

Safety Culture Improvement Panel

2018 ANNUAL REPORT



Department of Energy

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A NOTE FROM THE CO-CHAIRS

As we close out another year of the Safety Culture Improvement Panel's (SCIP) work, an accomplishment that stands out more than any other is the presence of respectful collaborative efforts. Our meetings have provided the ability to publicize and create a synergy of great work on the improvement of safety culture around the Department of Energy. Many of the sites have advanced in their efforts to build a strong safety conscious work environment and as they share their programs and projects, other sites reach out to acquire those best practices.

Another significant accomplishment has been the amount of training conducted across the Department for Federal and Contractor Senior Leaders and frontline Supervisors.

At last year's annual meeting, SCIP invited workshop participants to join the meeting and get involved with the working groups. With that invitation, SCIP was able to capture a valuable group of the Department's employees, already knowledgeable in the safety arena, to participate in and assist with many of the accomplishments attained this year, once again proving that our employees are our greatest assets. The working groups have reached or exceeded what they set out to do in last year's annual plan and we have identified some of those accomplishments in this report.

We look forward to continuing, with intensity, establishing across the complex, a work environment in which employees feel free to raise safety concerns to management (and/or a regulator) without fear of retaliation.

Matthew B. Moury
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Co-Chair, SCIP

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National Nuclear Security Administration's Production Office
Co-Chair, SCIP

Strategic Highlights

Demonstrating the importance of safety cultureⁱ across the Department, the Safety Culture Improvement Panel (SCIP) ended last year by planning and conducting the plenary session of the 2017 Nuclear Facility Safety Workshop. The workshop brings together the major subject matter experts in the field of safety from all of the nuclear facilities across the complex. The interactive session encouraged attendees to discuss successes, highlight implemented safety processes at their sites and educate them on the importance of supporting a strong safety culture at all sites across the Department.

While touring Los Alamos National Laboratory last May, Secretary Perry addressed the Hanford tunnel collapse and in his remarks stated, “As Secretary, the safety of our workforce, the communities and tribal nations that surround our sites, and the environment is my highest priority.” The SCIP used that high-level statement about safety to strategically herald his words across the Department.

The SCIP worked with the Secretary’s staff to have his first video address to the Department reinforce his commitment to safety. Upon completion of the video a DOECAST, that included the link to the video, was prepared and dispatched to all Department of Energy (DOE) Federal and contractor staff. The video was provided across the complex, posted on the Department’s Safety Culture website and the SCIP Powerpedia page, and played, where possible at HQ facilities. At the same time, the Secretary also addressed the Department’s senior leaders, by video, for the TLP-200, Safety Culture and Safety Conscious Work Environmentⁱⁱ Training for DOE Federal and Contractor Senior Leaders course conducted by the National Training Center.

“As Secretary, the safety of our workforce, the communities and tribal nations that surround our sites, and the environment is my highest priority.”

*Rick Perry
Secretary of Energy
May 10, 2017*

Operational Accomplishments

The SCIP’s operational year is from July 1 to the following June 30. At the annual meeting in May, 2017, SCIP developed an annual plan for the coming year that strategically tied to the objectives found in the SCIP Charter and provided an ability to measure results at each of the quarters during the year. The work of the SCIP can be found on the Department’s Powerpedia site at https://powerpedia.energy.gov/wiki/Safety_Culture_Improvement_Panel.

1. Membership

Several new core members of the SCIP were welcomed. They were the newly recognized Facility Representative of the Year, Nicholas Balsmeier and Safety Systems Oversight of the Year, Scott Dolezal. Also joining SCIP were Craig Welling, the Office of Nuclear Energy’s Senior Manager, Jack Zimmerman, the Office of Environmental Management’s

Field Element, and David Bowman, National Nuclear Security Administration's Senior Manager.

With the retirement of Andrew C. Lawrence, the SCIP also acquired a new Executive Secretary, Rizwan Shah.

2. Leadership

- In October, a Senior Executive Service (SES) onboarding presentation was developed by the SCIP leadership and the Communications Working Group in order to inject an overview of the Department's Safety Culture initiatives, as well as the SCIP, at the onboarding sessions for new SES employees. With the collaboration of the Office of Human Capital, the SCIP Co-Chair, Mr. Moury, has been providing those presentations for all new SES onboarding sessions conducted in the Forrestal Headquarters facility.
- The SCIP Co-Chair, Mr. Beausoleil, had the SCIP Communications Working Group develop a "roadshow" presentation for him to use to spread the word about safety culture and the work of SCIP during visits to National Nuclear Security Administration sites.

