Safety Culture Improvement Panel

Annual Meeting
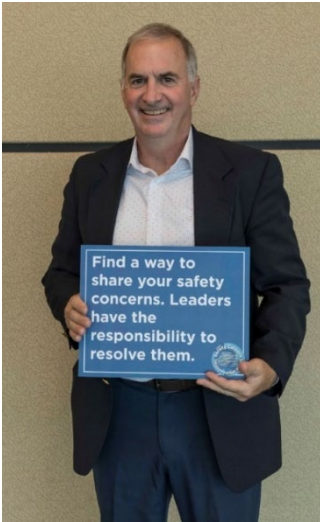
2020

Table of Contents

DOE Safety Culture Improvement Panel Annual Meeting Kickoff

Since 2015, the Safety Culture Improvement Panel (SCIP) has diligently worked to strengthen safety culture throughout the Department of Energy (DOE) by providing high level management attention, providing a forum for the exchange of ideas, sharing about the implementation of sustainment tools, staying current in the advances of safety culture, and identifying opportunities to incorporate safety culture into training.

Due to the pandemic, this year's annual SCIP meeting was held virtually throughout several sessions in August and September to accommodate the engagement of a diverse group of leaders throughout the DOE complex. Over 50 Federal and contractor senior executives, including Deputy Secretary Mark Menezes, Ike White (EM), William Bookless (NNSA), Juston Fontaine (SC), Federal site/field and contractor leaders, and Integrated Safety Management (ISM) Champions, shared their perspectives and insights on how safety culture should adapt for future Departmental needs.

Although the virtual format was different from the face-to-face annual meetings held in previous years, the meeting highlighted DOE's ability to adapt. It showed that the way the Department conducts business is a key component of a strong safety culture. SCIP Co-Chair Geoffrey Beausoleil encouraged participants to discuss issues or concerns they may be dealing with and how individuals adapt, address, and mitigate the hazards to fulfill their functions as intended. SCIP Co-Chair Matt Moury thanked everyone involved in the planning of the meeting and appreciated the time individuals set aside from their busy schedules to contribute to the SCIP's path forward.

Working Group 2020 Year End Accomplishments

Communications Working Group, Jimmy Guerry - Chair

During Fiscal Year (FY) 2020, the Communications Working Group developed a public facing website. To access the website, go to energy.gov and type "Safety Culture" into the search window. The group added new content to the website each quarter that can be accessed by clicking the news tab.

Pop-up safety messages were created and run on a quarterly basis. A total of 17 safety culture messages were developed and will continue to run once a week per quarter. Safety culture posters were developed that are available electronically. The posters were updated to feature the new S1. Please reach out to Mr. Guerry if you would like a copy.

The Safety Culture Professional of the Year award package was drafted. This effort will continue through FY 2021 as it has SCIP approval and Executive Secretariat review processes to go through.

Finally, two safety culture bulletins were published in December and July and are posted on the website. The working group is asking for individuals to submit safety culture related stories or anything they would like to share. Please provide that information to Mr. Guerry to be included in the next bulletin.

Training Working Group, Karen Boardman - Chair

Several items were pushed to FY 2021 due to the pandemic. As such, the National Training Center (NTC) is in the process of updating the Technical Leadership Program (TLP) courses to allow for virtual training. The status of NTC training courses are as follows:

TLP-100, *Safety Culture Leadership Fundamentals*

Several sessions were conducted. The course materials are in the process of being revised. Some of the revisions to the course materials are available on the NTC website. All remaining TLP-100 pilots have been postponed until FY 2021.

TLP-150, *Safety Culture for Frontline Leaders*

The NTC initiated a Level 3 survey based on TLP-150 participant feedback. Once the feedback is collected, the team will start the revision to TLP-150 materials. The remaining TLP-150 sessions will be deferred until FY 2021.

The NTC has not had any requests to hold TLP-151 sessions. In FY 2021, the NTC will reevaluate their strategy to see if there is a more effective way to run the course.

TLP-200, *Safety Culture for DOE and DOE Contractor Leaders*

Several TLP-200 sessions were conducted at the beginning of the year. The Oak Ridge and Idaho sessions that are scheduled will be postponed due to COVID-19.

The working group deferred the incorporation of the National Nuclear Security Administrations (NNSA) Supervisory and Employee Training materials to FY 2021.

The NTC continues to post information with respect to the materials for the Employee Concerns Program (ECP). The working group is exploring additional opportunities for course materials.

The evaluation of the International Association of Firefighters course materials will be deferred until FY 2021.

Community of Practice Working Group, Rizwan Shah and Jennifer Appleton – Co-Chairs

The Community of Practice (CoP) Working Group paused some of their outreach during the COVID crisis as they received guidance to not put additional stressors on personnel at the sites during the pandemic.

