group
    - b. Safety Culture Monitoring Means Working Group
    - c. Training Working Group
  7. Created a Draft Annual Work Plan

The next meeting will be September 2, 2015 via WebEx.

We would like to extend an invitation to you to join us at one of our upcoming meetings. Please let me know if you would like any additional information.

ATTACHMENT:

Safety Culture Improvement Panel Charter  
Safety Culture Improvement Panel Membership  
July 1, 2015 Approved Minutes  
August 5, 2015 Draft Minutes



## Department of Energy Safety Culture Improvement Panel Committee Membership

### Core Members

Matthew B. Moury  
Associate Under Secretary for  
Environment, Health, Safety and Security  
Co-Chair

Jonathan Dowell  
EM Field Element Member  
Office of River Protection  
Co-Chair

Michael Budney  
Senior Manager Rep for EERE

Jennifer Appleton  
EERE Senior Field Manager Member  
Golden Field Office

James Hutton  
Deputy Assistant Secretary  
Safety, Security and Quality Programs  
EM Senior Manager Member

Robert Fee  
Chief of Staff  
Office of Fossil Energy

Kelli A. Markham  
Senior Manager for NE

Douglas Dearolph  
NA Senior Field Manager Member  
Savannah River Field Office Manager

Geoffrey Beausoleil  
NA Field Element Member  
Manager, NPO

Joseph A. McBrearty  
Deputy Director for Field Operations  
Senior Manager for SC

Rock E. Aker  
SC Field Element Member  
Argonne Site Office

Josh S. Allen  
Fac Rep of the Year

Mark R. Hahn  
SSO of the Year

### Supporting Members

Jeffry Roberson  
Chief of Defense Nuclear Safety  
(NA-51)

Chip Lagdon  
Chief of Nuclear Safety  
Office of the Under Secretary

Andrew Lawrence  
Executive Secretary - AU

### Ex-Officio Members

Robert Gibbs  
Chief Human Capital Officer

Brandon Guzzone  
Chief Learning Officer

Ingrid Kolb  
Director  
Office of Management

Patricia Worthington  
Director  
Office of Health and Safety

Karen Boardman  
Director  
National Training Center

**Subject Matter Experts**

Julie Goeckner  
Office of Environmental Management

Riz Shah  
Office of Environment, Health, Safety and  
Security



# DOE Safety Culture Improvement Panel Charter

## ***I. Purpose***

The purpose of the Department of Energy's Safety Culture Improvement Panel (SCIP) is to:

- Establish a permanent, high-level organization devoted to promoting safety culture;
- Provide cross-organizational leadership focused on continuous safety culture improvement;
- Create an ongoing forum to exchange information and ideas that will establish, monitor, and sustain measures supporting a strong safety culture.

## ***II. Principles***

DOE's approach to safety culture is embedded in its overall commitment to Integrated Safety Management as described in the:

- a. Department's Integrated Safety Management Policy (DOE Policy (P) 450.4A). "The Department expects all organizations to embrace a strong safety culture where safely performing work and involving workers in all aspects of work performance are core values that are deeply, strongly, and consistently held and demonstrated by managers and workers." The Department's commitment to establishing and maintaining a strong safety culture is also addressed in the Nuclear Safety Policy (DOE P 420.1).
- b. ISM Guide (DOE Guide (G) 450.4-1C). This document identifies three safety focus areas required to ensure that a strong safety culture is developed: Leadership, Employee Engagement, and Organizational Learning. Each of these focus areas has a list of associated attributes that, when present in the workplace, indicates a strong safety culture and safety conscious work environment.

## ***III. SCIP Objectives and Activities***

- a. Objectives
  1. Strengthen the implementation of safety culture and safety conscious work environment throughout DOE.
  2. Share and, as necessary, develop improvement and sustainment tools for positive safety culture.
  3. Provide high-level, line management attention to evaluating safety culture issues and strengths.
  4. Provide a forum for evaluating DOE safety culture status, progress, and challenges, and communicate the results to the workforce.
  5. Work to continuously improve DOE safety culture with representatives from across the complex.

6. Stay current in advances in organizational safety culture and how best practices can be applied to DOE.
7. Identify opportunities to incorporate safety culture and the concepts/practices of a safety conscious work environment into leadership and employee training, in coordination with DOE's National Training Center, the Federal Technical Capability Panel, and DOE's Chief Learning Officer.

b. **Activities**

1. As requested, evaluate major Departmental policy and programmatic changes for their potential to impact DOE's safety culture.
2. Provide recommendations on DOE Directives to incorporate safety culture, safety conscious work environment concepts, and associated best practices, as appropriate.
3. Develop a means to monitor DOE's safety culture.
4. Monitor and evaluate changes in trends that have the potential to impact safety culture within DOE.
5. Benchmark Departmental safety culture activities with those of similar industries.
6. Develop and assist with implementing improvement actions as assigned by the Department's senior leaders.
7. Evaluate contract language, as appropriate, for potential safety culture and safety conscious work environment impacts.

#### ***IV. Members***

a. **Core Members (voting members)**

1. The Associate Under Secretary for Environment, Health, Safety and Security (AU-1) and a representative from one of the Program Secretarial Officers (PSO) will co-chair the Safety Culture Improvement Panel (SCIP).
2. The co-chair will be nominated from the existing SCIP members and selected by the SCIP.
3. Each PSO shall designate one senior manager and one Field Element representative to serve as members on the SCIP.
4. Each year, the Facility Representative of the Year will serve on the SCIP.
5. Each year, the Safety System Oversight Annual Award Recipient will serve on the SCIP.
6. To maintain continuity on the panel, Core Members should serve for a minimum of two years.

b. **Supporting Members (invited to all SCIP meetings)**

1. Chief of Nuclear Safety or Representative.

2. Chief of Defense Nuclear Safety or Representative.
  3. An Executive Secretary as designated by the AU organization.
- c. Ex Officio Members (invited to meetings, as needed, by one of the SCIP co-chairs)
1. Director of the National Training Center.
  2. Chief Learning Officer.
  3. Director, Office of Health and Safety, as the Office of Primary Interest for the safety culture related directives and guidance.
  4. Director, Office of Management.
  5. Chief Human Capital Officer.
  6. Chief Financial Officer.
  7. A safety conscious work environment, safety culture, or organizational culture subject matter expert as designated by a PSO or AU-1.
  8. Safety culture experts from organizations such as the Nuclear Regulatory Commission (NRC) and the National Aeronautic and Space Administration (NASA).
  9. All members or their representatives must be Federal employees.
- d. Advisors (invited to meetings by one of the SCIP co-chairs to provide expertise on a topic of interest to the panel).
1. The SCIP may find it beneficial to have outside safety culture experts who are not federal employees visit and lend their expertise to the SCIP, including making presentations and answering questions.
  2. These experts may come from organizations such as the Institute of Nuclear Power Operations (INPO), the Nuclear Energy Institute (NEI), and the Energy Facilities Contractors Group (EFCOG).
  3. These non-federal guests, however, cannot be part of the panel deliberations.