3. Monthly Meetings

SCIP conducted 10 monthly meetings during the operational year. A few highlights of those meetings include:

- an overview by the Office of Enterprise Assessments on the various Worker Safety and Health Concerns reporting options;
- a presentation by EFCOG on the work of their Safety Culture Task Team's work on monitoring and improving safety culture;
- a presentation by the Director of the Alternative Dispute Resolution Office on conflict and its relationship to safety culture;
- a briefing by the Office of Enterprise Assessments on their recent enforcement action on retaliation;
- a briefing by Dr. Lisa Lande, LANL, on Building SAFE, Healthy, Shared Culture that included an overview on the creation of a Supervisory Academy for Excellence by LANL, LBL, LLNL, SNL and ARG;
- a presentation by Alyssa Brand, LBL, on Engaging and Collaborating with the Research Community During Routine Health and Safety Visits. This presentation provided a look at engaging laboratory researchers and scientist on the subject of safety from their perspective;
- a presentation by the Oregon State University College of Engineering on the Effectiveness of Safety Culture Survey in Evaluating and Predicting the Overall Safety Performance of an Organization.

4. Annual Meeting

At this year's annual meeting, held in May, the SCIP focused on the opportunity to enhance dialogue among the Federal and contractor communities related to improving safety culture in the Department. This session gave both communities an opportunity to share best practices, approaches, raise concerns, and offer ideas on improvements.

The SCIP looked at training reciprocity, the relationship between the Voluntary Protection Program and safety culture, some best practices from across the complex (Federal and Contractor) and conducted a discussion on safety culture and the Federal Employees Viewpoint Survey.

The new Performance and Reliability Program and Organizational Excellence website was demonstrated. This website was created by the Chief Information Officer's staff and provides the Department the ability to open dialogue, through a membership web-based platform, across all of the Department's program offices and their sites.

Finally, the SCIP created the annual plan for the coming year, laying out the path forward for continual safety culture improvement.

Working Group Achievements

1. Training Working Group

The overall objective of the National Training Center (NTC) safety culture training courses/workshop is to emphasize that each individual contributes to an organization's culture, the safety culture and the safety conscious work environment (SCWE). The courses/workshops consistently reinforce the importance of demonstrating the desired Integrated Safety Management behaviors in the areas of: Leadership, Employee/Worker Engagement, and Organizational Learning (as identified in DOE G 450.4-1C, Safety Culture Focus Areas and Associated Attributes) — because the way “we” behave matters. Likewise, the TLP-200 and TLP-150 courses equip DOE federal and contractor leaders (at all levels) in leading a positive shift in their organizations (and culture) by fostering a work environment that promotes trust, a questioning attitude and a receptiveness to raising issues.

The Department's safety culture courses/workshop focus on the characteristics of a chilled work environmentⁱⁱⁱ, how a chilled environment may be created, and how a chilled environment may impact the Department's mission. Specific emphasis is placed on the fact that a chilled environment can be created by the raising of issues that are not safety related. The training reinforces the importance of focusing collective improvement efforts on the organizational culture^{iv}, the safety culture, and the SCWE to provide continuity in implementation sustainability over the long-term.

- **TLP-200, Safety Culture for DOE and DOE Contractor Leaders** (formerly SAF-200, Safety Conscious Work Environment for DOE and DOE Contractor Senior Leaders) The purpose of TLP-200, is to provide safety culture and SCWE training for DOE Federal and Contractor Leaders on the importance of, and methods for, establishing and maintaining an open and collaborative work environment within the Department. The course provides knowledge that will help leaders create an environment where employees feel free to raise concerns without fear of retaliation.

The target audience for TLP-200 is all DOE and DOE Contractor Leaders across the DOE complex that are in position above a first line supervisor, including those with

responsibility for defense nuclear facilities, construction projects, and Federal offices with contractual oversight. The highly interactive 8 hour classroom course (face to face) is instructor/facilitator-led and includes individual, group and classroom activities, as well as review of a unique case study focused on senior leader roles and responsibilities to foster a positive safety culture and SCWE. The course provides tools and resources for immediate application.

During this SCIP fiscal year (July - June), DOE NTC delivered TLP-200 in five (5) individual sessions to 111 participants in two locations - HQ (Washington DC) and Hanford (Richland WA). Since its deployment in September 2012, over 2650 DOE and DOE contractor leaders have taken this eight hour course.

There are currently three (3) certified lead instructors (Goeckner, Sosson, and Hutton), one (1) instructor pending certification (Aker), and a facilitation support team of five (McDonald, Taylor, Caldwell, Ramsey, Rodriguez de Varela). Three additional facilitation team members representing Office of Environmental Management (EM) and Office of Science (SC) have been identified and are working through the training process (Mikolanis, Dowell, and Quintana). An additional NNSA representative will be added in the upcoming year.