The group has started a project that will require them to identify points of contacts for individuals at sites, working closely with Ms. Julie Goeckner and Ms. Erin Grace. This will continue to be an ongoing activity as there are many change overs.

Ms. Appleton encouraged participants to spend some time becoming familiar with the OrgEx website. The website has over 540 users and continues to grow. A "Like" button has been added and the team is in the process of implementing a hashtag capability.

Contracts Working Group, Rick Denning

The working group reviewed approximately 50 contracts daily from across the complex for safety, organizational, and security culture language. The safety culture language was collected and recorded in a centralized location. The group is in the process of finalizing a report that details safety culture language and what the group considers to be best practices for safety culture language.

Monitoring Means and Methods Working Group, Pamela Bailey

The working group refocused their primary task, which is to seek out leading indicators that prompt leadership discussions regarding the evaluation of the organizational climate, safety culture, and Safety Conscious Work Environment (SCWE).

The group reviewed established standards and papers and, consistent with the recommendation of the SCIP's Contracts Language Working Group recommendations, have identified the Nuclear Energy Institute's (NEI) 09-07, Rev 1, *Fostering a Nuclear Safety Culture*, framework for monitoring safety culture. The Energy Facility Contractors Group (EFCOG) provided two examples of how to conduct safety culture assessments as well as the monitoring process.

The team is currently reviewing data sets and has benchmarked those examples against the ISM safety culture focus areas and behavioral attributes. They also identified an opportunity to incorporate similar data sets that organizations are using into several high-level categories for analysis. This is a key element because the group wanted to make sure that organizations can tailor their data sets to their own monitoring processes/needs.

The group is still in the process of evaluating what a safety culture monitoring process might look like for DOE.

Integration of Safety and Security Culture Working Group, Lee Grassley

The working group is still in the beginning stages of development. They have drafted a Charter that is under review. The next step is to assemble additional working group members that share a passionate interest in developing an overall safety culture that can be implemented by everyone, regardless of their profession or position within the DOE. Once the team is established, the group will brainstorm ways they can align within the objectives stated in the Charter to determine the goals for FY 2021.

Leadership Working Group, Julie Goeckner

The prior year Annual Plan and Annual Meeting Report report was issued which included summaries from each of the working groups and the ISM Champion activities. The structure for the FY 2021 Annual Plan goals and objectives was developed in preparation for the annual meeting. SCIP membership rosters were updated frequently through the year due to turnover.

The goal to further engage senior leaders from across the complex was accomplished during the 2020 annual meeting, where participation ranged from senior leaders to national laboratory workers and EFCOG members. This included DOE headquarters and field/site office managers who were intvited to participate in the annual meeting.

The SCIP Charter package was prepared since last year's annual meeting, but placed on hold to clarify the role of ISM Champions and to identify how they can be leveraged better in the SCIP Charter to help accomplish SCIP goals and objectives. Once the ISM Champions' role has been incorporated, the Charter will be sent to the Deputy Secretary for signature.

Executive Sponsors were identified for the majority of the working groups, with openings for Communications Working Group and Community of Practice Working Group.

The leadership team has continuously met the goals for the monthly meeting and distribution of meeting minutes.

Leadership Perspectives and Insights

Leadership sessions were forward-focus, rather than prior accomplishments, to discuss what is needed to raise the standard of excellence by hearing perspective and insights from DOE Federal and DOE contractor senior leaders on six different topics. Ms. Goeckner facilitated discussion with senior leaders, who provided a five to seven minutes respond to the following questions:

1) What leadership behaviors need to stop to promote organizational excellence and to improve the safety culture and SCWE?

2) What leadership behaviors need to continue to promote organizational excellence and to achieve the desired ISM environment?

3) What leadership behaviors need to start, or how might we need to adapt, to improve the organizational climate, the safety culture, and SCWE in pursuit of organizational excellence and the desired ISM work environment?

4) How do we support and engage our workforce to enable ownership and change?

5) How do partnerships between DOE and the contractors/national laboratories need to adapt to improve safety culture?

6) How can we better integrate safety and security?