## ***V. Responsibilities***

- a. Deputy Secretary
1. Authorizes the formation and operation of the SCIP by the terms of this charter;
  2. Refers pending major policy changes to the SCIP for recommendations on mitigation of their potential safety culture impacts, if any, as the Deputy Secretary determines appropriate.
  3. Works with the SCIP Co-chairs to communicate the Department's priorities for safety culture improvement actions on a DOE-wide basis.

b. Program Secretarial Officers (see Appendix for list)

1. Appoint SCIP members as described in Section IV.
2. Refer pending major programmatic changes to the SCIP for recommendations on mitigation of their potential safety culture impacts, if any, as the PSO determines appropriate.

c. SCIP Co-Chairs

1. Provide leadership to the SCIP and demonstrate a commitment to maintaining a strong safety culture and safety conscious work environment throughout the Department;
2. Oversee the operation and activities of the SCIP;
3. Preside over the SCIP meetings;
4. Provide a focal point for interfacing with external entities (e.g., NRC, NASA, NEI, Defense Nuclear Facilities Safety Board, chemical industry) on safety culture and safety conscious work environment matters; and
5. Provide recommendations to senior Departmental officials regarding improvement of DOE safety culture and safety conscious work environment.

d. SCIP Members

Members are expected to be knowledgeable of safety culture concepts, maintain awareness of the status of the safety culture within their organization, identify themes and provide insights regarding potential safety culture strengths and issues to the SCIP. As such they will:

1. Lead, participate in, or oversee safety culture and safety conscious work environment monitoring, evaluation of cross-cutting data, and safety culture program assessments in the SCIP and within their respective organizations;
2. Solicit information and feedback from people in their respective organizations regarding the improvement of Safety Culture and safety conscious work environment;
3. Keep their respective organizations informed of the progress and problems associated with safety culture and safety conscious work environment, and support successful implementation of safety culture improvements within their respective organizations;
4. Chair and participate in SCIP working groups (described in paragraph VI. E.); and
5. Receive comprehensive safety culture/safety conscious work environment training, as necessary, based on their background.
6. Share tools and actions that have strengthened safety culture and safety conscious work environment in their respective organizations.

e. Executive Secretary

1. Schedule all meetings for the SCIP and work groups;

2. Record meeting minutes of the SCIP meetings;
3. Distribute records and communications for the SCIP team;
4. Coordinate, schedule, and assist the SCIP and work groups as necessary to promote the efficient and timely issuance of reports and other data.
5. Maintain all SCIP records.
6. Make arrangements for SCIP meetings to be available on a DOE-wide basis via webinar, televideo, conference call and other appropriate means.
7. Promptly make available, on a DOE-wide basis, all SCIP meeting announcements, agendas, meeting notes and other records, including the SCIP annual plan (described in paragraph VI. B.) and all periodic reports, to all DOE employees via a website, Powerpedia page, or other communications tools.

## *VI. Operation*

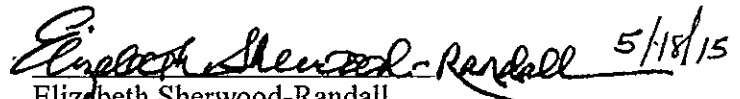
- a. The SCIP will meet approximately monthly, or at the discretion of the co-chairs, and operate in a collaborative fashion to execute the functions described above. The decisions of the SCIP will be documented in meeting notes, including majority and minority opinions.
- b. The SCIP shall develop and maintain an annual plan that clearly identifies major issues related to the Department's safety culture and the specific objectives of the SCIP related to these issues, and activities necessary to resolve the issues in a timely manner. The SCIP will ensure that the annual plan is communicated across the Department.
- c. The SCIP shall prepare periodic reports for the Deputy Secretary based on the responsibilities for monitoring safety culture described in this charter. These reports will summarize actions taken to address the Department's safety culture improvement needs, lessons learned, and identify future actions needed to strengthen the Department's safety culture. The report should be submitted at least on an annual basis.
- d. The SCIP shall develop methods to measure safety culture improvement and recommend them to PSOs for their use.
- e. Working Groups. The SCIP may charter working groups to evaluate particular subjects or perform evaluations. Such working groups will:
  1. Have specific charters approved by the SCIP and signed by the SCIP Chair;
  2. Be chaired by a SCIP Core Member;
  3. May include SCIP members, supporting members, ad hoc members, subject matter experts, and other personnel necessary to complete the charter;

4. Examples of working groups may include application of safety culture and safety conscious work environment concepts to security operations, quality assurance, and/or organizational culture;
  5. Report back to the SCIP on a regular basis to be specified in the charter; and
  6. Provide a final report of their activities to the SCIP.
- f. The SCIP shall assess the effectiveness of its functions three years after formation and periodically thereafter.

## ***VII. Supporting Documents***

The SCIP will conduct its operations informed by the following documents:

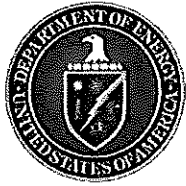
- a. DOE P 226.1B, *Department of Energy Oversight Policy*
- b. DOE G 414.1-1C, *Management and Independent Assessments Guide*
- c. DOE P 420.1, *Department of Energy Nuclear Safety Policy*.
- d. DOE P 450.4A, *Integrated Safety Management Policy*.
- e. DOE G 450.4-1C, *Integrated Safety Management Guide*.
- f. DOE, *Consolidated Report for the Defense Nuclear Facilities Safety Board Recommendation 2011-1 Actions 2-8 and 2-9*, May 2014
- g. NRC, *Guidance for Establishing and Maintaining a Safety Conscious Work Environment*, Regulatory Issue Summary 2005-18

  
Elizabeth Sherwood-Randall 5/18/15  
Deputy Secretary

List of Program Secretarial Officers (PSO)

For purposes of this Charter, PSOs include the Administrator of the National Nuclear Security Administration and presidentially appointed, Senate-confirmed Secretarial Officers whose programs have at least one operating site in the field:

- Administrator, National Nuclear Security Administration
- Assistant Secretary for Energy Efficiency and Renewable Energy
- Assistant Secretary for Environmental Management
- Assistant Secretary for Fossil Energy
- Assistant Secretary for Nuclear Energy
- Assistant Secretary for Science



Safety Culture Improvement Panel's Kickoff Meeting  
July 1, 2015  
10:30 a.m. – 1:30 p.m.  
Meeting Minutes

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**Attendees at July 1 Meeting**