- **TLP-150 Safety Culture for Front Line Leaders and TLP-151 Train-the-Trainer Safety Culture for Front Line Leaders**

The purpose of TLP-150 is to provide safety culture and SCWE training for DOE Federal and Contractor Front Line Leaders on the importance of, and methods for, establishing and maintaining an open and collaborative work environment within their respective work environments. The course provides knowledge that will help front line leaders assist senior leaders to create an environment where employees feel free to raise concerns without fear of retaliation.

The target audience for TLP-150 is all DOE and DOE Contractor Front Line Leaders across the DOE complex, including those working for defense nuclear facilities, construction projects, and Federal offices with contractual oversight. The highly interactive eight hour classroom course (face to face) is facilitator-led and includes individual, group and classroom activities. It includes a unique video case study that uses real-life scenarios to describe the consequences of a poor safety culture within a fictional DOE organization. The course uses the scenario and group discussions to help front line leaders understand how they can foster a positive safety culture and SCWE within their organization. The course provides tools and resources that front line leaders will be able to use immediately on their return to work.

Administration of the TLP-150 is delegated to each individual site. While sites are encouraged to report their attendance, they are not required to do so. Attendance figures for courses conducted are not maintained in the NTC LMS. Within this fiscal year, DOE NTC has provided TLP-150 sessions at several DOE sites including Carlsbad-WIPP and the Argonne Site Office. Shortly after the certification of on-site instructors/facilitators, several contractor organizations initiated deployment of TLP-150 to their front line supervisors.

- Fluor Idaho, LLC, completed delivery of the course to all their first line supervisors, consisting of 300+ front line leaders, by January 2018. Fluor has added TLP-150 to the required curriculum for first line supervisors. Additional sessions are scheduled in upcoming months to keep up with newly assigned supervisors.
- UCOR completed delivery of the course to 150+ field leaders; they have further committed to training the remainder of their front line leaders on TLP-150.
- Nuclear Waste Partnership, LLC (NWP) incorporated TLP-150 into their Leadership Academy (a month long training session conducted for select contractor and Federal employees). In May 2018, NWP decided to incorporate TLP-150 into their required supervisor curriculum and is moving forward with training all first line supervisors.
- Several national laboratories are currently evaluating how to best incorporate TLP-150 into existing curriculum and/or establish a suite of DOE-provided and laboratory/contractor developed safety culture courses to reinforce the desired ISM behaviors.

The objective of TLP-151 is to certify selected site (local) trainers/facilitators that will provide instruction of TLP-150, Safety Culture for Front Line Leaders, to site personnel. Facilitator candidates (identified by Federal and contractor organizations) attend the TLP-150 course and are provided with an overview of each lesson by certified facilitators; once the course is completed, facilitator candidates are assigned a lesson from the course to teach. The presentation of that lesson is evaluated by certified facilitators, who recommend certification of the facilitator candidate to the NTC director. As of today, approximately 75 Federal and contract people from the Office of Environment Management; the National Nuclear Security Administration (NNSA); the Office of Science (SC); the Office of Environment, Health, Safety, and Security (EHSS); and the Office of Enterprise Assessments (EA), including DOE NTC, have been certified to teach the TLP-150, including representatives from the Hanford Area (River Protection and Richland), Argonne, West Valley Demonstration Project, Pantex, Idaho, Nevada, Lawrence Livermore, Oak Ridge, Carlsbad-Waste Isolation Pilot Project (WIPP), Los Alamos, Sandia, and DOE HQ. Upon certification, organization/site facilitators are responsible for the administration and conduct of their courses.

During this fiscal year, Train-the-Trainer Sessions have been presented in Oak Ridge, Idaho, Hanford and Albuquerque.

- **Labor Involvement with Safety Culture**

The National Institute of Environment, Safety and Health (NIESH) manages grants on behalf of the DOE to labor organizations. This year the International Association of Fire Fighters (IAFF) and CPWR (the construction and building trades training center) were awarded grants from NIEHS to adapt some of their existing training for potential use by DOE.

The purpose of these courses will be to train DOE Federal and contractor employees on their role and responsibility associated with establishing and maintaining a trusting/collaborative Safety Culture where all employees feel free to raise concerns. These courses are currently being piloted at selected sites across the

Department. Upon completion of the pilots the courses will be evaluated for inclusion in DOE curriculum.

- **Safety Culture Fundamentals Workshop**

To fulfill the request/need for employee safety culture training in the interim, DOE EM has provided a Safety Culture Fundamentals Workshop (upon request). The purpose of the three (3) hour facilitated workshop is to provide employees with a general overview of the Department's expectations for establishing and maintaining a trusting and collaborative work environment, where employees feel free to raise concerns without fear of retaliation.