The first notable theme that was discussed was about the invaluable role that leadership plays in enforcing the right behaviors, listening, taking action, and promoting the mission. Stephen Browning, Legacy Management Services, views leadership as a practice and shared that "*for leadership to succeed, there must be a level of trust established; trust can be built through increased communication and recognizing we are one team.*" Myrna Redfield, Four Rivers Nuclear Partnership, talked about "*demonstrating through our actions that we care – listen, evaluate, and take action.*" Johnny Moore, Oak Ridge National Laboratory Site Office, expressed the same sentiment and thinks that "*we can instill an environment of trust by correcting the things we are doing wrong and following through with our commitments.*"

According to Ike White, Office of Environmental Management (EM), "*Clear roles, responsibilities, accountabilities, and authorities are critical.*" John Eschenberg, Washington River Protection Services, talked about "*being purposeful by clearly defining expectations*" and the importance of alignment with the mission, vision, and values. *The "why" we work provides a "direct linkage to the mission,*" explained Nate Martin, Office of Enterprise Assessments. Martin further shared that, "*If we have alignment with our mission and expectations, it is easier to build trust and relationships. An important aspect of building relationships is to have alignment from all levels of the organization (up, down, and across).*"

Leaders shared that if we are going to build an environment of trust, we must create a safe space for workers to raise issues. We need to drive values and principles throughout the organization and strive to have a culture of transparency where employees do not feel like supervisors are rushing to judgement. We should leverage opportunities for feedback at all levels – listening more and talking less.

> *"We are all here to make things happen --- how we get there is important. We must listen and be responsive and react appropriately."*
>
> *Greg Meyer, Senior Vice President, Operations, Fluor*

We need to consistently reinforce the right behaviors and acknowledge and communicate when things go wrong. David Bowman, NNSA's Nevada National Nuclear Site, talked about being visible, communicating openly, listening to people, and providing honest feedback. Michael Budney, Savannah River Site Office, discussed the importance of getting to the bottom of what happened, recognizing that it may take time to understand and might not be able to be fixed right away.

The leaders shared the perspective that if something goes wrong, it is important to monitor the tendency to react. One of the keys to reacting appropriately is setting the right tone and paying attention to the potential for unintentional messages. Juston Fontaine, Office of Science, shared that, "*A learning culture allows people to make mistakes.*"

For new hires, the early indoctrination of safety culture concepts was discussed. Ty Blackford, CH2M Hill Plateau Remediation Contractor, shared that "*Safety culture orientation needs to start the first day the employee is hired. How can we collectively figure out how to engage with the next generation*?" A suggestion was made to promote knowledge transfer from senior employees (mass attrition).

Another theme was the need to identify mechanisms with Feds, contractors, and National Laboratories to promote immediate recognition of positive safety behaviors. Jack Zimmerman, EM Consolidate Business Center, highlighted the need for showing appreciation for the workers and timely recognition of the right behaviors.

> "*A no-blame environment is essential. It is important to recognize that we will fail and we need to not only prepare for failure, but allow people to make mistakes, so they are able to learn from them. If something happens, communicate the results openly and honestly.*"
>
> *Stuart MacVean, Savannah River Nuclear Solutions*

Mentoring, training, and development was another topic of discussion. Many leaders felt the need to improve the mentoring/coaching of first line supervisors in addition to leadership training and development at all levels. For non-supervisory employees, Jeff Carswell, Fluor Idaho, shared that, "Peer coaching and mentoring is the key to reinforcing the right behaviors". For supervisory employees, Jeff Smith, Oak Ridge National Laboratory, suggested investing time and resources into coaching and mentoring.

To promote partnerships, we should recognize that every organization plays a specific role in supporting mission completion and it is important to stay within our roles. To do so requires collaboration to identify what needs to be done to achieve goals and objectives. We must acknowledge that DOE's role is to enable the safe and secure completion of the mission and a contractor's role is to perform the tasks.

DOE should continue the institutionalization of safety culture and SCWE concepts into systems, structures, processes, and practices. With the existing change management process in place, we need to continue to leverage that process with deliberate change. Finally, it is important to continue to focus on individuals' needs, including their mental health.

> "*We need to focus and hear more on how organizations implement external practices.*"
>
> *Jay Mullis, Manager, EM Oak Ridge*

Leaders shared that there is a need to establish a standardized approach (common tools such as a common survey instrument/approach) for monitoring and measuring progress as well as seek out externally focused feedback (e.g., benchmarking, external practices, Safety Culture Assist Visits/DOE led INPO-type reviews). Nate Martin, Office of Enterprise Assessments, suggested evaluating external best practices and how to implement them. If there are lessons learned, apply them for sustained improvement. Ike White shared that EM is doing a good job of sharing lessons learned but now there is a need to use those lessons learned to drive substantial improvement.

Themes in terms of employee and worker engagement included being present and visible in all work spaces, being authentic and showing interest in what is being shared, being deliberate and spending time in the various work spaces to build relationships and trust, and focusing on individuals as people and their valued contributions to the mission. Geoff Beausoleil shared that, "*We need to shift our mentality from an 'us versus them' to a 'we' approach*." Steve Lawrence noted that it requires a team effort to safely accomplish the mission and that "*If we want to promote worker engagement, we should be sensitive to personnel with challenges due to COVID (return to work, home schooling, caregiving, etc.). We can leverage the lessons learned during COVID as an opportunity instead of viewing it as a barrier*."