Core Members

Matthew Moury, AU (SCIP Chair)  
Michael Budney, EE  
Jennifer Appleton, EE  
James Hutton, EM  
Jonathan Dowell, ORP  
Tracy Bishop (for Kelli Markham), NE  
Douglas Dearolph, NNSA  
Joseph McBrearty, SC  
Rock Aker, SC  
Josh Allen, RL  
Supporting Members  
Chip Lagdon, EM  
Andrew Lawrence, AU (SCIP Secretary)

Ex-Officio Members

Karen Boardman, NTC  
Pete O'Konski, (for Ingrid Kolb), MA  
Ken Venuto, (for Robert Gibbs), HC  
Patricia Worthington, AU  
Julie Goeckner, EM  
Rizwan Shah, AU

Advisors

Tracy Dillinger, NASA  
Diane Seracki, NRC

Invitees

David Klaus, Acting US for M&P  
Daniel Sigg, AU, presenter

Note: This meeting was recorded and full recording of this meeting can be accessed on the SCIP's Powerpedia page at: [https://powerpedia.energy.gov/wiki/Safety\\_Culture\\_Improvement\\_Panel](https://powerpedia.energy.gov/wiki/Safety_Culture_Improvement_Panel). The meeting's agenda is attached to these minutes (Attachment 1). The full SCIP membership list can be found in Attachment 2.

**Introduction – Matthew Moury, SCIP Chair**

Mr. Moury made brief introductory remarks welcoming SCIP members, noting additions to the meeting's agenda, and introducing David Klaus to open the meeting.

**Opening Remarks – David Klaus, Acting Under Secretary for Management and Performance**

Mr. Klaus noted this importance of the work of the SCIP and that senior career-level membership was at the right level. He stated that safety culture improvement is on the Secretary and Deputy Secretary agenda. He cited the need for DOE to move away from a transactional management approach and that permanently changing the way the Department does business will be the business of the Panel's work.

**Agenda Item #1: Introduction of Members**

Mr. Moury asked all meeting attendees to introduce themselves and state their organization and position therein.

**Perspectives on Safety Culture**

Mr. Moury introduced two Advisors to the SCIP from other agencies to give their perspectives on safety culture based on their agency's efforts to date.



**Diane Seracki, Nuclear Regulatory Commission (NRC)**

Ms. Seracki summarized NRC's approach to safety culture both with its licensees and internally within the Commission. Ms. Seracki stressed the importance of communication in improving safety culture, including continuous outreach and education, constant discussion of expectations, and strong messaging from the organization's leadership.

**Tracy Dillinger, National Aeronautics and Space Administration (NASA)**

Ms. Dillinger noted that implementing a strong safety culture requires a leadership commitment and takes time and effort to change and modify people's expectations. She stressed the importance of maintaining a questioning attitude and noted that safety culture improvement efforts should include all stakeholders and give them a voice in the process.

**Agenda Item # 2: Purpose of the Committee**

Mr. Moury summarized the purpose of the SCIP by reviewing key points of its Charter. He emphasized that the Panel does not direct that actions be taken but rather advises senior line managers whose responsibility it is to put safety culture improvement initiatives into place. He stated that the Panel's long-term goal was institutionalize a sound safety culture throughout the Department. He described the roles of each type of SCIP member and noted that Ex Officio members and nominated SMEs were key for the Panel to make things happen. He noted that the Charter called for the SCIP to develop an Annual Plan, periodic reports and methods to measure safety culture and to use Working Groups to address special topics. He stated that he expected the Panel's actions to be transparent to the Department and that an SCIP Powerpedia page would soon be available and that future meetings would be accessible by webinar on DOE-wide basis. He also noted that, as called for in the Charter, the Panel would review its effectiveness after three years and determine the continuing need for its existence.

**Agenda Item # 3: Perspectives on DOE Safety Culture/How Did We Get Here?**

The files for the presentations made by each speaker can be found on the SCIP Powerpedia page at the same URL as listed above.

**Pat Worthington –Safety Culture and ISM**

Dr. Washington provided a detailed history of safety culture and integrated safety management (ISM) at DOE, highlighting key milestone events and efforts from 1996 through 2015.

**Dan Sigg –DNFSB Recommendation 2011-1**

Mr. Sigg discussed the background for the Board's issuance of this Recommendation, what the Recommendation called for, and DOE's response to it. He noted that DOE's response to the Recommendation is nearly complete and that the Board would be holding a Public Hearing at Hanford on DOE's response efforts from August 26-27.

**Jim Hutton –DOE Safety Culture Consolidated Report**

Mr. Hutton discussed the approach and process used by the DOE response team for Recommendation 2011-1 and its development of the Safety Culture Consolidated Report. He described the Report's findings regarding the convergence of the results of both the independent and self-administered safety culture assessments conducted at sites across the complex with respect to DOE's safety culture attributes. He also discussed the Report's three recommendations, one of which led to the formation of the SCIP. (This report will be posted on the SCIP Powerpedia page.)

### **Jonathan Dowell –WTP’s Safety Culture Improvement Efforts**

Mr. Dowell shared recent and current actions being taken at WTP to improve the safety culture working environment. He briefly summarized the multiple safety culture assessments conducted there over the past four years and described the site’s safety culture sustainment management plan, as a living document for moving forward on ongoing improvement efforts. He noted that as of the last WTP assessment, conducted earlier this year, safety culture improvements are beginning to be seen.

**Agenda Item # 4: What Core Members are Expecting Out of the SCIP** (note: this topic replaced the Agenda Item on “Summary of Ongoing Safety Culture Improvement Efforts” as listed on the original meeting agenda)

SCIP core members represent Program Secretarial Offices that have at least one site in the field. Each of the core members shared their expectations and noted questions and comments regarding the path forward.

Expectations included the following:

- Interest in hearing more about the safety culture lessons learned (both positive and negative) from sites, balancing management of risks while achieving compliance, and development of soft skills to help in “treating people right.”
- Understanding safety culture successes today--what were the best practices that allowed success, what kind of contractual language was used.
- How to make corporate progress in improving safety culture on a DOE-wide basis while accounting for variation among sites, keeping in mind that one solution does not fit all.
- Learn from sites that have troubled history and how they moved forward.
- How do we prevent current efforts and interest in safety culture from becoming the “flavor of the month.” It was noted that FR and SSO core members could offer safety culture insight to the SCIP from the perspective of walking the plant.
- Improvement of communication between HQ and sites with respect to safety culture.

### **Agenda Item #5: Selection of SCIP Co-Chair**

Mr. Moury noted that per the Charter, the SCIP is to elect a Panel Co-Chair from among its core members. Rock Aker and Jonathan Dowell have expressed an interest in this position. Andy Lawrence, as SCIP Executive Secretary, will solicit any additional interest in being Co-Chair from core members and then conduct a ballot by email within the next two weeks.