The workshop is targeted to all DOE Federal and contractor personnel and available upon request. Within this fiscal year, the workshop has been provided at several locations including the Office of Legacy Management in Denver (Federal and contractors) and EMCBC-EM in Nevada (Federal). One Federal organization, the Office of River Protection, has incorporated this workshop into their required on-boarding process. To date, 2300+ Federal and contractor employees have participated in the Safety Culture Fundamentals Workshop in Idaho, Oak Ridge, Moab UMTRA, EMCBC-NV, and Office of Legacy Management.

2. Communications Working Group

- In June of 2017, the Department's Safety Culture website was launched. This website is public facing and provides a platform for work being done relating to safety culture.
- In response to a request for a generic handout about SCIP, the SCIP 101 tri-fold pamphlet was created. In line with that response, a SCIP 101 slide deck was created so that members could use it to provide a consistent message on the SCIP.



- The Safety Messages "Signs" Campaign was developed and captured by the NTC's videographer's expertise during their filming of the Secretary. The campaign was split into two medias for the convenience of use. The first was a short video of the Department's senior safety leaders holding signs relative to DOE G 450.4-1C, *Integrated Safety Management Guide*, Attachment 10 - Safety Culture Focus Areas and Associated

Attributes and the second was still shots of the senior leaders holding those same signs.

The campaign has been displayed on both the Germantown and Forrestal information monitors around the building and has been posted in the SCIP Toolbox for use by sites.

- The idea of Pop-up safety culture messages was conceived in the later part of the previous reporting year by the SCIP Communications Working Group based on the

existing messages received when signing in to DOECO computer systems that highlighted cyber security. The working group used DOE G 450.4-1C, *Integrated Safety Management Guide*, Attachment 10 - Safety Culture Focus Areas and Associated Attributes as inspiration for the messages. In total, the working group developed 17 safety messages, at least one for each focus area and attribute.

During the past year, safety messages continue to be randomly displayed on DOE HQ and other DOECO systems upon log-in. Each quarter, one week is set aside to run safety culture messages on every log-in.

In June of 2017, Geoff Beausoleil, SCIP Co-Chairman, sent an email to all DOE Operations, Field, and Site Office Managers to promote the use and display of the safety culture messages. The Communications Working Group has worked with many locations across the complex to encourage use of the safety messages. The safety messages have been displayed or used in eleven DOE locations through March 2018. Uses include log-in pop-ups, websites, training, newsletters, TV Monitors, posters, meeting safety topics, and videos.

3. Soliciting Employee Involvement Working Group

The Soliciting Employee Involvement Working Group met several times in 2017 to evaluate over 85 ideas from across the complex that support managers and the workforce in creating an engaging work environment that enables worker feedback, and proven tools that help measure workforce involvement.

A guide “Tools for Improving Safety Culture through Employee Involvement” was developed and is available on the SCIP PowerPedia page. This guide is currently a Word document that will be moved to a more interactive environment in 2018. In the meantime, there are several ways that users can link to or request access to the information provided, and they can continue to provide new ideas for additions to the tool. The goal - a living instrument that is continuously utilized and matured by the Department’s safety culture practitioners.

Near term goals for the Soliciting Employee Involvement Working Group in 2018 are to effectively communicate availability and the desired use of the tool, development of a strong interactive feature on a commonly shared/used website, and continued identification of workforce involvement best practices.

5. Community of Practice Working Group

This working group was the last to stand up. In August, the first meeting of identified Federal Safety Culture Points of Contact (PoC) met. The first meeting included an overview of SCIP structure and activities and a request for ideas to enhance safety culture, identify mechanisms to share information and how to involve the contractor safety culture PoCs.

The working group has developed a charter, developed a comprehensive list of PoCs, had multiple web conferences, reached out to EFCOG, as the contact for the contractor force, and began sharing information.

Upon the rollout of the new Performance and Reliability Program and Organizational Excellence website, the working group will move forward to generate a wealth of best practices and the means to network the PoCs across the Department.

ⁱ Department of Energy definition of safety culture: An organization's values and behaviors modeled by its leaders and internalized by its members, which serve to make safe performance of work the overriding priority to protect the workers, the public, and the environment.

ⁱⁱ Department of Energy definition for safety conscious work environment: A work environment in which employees feel free to raise safety concerns to management (or a regulator) without fear of retaliation.

ⁱⁱⁱ Department of Energy definition of chilled work environment: An environment where employees are unwilling or unable to raise concerns because they fear retaliation.

^{iv} Department of Energy definition for organizational culture: A set of commonly set beliefs, expectations, and values that influence and guide the thinking and behavior of organizations members, and are reflected in how work is carried out.