> *"We manage people and not things. We need to focus on people, listen to them and act upon suggestions."*
>
> *Karen Weimelt, Sr. Vice President & General Manager, Jacobs Engineering / EFCOG*

The final theme discussed was integrating safety and security culture concepts. To assist with this, the ISM framework should be applied in all situations. Jan Preston discussed the notion that we need to "build a culture of compliance" (following the rules). We need to highlight the connection between safety and security based on COVID lessons learned (e.g., reliance/need for cyber security, badge culture, ensuring the right level of security exists to protect employees and the public). We need to acknowledge that safety, security, and quality require the same behaviors.

Mr. Moury and Mr. Beasoileil expressed appreciation to all the Federal and Contractor Senior Leaders who participated in the 2020 SCIP/ISM Champions Annual Meeting. Mr. Beasoleil shared that he enjoyed hearing the diverse set of leaders from across the DOE, sharing their views and perspectives and that a number of good takeaways were captured for further evaluation, and adoption, particularly as DOE establishes actions to address culture assessment feedback.

Integrated Safety Management Champions Meeting

Dr. Pat Worthington shared that ISM has been a long-standing system and is a key component of the culture within the Department. ISM is the cornerstone of how we do work safely. DOE Policy 450.5A Change 1 (2018), *Integrated Safety Management Policy*, states, "*It is the Department's Policy that work be conducted safely and efficiently and in a manner that ensures protection of workers, public, and the environment*."

ISM has increased the focus on worker engagement and involvement and is closely linked to safety culture. ISM is used by senior leaders to address safety concerns raised by external organizations. Dr. Worthington shared that the ISM, "*provides a simple but powerful structure for the safe conduct of work that allows flexibility and tailoring for the diverse and complex DOE missions and operations*." ISM serves as the integrator for other management systems and is equally important to Federal and contractor management workers.

ISM Guiding Principles

1. Line management responsibility
2. Clear roles and responsibilities
3. Competence commensurate with responsibilities
4. Balanced priorities

5. Identification of safety standards and requirements

6. Hazard controls tailored to work being performed

7. Operations authorization

8. The ISM core functions provide the model for ensuring safe work in a pandemic environment. DOE's response planning provides the framework for response efforts.

ISM 5 Core Functions

ISM involves the integration of safety into management and work practices at all levels, addressing the different types of hazards that are present when doing work.

The five Core Functions of ISM are:

1)   Define the Scope of Work

2)   Analyze the Hazards

3)   Develop/Implement Controls

4)   Perform Work

5)   Feedback and Improvement

Work Planning and Controls, COVID-19 Lessons Learned

Panel Chair: Theodore (Ted) Pietrok, DOE Pacific Northwest Site Office

Panelists: Deanna McCranie, Hanford – Richland Operations Office and Susan Morris, NNSA Nuclear Production Office

Hanford Lessons Learned

The discussion about Hanford's Remobilization Plan brought up some valuable points. First, is using a phased return to work approach. By implementing phased staffing, where for example, during Phase 2 onsite work is limited to 80%, Hanford hopes to be able to decrease the number of positive COVID tests. Remobilization has been contingent on the availability of personal protective equipment (PPE). This has proven to be a challenge due to the nationwide shortage of PPE. Purchasing delays have been an issue for items such as bleach, Clorox wipes, and hand sanitizer. Without these items, Hanford cannot ensure that workers will have a clean environment that is free of contamination.

Hanford's facility representatives were provided specific guidance as to how to evaluate contract performance, relative to COVID implementation.

Evaluation includes the answers to critical questions, such as:

- Are they washing their hands? Are hand washing stations available?

- Are alcohol-based disinfectants readily available?

- Can they maintain a social distance of 6 feet?

- Are gloves readily available when needed?

- Are people being advised to not touch their face?

- Are enough cleaning products supplied to the custodial staff?

- Are employees knowledgeable about the controls?

Hanford has also implemented requirements for every worker to evaluate their own signs and symptoms, prior to coming into work. Workers are required to take their temperature and to notify their supervisor if they have any symptoms.