### **Agenda Item #6: Path Forward for SCIP Activities Discussion**

There are seven activities identified for SCIP action in Section III.b of the Charter, but initial focus will be on the three noted below. The others will be addressed later.

1. Development of a means/metrics to monitor DOE’s safety culture.
2. Monitoring and evaluating changes in trends that have the potential to impact DOE’s safety culture.
3. Evaluation of contract language for potential safety culture and safety conscious work environment impacts.

Based on the meeting’s discussion, further ideas will be pulled together on Items #1 and #2 above and shared with SCIP members for further discussion at its next meeting with regard to establishing SCIP Working Groups. Jonathan Dowell also volunteered to provide the SCIP with WTP safety culture lessons learned and metrics at its next meeting.

With regard to #3, Chip Lagdon, Doug Dearolph, and Jonathan Dowell agreed to server on a Contracts Language Working Group. Peter O'Konski stated that he would identify a member of MA's procurement office to also serve on this Working Group.

**Agenda Item #7: Conduct of Meetings**

Matt Moury stated that the SCIP will continue to use a Webinar meeting format (i.e., easy to schedule; requires no travel), but he requested feedback from members on their input on how well it works for them.

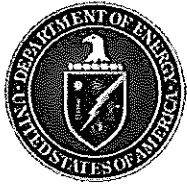
**Agenda Item #8: Next Steps**

Matt Moury noted that development of an Annual Plan would be one of the first tasks, per the Charter, that the SCIP will need to accomplish. He, along with Andy Lawrence, Riz Shah, and Julie Goeckner will begin work on a Plan to present to SCIP members.

Per an earlier discussion during the meeting, the SCIP will try to hold an August meeting, in advance of the Board's Public Hearing at Hanford, and that Matt Moury, and perhaps the SCIP Co-Chair, would attend the meeting on the SCIP's behalf.

Based on the meeting's discussion, further ideas will be pulled together prior to the next SCIP meeting regarding (1) development of a means/metrics to monitor DOE's safety culture and monitoring, and (2) evaluating changes in trends that have the potential to impact DOE's safety culture. Based on these ideas, these ideas will discussed at the next SCIP meeting with an eye toward establishing Working Groups on these topics.

As noted above, Jonathan Dowell volunteered to provide the SCIP with WTP safety culture lessons learned and metrics at its next meeting.



Safety Culture Improvement Panel's Kickoff Meeting  
July 1, 2015  
10:00 a.m. – 12:30 p.m.  
Agenda

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1. Introduction of Members
2. Purpose of the Committee—Matt Moury
3. Perspectives on DOE Safety Culture/How Did We Get Here?
  - Safety Culture and ISM—Pat Worthington
  - DNFSB Recommendation 2011-1—Dan Sigg
  - DOE Safety Culture Consolidated Report—Jim Hutton
  - WTP's Safety Culture Improvement Efforts—Jonathan Dowell
4. Summary of Ongoing Safety Culture Improvement Efforts—Core Members
5. Selection of SCIP Co-Chair
6. Path Forward for SCIP Activities Discussion
  - Development of a means/metrics to monitor DOE's safety culture
  - Monitoring and evaluating changes in trends that have the potential to impact DOE's safety culture
  - Evaluation of contract language for potential safety culture and safety conscious work environment impacts
7. Conduct of Meetings
8. Next Steps
  - Development of an Annual Plan
  - Designation of Working Groups

Adjourn



Safety Culture Improvement Panel Meeting  
August 5, 2015  
11 a.m. – 2:00 p.m.  
Meeting Minutes

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**Attendees at August 5 Meeting**

Core Members

Matthew Moury, AU (SCIP Co-Chair)  
Jonathan Dowell, ORP (SCIP Co-Chair)  
Michael Budney, EE  
Jennifer Appleton, EE  
Geoffrey Beausoleil, NNSA  
Joseph McBrearty, SC  
Josh Allen, RL  
Supporting Members  
Chip Lagdon, EM  
Andrew Lawrence, AU (SCIP Secretary)

Ex-Officio Members

Patricia Worthington, AU  
Karen Boardman  
Julie Goeckner, EM

Advisors

Diane Serackj, NRC

Invitees

Thomas Staker, EA, presenter  
John McDonald, EFCOG, presenter

Note: A full audio recording of this meeting can be accessed on the SCIP's Powerpedia Page at: [https://powerpedia.energy.gov/wiki/Safety\\_Culture\\_Improvement\\_Panel](https://powerpedia.energy.gov/wiki/Safety_Culture_Improvement_Panel). The meeting's agenda is attached to these minutes (Attachment 1). The full SCIP membership list can be found in Attachment 2.

**Introduction – Matthew Moury, SCIP Co-Chair**

Mr. Moury made brief introductory remarks welcoming SCIP members and announcing the election of Jonathan Dowell to the position of SCIP Co-Chair.

**Agenda Item #1: Roll Call of Attendees – Andrew Lawrence**

Mr. Lawrence conducted a roll call of SCIP Core Members present at the meeting.

**Agenda Item # 2: Approval of Minutes from July 1, 2015 meeting – Andrew Lawrence**

As part of his roll call of meeting attendees, Mr. Lawrence asked for comments or changes to the July 1, 2015, meeting minutes. Based on the feedback received, the minutes were approved. Mr. Lawrence noted that the minutes are intended to capture meeting highlights in recognition that audio recordings of meetings are posted on the SCIP Powerpedia Page.

**Agenda Item # 3: Approach to DOE-wide Announcement of Future SCIP Meetings – Andrew Lawrence**

Mr. Lawrence led a discussion on how best to ensure that people across the complex are aware of SCIP meetings. He noted that in advance of today's meeting, Mr. Moury transmitted an e-mail to Core Group Members asking them to extend a meeting invitation to all interested attendees in their organizations to participate via webinar. Several of the attendees suggested outreach alternatives. Mr. Lawrence requested that suggestions for the distribution of SCIP meeting announcements be emailed to him.

**Agenda Item # 4: Evolution of Safety Culture at DOE – Patricia Worthington** (A copy of the slides Dr. Worthington presented can be found on the SCIP's Powerpedia Page subsection for this meeting.)

Dr. Worthington provided a detailed discussion on DOE's evolution of safety culture beginning with the establishment of the framework for safety at DOE, in 1996, and further development through to today.

**Agenda Item #5: EFCOG Presentation on Safety/Performance Culture – John McDonald** (A copy of the slides Mr. McDonald presented can be found on the SCIP's Powerpedia Page subsection for this meeting.)

Mr. McDonald, Safety Working Group Chair for EFCOG, discussed EFCOG's safety culture status, including the Group's priorities and plans for a safety culture assessment guide.

**Agenda Item #6: Safety Culture Share – Matthew Moury**

Mr. Moury stated that SCIP meeting agendas will include a "safety culture share" presented by SCIP members or invited guests. Mr. Moury discussed demonstrated safety leadership and reviewed the DOE definition of safety culture. He also cited a specific recent example related to WIPP where Secretary Moniz modeled "safety first" leadership.

Mr. Moury made the following reading assignments for the SCIP members so that they are all working from a common framework and vocabulary with respect to safety culture:

- DOE P, 450.4A, *Integrated Safety Management Policy*
- DOE O 450.2, *Integrated Safety Management*
- DOE G, 450.4-1C, *Integrated Safety Management System Guide*
- NEI 09-07, Rev 1, *Fostering a Healthy Nuclear Safety Culture*, March 2014

**Agenda Item #7: Summary of Safety Culture Extent of Condition Reviews – Thomas Staker** (A copy of the summary report of these extent of condition reviews can be found on the SCIP's Powerpedia Page subsection for this meeting.)

Mr. Staker discussed the safety culture extent of condition reviews with emphasis on the following:

The Office of Enterprise Assessments (EA), supported by subject matter experts, has conducted nine safety culture assessments across the Department and based on what was learned, Mr. Staker offered the following thoughts to the SCIP for consideration:

- There is some level of belief that artifacts + claimed values = culture. This is reflected in a high level of focus on artifacts and claimed values during dialogue and for improvement actions. These types of actions are easy but will likely not result in real change. Real change will need to develop a better understanding of assumptions and need for improvement efforts to focus on changing assumptions. We also need to develop a better understanding of how to do this.
- Need to keep in mind that a healthy organizational culture is essential for a healthy safety culture.
- While the assessments indicated that there is no widespread fear of retaliation, to some degree this exists. However, more frequently other conditions were cited as inhibiting the raising of issues (lack of receptiveness, feedback and action).
- Communications was identified as a key area in need of improvement. Actions to develop constructive and effective communication skills are essential for all layers of the organization and necessary to support cultural improvements and the lack of these skills is reflected in other weaknesses.

- Although the Department has a well-defined operational experience program, organizational learning was not highly viewed by the assessed organizations – an important area for focus.
- There were concerns with the adequacy of federal oversight. Inconsistencies in expectations and inadequate staffing were often cited as contributing to these concerns. There was also some lack of clarity with regard to roles and responsibilities expressed (oversight vs. support).
- Consider that the need to develop all employees' interpersonal communications skills, ability to adapt to change and understanding of the desired behaviors and indoctrinate new employees. These actions are likely essential to establishing and maintaining a healthy culture.

With regard to EA's 2015 findings that ORP and BNI were moving in the right direction with regard to safety culture, Mr. Staker suggested that the SCIP evaluate what helped get things going in the right direction at the WTP.

#### **Agenda Item #8: Working Group Updates**

##### **Contract Clause Working Group – Chip Lagdon**

Members: Chip Lagdon (Chair), Douglas Dearolph and Jonathan Dowell.

Mr. Lagdon reported that the Working Group had reached agreement on its charter, schedule and deliverables, and the identified contracts to be reviewed (from LANL, UPF, SRS, ID, and ORP). Mr. Moury recommended the Working Group look at contracts from SC and FE sites to broaden the Working Group's scope, and Mr. Lagdon agreed.

##### **Safety Culture Monitoring Means Working Group Discussion – Matthew Moury**

Mr. Moury stated that the Safety Culture Monitoring Means Working Group has one of the more important tasks to be addressed by the SCIP and is in need of someone to take the lead. Mr. Dowell shared that ORP has a senior executive, Rob Hastings, who could participate in the group. Ms. Seracki and Ms. Goeckner volunteered to participate in the Working Group and enlist other group participants. Mr. Beausoleil and Mr. McBrearty recommended potential Working Group members from their respective organizations.

##### **"Eyes and Ears" Working Group Discussion – Andrew Lawrence**

Mr. Lawrence explained the purpose of the "Eyes and Ears" Working Group, asking for feedback regarding its value and structure. The Working Group would be responsible for identifying draft DOE Directives with safety culture implications for review and comment by the SCIP as well as monitoring initiatives and trends affecting DOE operations (e.g., budget cuts; Defense Nuclear Facilities Safety Board findings) and looking at their potential effects on DOE's safety culture. Mr. Moury noted that the Group will define the areas to consider in conjunction with the entire SCIP. A decision on whether to pursue such a Working Group was postponed until the next SCIP meeting.

##### **Training Working Group Discussion – Matthew Moury**

Mr. Moury asked for a volunteer to take the leadership role in the safety culture Training Working Group. A significant number of DOE's senior leadership has had SCWE training pursuant to DOE's response to DNFSB Recommendation 2011-1. The next SCWE class roll out will be to the first-line supervisors followed by SCWE training for employees. Ms. Boardman volunteered to be a member of the Working Group. She shared that she was working on a train-the-trainer concept with Ms. Goeckner. Ms. Goeckner also noted that SAF-200 SCWE training has been scheduled for HQ executive level personnel in September. The group discussed the need for training the full range of federal senior leadership as well as contractors.

#### **Agenda Item #9: Draft SCIP Annual Plan – Andrew Lawrence**

Mr. Moury noted that a draft Annual Plan had been distributed for team members to review, and that the schedule is aggressive and will require members to enlist assistance from SMEs from outside the SCIP when addressing these tasks. The SCIP Co-Chairs will issue the final Annual Plan based on comments and feedback from SCIP Core Members.

Mr. Lawrence discussed the annual plan structure, which is predicated on the use of Working Groups. The Plan's approach calls for each Working Group to meet, establish a chart, report back to the full SCIP on its progress, and produce a deliverable to be presented to the SCIP. Once approved, the deliverable will be transmitted to the Deputy Secretary and Program Secretarial Officers for their use.

According to the draft Annual Plan, SCIP meetings will be held on the first Wednesday of each month, and Working Group charters will be posted on the SCIP's Powerpedia Page after their approval.

Mr. Lawrence raised the concept of a DOE-wide Safety Culture Workshop in May 2016 to the group for discussion, noting that an additional Working Group would be established in December to plan for the workshop. The SCIP also discussed potential participants for the workshop and whether it could and/or should be combined with another existing DOE-wide meeting. Mr. Lawrence invited the members to provide comments regarding value, criteria, venue, participation, etc. for this workshop.

**Agenda Item #10: Next Steps – Matthew Moury**

Mr. Moury opened the meeting to the group for comments and questions.

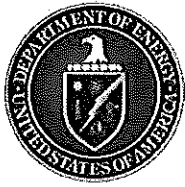
Jonathan Dowell invited Julie Goeckner and Pat Worthington to review to review and comment on the ORP Safety Culture Metrics presentation posted on Powerpedia under SCIP meetings on July 1, 2015.