Physical modifications to the way work is conducted at Hanford included implementing COVID-19 guidelines issued by the Centers for Disease Control, limiting crew size, a new lunch/break room configuration, staggered lunches, additional janitorial staff, and telework for those eligible. Hand washing and temperature monitoring stations, disinfectant, and signage have been placed around the site to help maintain health and cleanliness expectations.
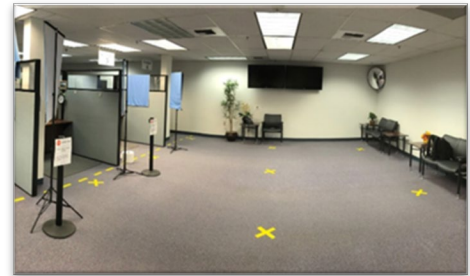
For meeting and training spaces, social distancing requirements were used for table and chair placement. Furthermore, plexiglass separators were installed in areas where social distancing could not be maintained. Tape and stickers were placed around the site to remind workers to keep a safe distance.

Specific Hanford Lessons Learned Include:

- Identify expectations and control early in the process

- Have consistent expectations across the complex

- Ensure all levels of management are on board and are reinforcing the controls

- Validate that controls are implemented

- Recognize weaknesses in work planning

- Have a clear plan for those returning to work (PPE, training, etc.)

- Prepare a response for those not in compliance
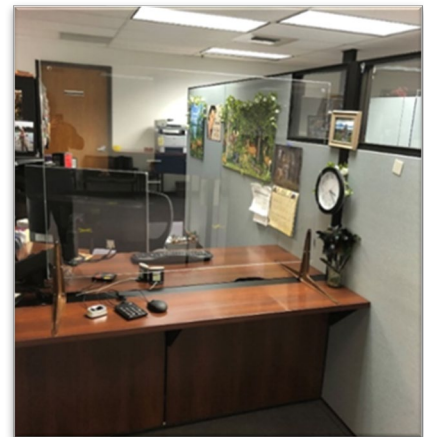
NNSA Lessons Learned

NNSA has implemented similar approaches to COVID-19. Those included temperature monitoring stations, social distancing (with tape and sticker reminders around the site), cleaning areas after someone has been diagnosed, using gloves to touch certain items like keypads, installing plexiglass in areas where social distancing is not an option, removing self-serving cafeterias and utilizing boxed lunches, keeping windows open for maximum ventilation, the

addition of sanitizing stations, wearing masks, and labeling tables and chairs that are kept in conference rooms (for where not to sit).

Specific NNSA Production Office Lessons Learned include:

- Complete walk downs of all areas/operations to identify controls

- Treat COVID-19 like any work hazard

    o Educate workers on the hazards of COVID-19

    o Identify and enforce controls

    o Field presence to train in proper behaviors

    o Hold people accountable

- Validation of controls via periodic walk throughs of areas/operations

- Engage workforce, at all levels, to help understand challenges with controls (conflicting PPE, heat stress, etc.)

- Reinforce that everyone should look after one another – if you see something, say something!

Pacific Northwest National Laboratory Production Office Lessons Learned

- Addressing COVID as a biohazard and integrating it into the WP&C process was imperative

- Development of Acceptable Personnel Limits for all spaces

- Providing common space controls, PPE, cleaning stations, and temperature checks

- Staff wanted specific and prescriptive guidance. Leaving rooms, for worker judgment, usually led to more questions and inconsistent practices.

- Providing COVID training to all staff and non-staff provided a consistent understanding of requirements and expectations, including the use of a daily checklist to detect infections early.

In terms of understanding and managing safety risks, NNSA talked about their corporate risks that require Headquarters (HQ), field office, and M&O partner understanding and action. By optimizing resources, the risks can be properly addressed.

Understanding and Managing Risk

Mr. Dan Sigg, NNSA, shared that there are varying levels and elements of risk (security risk, product risk, production risk, etc.) and it is important to recognize how we enable the successful accomplishment of the mission.

Understanding the risks from the HQ perspective supports senior leaderships understanding and actions, identifies enterprise issues to be collectively addressed, and supports field and program offices, as well as our M&O partners in addressing safety risks (prioritization of risks and deployment of limited resources, optimize type/quality of HQ resources for specific activities, funds for infrastructure development, etc.).

Mechanisms to help understand and manage risks, include continued implementation of the NNSA safety roadmap, improved data analysis for more informed decisions, Safety Analytics, Forecasting And Evaluation Reporting project, and structured problem solving approaches to address strategic risk areas (A3 Tool – TPS Approach).

Risk-Based Oversight

Doug Eddy, Livermore Field Office (LFO), discussed their integrated approach to risk-based oversight. Part of risk-based oversight comes from the NA-52 deep dives, where infrastructure improvements are identified and funded. Oversight determines where the contractor programs and management systems (including assurance and oversight systems) are implemented and how LFO is performing effectively by complying with DOE and NNSA requirements.

LFO uses a formal, risk-based assessment planning process that is integrated with contractor assessment planning. Integrated assessment planning has evolved from the NNSA SIAP process. To be truly effective, LFO had to align with Lawrence Livermore National Laboratory (LLNL) for assessment planning and scheduling. LFO and LLNS also aligned functional areas and risk models to determine a baseline periodicity for oversight and a common assessment schedule. This effort resulted in less duplication, improved partnership between LFO and LLNL, better collaboration, communication, and transparency.

The collaboration also produced a larger data set for the annual Integrated Health of the Program (IHOP) analysis. The IHOP approach provides a standard mechanism for jointly documenting annual analyses of the overall health of the program, utilizing LFO oversight data and LLNL Contractor Assurance System (CAS) data. The IHOP Assessment serves two purposes: 1) Evaluate overall health of the functional area; and 2) Evaluate CAS implementation.

The input for the IHOP process comes from a variety of sources: formal assessments, ORPS/NTS reports, contractor management oversight, Facility Representatives (FR) and Subject Matter Experts (SME) operational awareness activities, contractor safety committees, etc. LFO and LLNL jointly conducted 14 IHOPs this year.

Oversight Evolution at DOE Hanford

Panel Chair: Brian Stickney, Richland Operations Office

Panelists: Mike Berkenbile, Jeff Eichorst, Steve Swenning and Mindy Delong - Hanford

Mr. Jeff Eichorst asked - why change? He expressed that there is a needed to be more efficient and there was limited information about the expectations covered in contract Section C, "Performance Work Statements," DOE Policy 226.2, *Policy for Federal Oversight and Contractor Assurance Systems*. Hanford needed to change the paradigm for federal oversight and overcome the perception that the CAS was only "something more to do," rather than a natural approach to monitoring and understanding contractor performance.

Mike Berkenbile asked, "how are we evolving?" Hanford is establishing alignment on a fundamental principle:

DOE manages the contract not the contractor, consistently seeks a balanced approach with their oversight strategy, leverages stewardship through partnership to foster communication, trust, and transparency, works to effectively leverage the PEMP, CPARS, and contract action to drive accountability and mission completion; and leverages innovation and collaborative governance to increase the confidence in credible CAS information to inform DOE oversight.
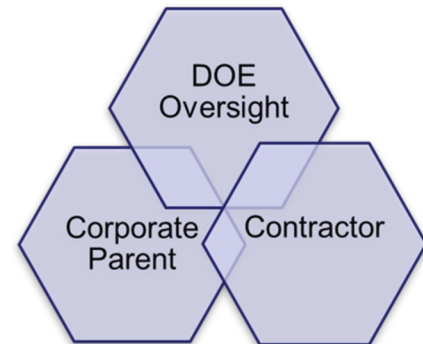
Hanford's Collaborative Governance Model

Integrated Contractor Assurance System (iCAS) at DOE Hanford

Panelists provided a retrospective look and a path forward on Hanford's process implementation software business enterprise suite, iCAS. He shared that the problem is that DOE Hanford and its contractors use at least 22 different, locally developed software systems, as well as programs to implement common CAS requirements.

The strategy is to use sound business practices, innovative management approaches, and technology to reduce risks and costs. One of the issues experienced with contractor assurance is the fact that individuals are forced to learn multiple contractor systems to communicate effectively.

Previous attempts to foster cross company and cross organizational communication have fizzled despite continued efforts from our integration contractor. This all changed when the draft Hanford Mission Essential Services Contract was released. Finally, the contractor and DOE community realized there would be a common software platform and a site-wide approach document.

The scope of the iCAS development includes the following items that are in *production*:

- Assessment planning
- Assessment reporting
- Action request
- Condition reporting

- Electronic reporting

- Search

- Reporting capability

- Performance indicators

- Metrics and targets

- Task tracking

The following items are in *development*:

- Nonconformance reporting (contractor led)

- Operability (contractor led)

- Price-Anderson Amendments Act (contractor led)

- Mobile application

- Checklists

- Observations

- Business intelligence / trending

Voluntary Protection Program (VPP) in an ISM Environment

Brad Davy, AU, shared that DOE-VPP and ISM initially developed along parallel paths to achieve the same goal. The reorganization in 2006 clarified ISM as the overall DOE expectation, with DOE-VPP recognizing excellent performance.

What is the difference between VPP and ISM?

- ISM is mandatory by contract and VPP is voluntary.

- ISM expects continuous improvement and VPP incites an additional outside assessment on a regular basis that evaluates and looks for that improvement.

- ISM expects employee involvement in planning and performing work while VPP empowers employees to help determine if the participant meets DOE-VPP expectations.

- VPP requires a written agreement with bargaining units to cooperate in achieving DOE-VPP Star status.