The document can be accessed at:

[https://powerpedia.energy.gov/w/images/4/47/ORP\\_Safety\\_Culture\\_Metrics\\_-\\_JD\\_Dowell.pdf](https://powerpedia.energy.gov/w/images/4/47/ORP_Safety_Culture_Metrics_-_JD_Dowell.pdf)

Members of the SCIP also discussed the potential value of having the SCIP meeting using a televideo format.





Safety Culture Improvement Panel's Kickoff Meeting  
August 5, 2015  
11:00 a.m. – 2:00 p.m.  
Agenda

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1. Roll Call of Attendees
2. Approval of Minutes from July 1 Meeting – Matt Moury
3. Approach to DOE-wide Announcement of Future SCIP Meetings – Andy Lawrence
4. Evolution of Safety Culture at DOE – Pat Worthington
5. EFCOG Presentation on Safety/Performance Culture – John McDonald
6. Safety Culture Share – Matt Moury
7. Summary of Safety Culture Extent of Condition Reviews – Tom Staker
8. Working Group Updates
  - Contract Clause Working Group – Chip Lagdon
    - Approval of Contract Clause Working Group Charter
  - Safety Culture Monitoring Means Working Group Discussion – Matt Moury
  - "Eyes and Ears: Working Group Discussion – Matt Moury
  - Training Subgroup Discussion – Matt Moury
9. Discussion of Draft SCIP Annual Plan – Andy Lawrence
  - Approval to hold a May Safety Culture Progress Workshop
  - Approval of Plan as Revised by Discussion – SCIP Members
10. Next Steps
  - Establishment of "Monitoring Means" and "Eyes and Ears" Working Groups
  - Ideas and Suggestions for May Workshop
  - Other Suggestions from Meeting Discussion

Adjourn



## Department of Energy

Washington, DC 20585

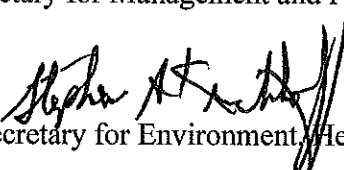
SCIP-16-004 Nov

Attachment 3

February 22, 2016

### MEMORANDUM FOR THE SECRETARY

THROUGH: David M. Klaus  
Deputy Under Secretary for Management and Performance  
6-7700

FROM: Matthew B. Moury   
Associate Under Secretary for Environment, Health, Safety and Security  
6-1285

SUBJECT: SAFETY CULTURE IMPROVEMENT PANEL

MEMO TYPE: INFORMATIONAL

**BACKGROUND/CONTEXT:** During the most recent Town Hall on February 18, 2016, you were asked a question related to the Department's efforts on safety culture. The following information provides an update on recent efforts in this area.

On May 18, 2015, the Deputy Secretary signed the charter establishing the Safety Culture Improvement Panel (SCIP). The SCIP's purpose is to establish a permanent, high-level organization devoted to promoting continuous safety culture improvement across the Department of Energy (DOE).

- I co-chair this Panel, along with the Deputy Manager of the Office of River Protection, Jonathan Dowell, which is comprised of senior federal representatives from both Headquarters and Field Element Offices, safety culture subject matter experts, and advisors with safety culture expertise from other federal agencies.
- The Panel has met the first Wednesday of every month, via webinar, since July, 2015.
- All information and meeting records are posted on Powerpedia at: [https://powerpedia.energy.gov/wiki/Safety\\_Culture\\_Improvement\\_Panel](https://powerpedia.energy.gov/wiki/Safety_Culture_Improvement_Panel).

### ACCOMPLISHMENTS

- Completed report with recommendations on how to better incorporate the importance DOE places on safety culture in the Department's contracts with entities that manage and operate the Department's sites.
- Completed report with recommendations on how to better measure and sustain safety culture improvements at DOE sites.
- Completed a plan to train first-line supervisors and employees on safety culture essentials to complement the senior management training which has already been executed.

### PLANS

- Conduct the first Annual Workshop to be held from May 2-5, 2016, to build on accomplishments to date and plan future actions in accordance with the objectives and activities established in the Charter.
- Continue efforts to make safety culture a fundamental element of all DOE work by institutionalizing the concepts into DOE directives and training.



## ATTACHMENTS

- SCIP core membership
- SCIP charter

# DOE Safety Culture Improvement Panel Charter

## ***I. Purpose***

The purpose of the Department of Energy's Safety Culture Improvement Panel (SCIP) is to:

- Establish a permanent, high-level organization devoted to promoting safety culture;
- Provide cross-organizational leadership focused on continuous safety culture improvement;
- Create an ongoing forum to exchange information and ideas that will establish, monitor, and sustain measures supporting a strong safety culture.

## ***II. Principles***

DOE's approach to safety culture is embedded in its overall commitment to Integrated Safety Management as described in the:

- a. Department's Integrated Safety Management Policy (DOE Policy (P) 450.4A). "The Department expects all organizations to embrace a strong safety culture where safely performing work and involving workers in all aspects of work performance are core values that are deeply, strongly, and consistently held and demonstrated by managers and workers." The Department's commitment to establishing and maintaining a strong safety culture is also addressed in the Nuclear Safety Policy (DOE P 420.1).
- b. ISM Guide (DOE Guide (G) 450.4-1C). This document identifies three safety focus areas required to ensure that a strong safety culture is developed: Leadership, Employee Engagement, and Organizational Learning. Each of these focus areas has a list of associated attributes that, when present in the workplace, indicates a strong safety culture and safety conscious work environment.

## ***III. SCIP Objectives and Activities***

### ***a. Objectives***

1. Strengthen the implementation of safety culture and safety conscious work environment throughout DOE.
2. Share and, as necessary, develop improvement and sustainment tools for positive safety culture.
3. Provide high-level, line management attention to evaluating safety culture issues and strengths.
4. Provide a forum for evaluating DOE safety culture status, progress, and challenges, and communicate the results to the workforce.
5. Work to continuously improve DOE safety culture with representatives from across the complex.

6. Stay current in advances in organizational safety culture and how best practices can be applied to DOE.
  7. Identify opportunities to incorporate safety culture and the concepts/practices of a safety conscious work environment into leadership and employee training, in coordination with DOE's National Training Center, the Federal Technical Capability Panel, and DOE's Chief Learning Officer.
- b. Activities
1. As requested, evaluate major Departmental policy and programmatic changes for their potential to impact DOE's safety culture.
  2. Provide recommendations on DOE Directives to incorporate safety culture, safety conscious work environment concepts, and associated best practices, as appropriate.
  3. Develop a means to monitor DOE's safety culture.
  4. Monitor and evaluate changes in trends that have the potential to impact safety culture within DOE.
  5. Benchmark Departmental safety culture activities with those of similar industries.
  6. Develop and assist with implementing improvement actions as assigned by the Department's senior leaders.
  7. Evaluate contract language, as appropriate, for potential safety culture and safety conscious work environment impacts.