- ISM requires the contractor to satisfy to DOE that it has an adequate system and is implementing that system, whereas VPP requires convincing the entire workforce.

- Contractor owns the ISM system, and the entire workforce owns VPP.

- ISM expects regular self-assessments, VPP insists that workers have a voice in that self-assessment.

- ISM assessments may lead to findings/mandatory corrective actions/fines, VPP assessments provide opportunities to address identified conditions before findings/mandatory corrective actions are required.

- VPP encourages partnership between DOE and the contractor.

- VPP provides a means to connect with industry beyond DOE through an international organization (VPP Participant's Association).

Accountability for Safety During COVID-19: DOE Oversight, Contractor Assurance System, and Enforcement

Panel Chair: Maria Dikeakos, Office of Science

Panelists: Susan Morris, NNSA NPO, Brenda Hawks, EM, Mark Davis and George Good, Brookhaven National Laboratory, and Kevin Dressman, Office of Enforcement

Ms. Dikeakos shared that effective oversight of the DOE contractor complex should be integrated into all operations such that all personnel, Federal and contractor alike, are responsible and accountable for conducting their missions to the highest standard, DOE Policy 226.1, *Policy for Federal Oversight and Contractor Assurance Systems*.

Applying NNSA Production Office (NPO) Oversight Approach to COVID-19

The Pantex Plant includes assembly, disassembly, refurbishment, maintenance, and surveillance of stockpile nuclear weapons and weapon components; manufacturing of specialty explosives; fabrication and testing of high explosive components; interim staging and storage of nuclear components from dismantled weapons; and pit requalification, surveillance, and packaging.

The Y-12 Facility maintains and enhances global security by performing manufacturing, assembly, disassembly, quality evaluation, and storage of nuclear weapons and their components; supplying nuclear material for naval nuclear propulsion; supporting global nonproliferation efforts; and delivering solutions to emerging national security challenges.

Pre-COVID Single Enterprise Approach

- Site-Specific Roles & Responsibilities (FRs and SMEs)

- Enterprise Program Managers (Senior Level)
    - Responsible of Program Execution and Oversight at both locations
    - Travels every 6-8 weeks to opposite site locations
    - Relies on site resources when "boots on the ground" are needed (Fact Findings, Critiques, etc.)
    - Utilize other SMEs based on skill set

- Reliance on Skype, Web-Ex and VTC for Communication
    - Program Reviews

- o Staff Meetings
- o Telework Allowed for Everyone 1 day per pay period
- Oversite: Typical Operational Awareness, both internal and external assessments, readiness reviews, etc.
- Applying the NNSA Governance Model

After COVID

Stage 1

- FOM/DFOM with their Admin weekly - rotation
- Full Telework
- Small group rotations (FRs, S&S, QA)
- Minimal onsite (with special approval for mission critical work)

Stage 2

- FOM/DFOM with their Admin weekly – rotation
- Assistant Managers / Deputy AMs increased to part-time onsite
- Increase number of SMEs onsite (Rad, Crit, S&H)
- Small groups rotations (FRs, S&S, QA)
- Minimal onsite (with special approval for mission critical work)
- Maximum telework

Normal Operations with Maximum telework

- FOM and DFOM full-time
- Increasing numbers of FMEs back onsite (telework 20 – 70% of time)
- More SMEs full-time on site
- Maximum telework (2 days per pay period, in office 1 day/pay period, up to 1 day/month)

COVID-19 Learning

- Dramatic increase in IT capacity to support max telework
- Due to existing telework practice, most had telework agreements and required equipment – Maintain telework capability for all of NPO
- Since most M&O and NPO were telework, majority of meetings held by Skype/WebEx – Demonstrated it can be done and should be done in the future.
- Virtual Fact Findings and Critiques

- When onsite, staff was laser focused on field time, used telework for reports, training, etc.
- Must have TRUST between M&O and NNSA to fully leverage Governance Model

DOE's Safety and Security Enforcement Program During COVID-19

Mr. Dressman shared some of the impacts of COVID on the Department's Safety and Security Enforcement Program, key lessons learned, and ongoing efforts to maintain the effectiveness of the Department's enforcement function.

- During this time there has been regulatory relief and enforcement discretion
- The office is maintaining operational awareness and continuing implementation of the mission-critical functions of the safety and security enforcement program.

The first topic Mr. Dressman discussed was related to the Department's regulatory relief effort. The Secretary issued a directive to provide options and flexibility for contractors who are challenged with strict compliance to safety and security requirements in the COVID environment, while still allowing the flexibility needed to continue operational critical tasks that needed to be performed during COVID. As part of that regulatory relief effort, the Secretary directed us to issue guidance on how enforcement discretion would be implemented. That policy provides a mechanism to ensure that the Department and its contractors are maintaining regulatory accountabilities while also providing the flexibility needed for the Department to continue its critical missions.