#### ***IV. Members***

- a. Core Members (voting members)
1. The Associate Under Secretary for Environment, Health, Safety and Security (AU-1) and a representative from one of the Program Secretarial Officers (PSO) will co-chair the Safety Culture Improvement Panel (SCIP).
  2. The co-chair will be nominated from the existing SCIP members and selected by the SCIP.
  3. Each PSO shall designate one senior manager and one Field Element representative to serve as members on the SCIP.
  4. Each year, the Facility Representative of the Year will serve on the SCIP.
  5. Each year, the Safety System Oversight Annual Award Recipient will serve on the SCIP.
  6. To maintain continuity on the panel, Core Members should serve for a minimum of two years.
- b. Supporting Members (invited to all SCIP meetings)
1. Chief of Nuclear Safety or Representative.

2. Chief of Defense Nuclear Safety or Representative.
  3. An Executive Secretary as designated by the AU organization.
- c. Ex Officio Members (invited to meetings, as needed, by one of the SCIP co-chairs)
1. Director of the National Training Center.
  2. Chief Learning Officer.
  3. Director, Office of Health and Safety, as the Office of Primary Interest for the safety culture related directives and guidance.
  4. Director, Office of Management.
  5. Chief Human Capital Officer.
  6. Chief Financial Officer.
  7. A safety conscious work environment, safety culture, or organizational culture subject matter expert as designated by a PSO or AU-1.
  8. Safety culture experts from organizations such as the Nuclear Regulatory Commission (NRC) and the National Aeronautic and Space Administration (NASA).
  9. All members or their representatives must be Federal employees.
- d. Advisors (invited to meetings by one of the SCIP co-chairs to provide expertise on a topic of interest to the panel).
1. The SCIP may find it beneficial to have outside safety culture experts who are not federal employees visit and lend their expertise to the SCIP, including making presentations and answering questions.
  2. These experts may come from organizations such as the Institute of Nuclear Power Operations (INPO), the Nuclear Energy Institute (NEI), and the Energy Facilities Contractors Group (EFCOG).
  3. These non-federal guests, however, cannot be part of the panel deliberations.

## ***V. Responsibilities***

- a. Deputy Secretary
1. Authorizes the formation and operation of the SCIP by the terms of this charter;
  2. Refers pending major policy changes to the SCIP for recommendations on mitigation of their potential safety culture impacts, if any, as the Deputy Secretary determines appropriate.
  3. Works with the SCIP Co-chairs to communicate the Department's priorities for safety culture improvement actions on a DOE-wide basis.

- b. Program Secretarial Officers (see Appendix for list)
  - 1. Appoint SCIP members as described in Section IV.
  - 2. Refer pending major programmatic changes to the SCIP for recommendations on mitigation of their potential safety culture impacts, if any, as the PSO determines appropriate.
- c. SCIP Co-Chairs
  - 1. Provide leadership to the SCIP and demonstrate a commitment to maintaining a strong safety culture and safety conscious work environment throughout the Department;
  - 2. Oversee the operation and activities of the SCIP;
  - 3. Preside over the SCIP meetings;
  - 4. Provide a focal point for interfacing with external entities (e.g., NRC, NASA, NEI, Defense Nuclear Facilities Safety Board, chemical industry) on safety culture and safety conscious work environment matters; and
  - 5. Provide recommendations to senior Departmental officials regarding improvement of DOE safety culture and safety conscious work environment.
- d. SCIP Members

Members are expected to be knowledgeable of safety culture concepts, maintain awareness of the status of the safety culture within their organization, identify themes and provide insights regarding potential safety culture strengths and issues to the SCIP. As such they will:

- 1. Lead, participate in, or oversee safety culture and safety conscious work environment monitoring, evaluation of cross-cutting data, and safety culture program assessments in the SCIP and within their respective organizations;
  - 2. Solicit information and feedback from people in their respective organizations regarding the improvement of Safety Culture and safety conscious work environment;
  - 3. Keep their respective organizations informed of the progress and problems associated with safety culture and safety conscious work environment, and support successful implementation of safety culture improvements within their respective organizations;
  - 4. Chair and participate in SCIP working groups (described in paragraph VI. E.); and
  - 5. Receive comprehensive safety culture/safety conscious work environment training, as necessary, based on their background.
  - 6. Share tools and actions that have strengthened safety culture and safety conscious work environment in their respective organizations.
- e. Executive Secretary
    - 1. Schedule all meetings for the SCIP and work groups;

2. Record meeting minutes of the SCIP meetings;
3. Distribute records and communications for the SCIP team;
4. Coordinate, schedule, and assist the SCIP and work groups as necessary to promote the efficient and timely issuance of reports and other data.
5. Maintain all SCIP records.
6. Make arrangements for SCIP meetings to be available on a DOE-wide basis via webinar, televideo, conference call and other appropriate means.
7. Promptly make available, on a DOE-wide basis, all SCIP meeting announcements, agendas, meeting notes and other records, including the SCIP annual plan (described in paragraph VI. B.) and all periodic reports, to all DOE employees via a website, Powerpedia page, or other communications tools.

## ***VI. Operation***

- a. The SCIP will meet approximately monthly, or at the discretion of the co-chairs, and operate in a collaborative fashion to execute the functions described above. The decisions of the SCIP will be documented in meeting notes, including majority and minority opinions.
- b. The SCIP shall develop and maintain an annual plan that clearly identifies major issues related to the Department's safety culture and the specific objectives of the SCIP related to these issues, and activities necessary to resolve the issues in a timely manner. The SCIP will ensure that the annual plan is communicated across the Department.
- c. The SCIP shall prepare periodic reports for the Deputy Secretary based on the responsibilities for monitoring safety culture described in this charter. These reports will summarize actions taken to address the Department's safety culture improvement needs, lessons learned, and identify future actions needed to strengthen the Department's safety culture. The report should be submitted at least on an annual basis.
- d. The SCIP shall develop methods to measure safety culture improvement and recommend them to PSOs for their use.
- e. Working Groups. The SCIP may charter working groups to evaluate particular subjects or perform evaluations. Such working groups will:
  1. Have specific charters approved by the SCIP and signed by the SCIP Chair;
  2. Be chaired by a SCIP Core Member;
  3. May include SCIP members, supporting members, ad hoc members, subject matter experts, and other personnel necessary to complete the charter;



4. Examples of working groups may include application of safety culture and safety conscious work environment concepts to security operations, quality assurance, and/or organizational culture;
  5. Report back to the SCIP on a regular basis to be specified in the charter; and
  6. Provide a final report of their activities to the SCIP.
- f. The SCIP shall assess the effectiveness of its functions three years after formation and periodically thereafter.

## ***VII. Supporting Documents***

The SCIP will conduct its operations informed by the following documents:

- a. DOE P 226.1B, *Department of Energy Oversight Policy*
- b. DOE G 414.1-1C, *Management and Independent Assessments Guide*
- c. DOE P 420.1, *Department of Energy Nuclear Safety Policy*.
- d. DOE P 450.4A, *Integrated Safety Management Policy*.
- e. DOE G 450.4-1C, *Integrated Safety Management Guide*.
- f. DOE, *Consolidated Report for the Defense Nuclear Facilities Safety Board Recommendation 2011-1 Actions 2-8 and 2-9*, May 2014
- g. NRC, *Guidance for Establishing and Maintaining a Safety Conscious Work Environment*, Regulatory Issue Summary 2005-18

 5/18/15  
Elizabeth Sherwood-Randall  
Deputy Secretary

List of Program Secretarial Officers (PSO)

For purposes of this Charter, PSOs include the Administrator of the National Nuclear Security Administration and presidentially appointed, Senate-confirmed Secretarial Officers whose programs have at least one operating site in the field:

- Administrator, National Nuclear Security Administration
- Assistant Secretary for Energy Efficiency and Renewable Energy
- Assistant Secretary for Environmental Management
- Assistant Secretary for Fossil Energy
- Assistant Secretary for Nuclear Energy
- Assistant Secretary for Science



**Department of Energy  
Safety Culture Improvement Panel Committee Membership**

**Core Members**

Matthew B. Moury  
Associate Under Secretary for  
Environment, Health, Safety and Security  
Co-Chair

Jonathan Dowell  
EM Field Element Member  
Deputy Director  
Office of River Protection  
Co-Chair

Michael Budney  
Senior Manager Rep for EERE

Jennifer Appleton  
EERE Senior Field Manager Member  
Golden Field Office

James Hutton  
Deputy Assistant Secretary  
Safety, Security and Quality Programs  
EM Senior Manager Member

Steven Davidson  
Special Assistant  
Office of Fossil Energy

Kelli A. Markham  
Senior Manager for NE

Douglas Dearolph  
NA Senior Field Manager Member  
Savannah River Field Office Manager

Geoffrey Beausoleil  
NA Field Element Member  
Manager, NPO

Joseph A. McBrearty  
Deputy Director for Field Operations  
Senior Manager for SC  
Rock E. Aker

SC Field Element Member  
Argonne Site Office

Josh S. Allen  
Facility Rep of the Year

Mark R. Hahn  
SSO of the Year

**Supporting Members**

Jeffrey Roberson  
Chief of Defense Nuclear Safety  
(NA-51)

Gregory Sosson  
Associate Deputy Assistant Secretary for Safety,  
Security and Quality Programs  
Office of Environmental Management

Andrew Lawrence  
Executive Secretary - AU

**Ex-Officio Members**

Robert Gibbs  
Chief Human Capital Officer

Brandon Guzzone  
Chief Learning Officer

Ingrid Kolb  
Director  
Office of Management

Patricia Worthington  
Director  
Office of Health and Safety

Karen Boardman  
Director  
National Training Center

Julie Goeckner  
SME  
Office of Environmental Management

Riz Shah  
SME  
Office of Environment, Health, Safety and  
Security

**Advisors**

Diane Seracki  
Senior Safety Culture Program Manager  
Office of Enforcement  
U.S. Nuclear Regulatory Commission

Tracy Dillinger  
Safety Culture Manager  
NASA HQ / OSMA



**Safety Culture Improvement Panel Annual Meeting**  
Monday-Thursday, May 2-5, 2016  
Alexis Park Hotel, Las Vegas

**Sunday, May 1**

| Time         | Location   | Agenda       |
|--------------|------------|--------------|
| 5:00-7:00 pm | Zeus Foyer | Registration |

**Monday, May 2**

|              |            |   |
|--------------|------------|---|
| 7:00-8:00 am | Zeus Foyer | Registration  |
| 8:00 am      | Zeus B     | Training: TLP-200, Safety Culture for Senior Managers |
| 5:00-7:00 pm | Zeus Foyer | Registration  |

**Tuesday, May 3**

|                   |               |  |
|-------------------|---------------|--|
| 7:00-8:00 am      | Zeus Foyer    | Registration   |
| 8:00 am – 5:00 pm | Parthenon 1/2 | SCIP Annual Meeting  |
| 8:00 am           |               | Welcome and Introductions - <i>Matt Moury</i>  |
| 8:15 am           |               | SCIP Year in Review - <i>Matt Moury</i>  |
| 8:30 am           |               | ISM Path Forward - <i>Pat Worthington</i>  |
| 9:15 am           |               | Panel Discussion: SCIP - Who We Are and What We Do<br><i>JD Dowell</i><br><i>Michael Budney</i><br><i>Doug Dearolph</i>  |
| 10:15 am          |               | EFCOG Planned Safety Culture Activities - <i>John McDonald</i>   |
| 10:45 am          |               | Break  |
| 11:00 am          |               | Leadership Role in Safety Culture - <i>Geoff Beausoleil</i>  |
| 11:45 am          |               | Lunch  |
| 1:00 pm           |               | Panel Discussion: SCIP Working Groups' Products and Progress<br>Contract Language - <i>Greg Sasson</i><br>Monitoring Means - <i>Rock Aker</i><br>Training - <i>Jim Hutton</i><br>Soliciting Employee Input - <i>Matt Moury</i> |
| 2:30 pm           |               | Break  |
| 2:45 pm           |               | Group Exercise - Next Steps for SCIP<br>Facilitated Brainstorming<br>Discussion of Ideas<br>Voting on Ideas  |
| 4:30 pm           |               | Wrap-up and Adjourn  |
| 5:00-7:00 pm      | Zeus Foyer    | Registration   |

**Wednesday, May 4**

|                    |               |  |
|--------------------|---------------|--|
| 7:00-8:00 am       | Zeus Foyer    | Registration   |
| 8:30 am - 12:00 pm | Parthenon 3/4 | Plenary Session with FR/SSO Meeting                          |
| 1:00 – 5:00 pm     | Zeus A        | SCIP Breakout Sessions                                       |
| 1:00-2:15 pm       |               | Safety Culture at Site Level Panel - <i>Geoff Beausoleil</i> |

|              |  |  |
|--------------|--|--|
| 2:30-3:35 pm |  | Measuring Safety Culture - Monitoring and Metrics - <i>Rock Aker</i> |
| 3:45-5:00 pm |  | Lessons Learned/Effective Corrective Actions - <i>JD Dowell</i>      |

**Thursday, May 5**

|               |               |  |
|---------------|---------------|--|
| 8:30-11:00 am | Parthenon 1/2 | Review Results of Voting<br>Establish SCIP Priorities for Next Annual Plan<br>Identify SCIP Products and Due Dates for 2016-2017 |
|---------------|---------------|--|