One of the key elements of the enforcement discretion is ensuring transparency between DOE contractors and field offices to ensure there is a mutual understanding of the risks that the Department and contractors are accepting and what the potential impacts of those risks are. One of the benefits of being a self-regulating agency is DOE gets to define the requirements that will be used to hold ourselves accountable for and adjust them as the mission and operational circumstances dictate in terms of maintaining operational awareness.

During an essentially full-time telework/reduced operational environment, it is important for us to maintain awareness of not only the events and the issues that are occurring across the complex but also the context and the perspectives of those involved - to understand what the risk is and what that means to the safe and secure performance of the Department's mission.

Common Themes from the Overall Meeting

Throughout the Annual Meeting over 50 senior leaders, and numerous ISM Champions, shared their perspectives and insights on safety culture and common themes emerged regarding leadership behaviors to continue, to stop, and to start/adapt; leadership behaviors that could promote employee/worker engagement; leadership behaviors that could further partnering between DOE, DOE contractors/national laboratories, and labor organizations; and best practices implemented from across the complex.

<u>**Leadership Behaviors to Continue**</u>

- Clear/defined mission/vision/values

- Alignment between all organizations/entities on mission/vision/values
- Clear/defined expectations (R2A2s/R3A2s)
- Leadership visibility in all workspaces; focus on relationships to build trust
- Early indoctrination of safety culture concepts (from day one)
- Leadership training and development – all levels
- Specialized focus to train, mentor, coach first line supervisors
- Learn from failure (fail safely) / mistakes
- Create a safe space for all to raise issues
- Multiple avenues of redress, resolution at lowest level, escalation process of issuesFollow through on actions; keep parties informed of steps in resolution
- Common language of safety culture (under ISM)
- TLP training courses for consistent foundation for safety culture expectations
- Institutionalize SC/SCWE concepts into systems, structures, process and practices
- Leverage a change management process (deliberate change)
- Focus on individual's mental health (individual needs)
- Personal connection to mission
- Drive values and principles throughout organization; values in every process
- The "we" mentality
- Use ISM – it is a strong/simple approach
- Consistently communicate with transparency, consistency, using multiple methods
- Collaboration (at all levels)
- Build trust
- Questioning attitude

Leadership Behaviors to Stop

- Blame culture
- Rushing to judgement"
- "We have arrived" mentality
- Over focus on DART/TRC rates
- Complacency
- Segmenting those things that make us successful
- Accepting the clay layer
- Thinking of our people as commodities
- "Unintentional" messages
- Hiding behind the security veil
- Internal focus (self-assessment paralysis)
- "Us versus Them" mentality
- Treating safety culture as highly specialized
- Over-reliance on PowerPoints (avoidance for engaging in discussions around issues

- "We need all the answers now" mentality
- Viewing safety, security, and quality in competition
- Viewing COVID as a unconquerable barrier

Leadership Behaviors to Adapt/Start

- Engage mechanisms to transition to the next generation of staff/workers
- Knowledge transfer (mass attrition)
- Leverage COVID as an opportunity (versus a barrier)
- Communicate with intent; validate impact to organization
- Develop junior leaders of (First Line Supervisors, or leaders, PICs, high potentials) in soft skills and Emotional Intelligence
- Deliberate focus on coaching/mentoring/training of junior leaders
- When hiring leaders, focus on leadership skills (building relationships) as much as technical skills
- Timely recognition to reinforce the right behaviors
  Establish mechanisms for peer coaching/mentoring
- Create a psychologically safe and open work environment
- Build fundamentals of ISM into everyday tasks/activities/everything we do
- View leadership as a practice versus a position
- More time on the "why" not just the "what"
- LISTEN To hear; talk less and listen more
- Establish standardized approach to monitoring and measuring safety culture progress (Department wide survey, common set of measurement tools)
- Create a "norm" that will provide intolerance with those that are not demonstrating the right leadership behaviors
- Seek out externally focused feedback
  - o Safety Culture Assist Visits/DOE led INPO-type reviews, ORAU assessments, surveys
  - o Benchmarking
  - o Learn to apply external practices internally
- When things go wrong
  - o Focus on the facts (what happened)
  - o Recognize it will take time to understand ("we will not know everything right away")
  - o Monitor the tendency to react
- Institutionalize safety culture expectations and training from day one (i.e., on boarding)
- Immediate recognition of the right behaviors
- Transition lessons learned to lessons applied (sustained improvement)
- Prepare for failure/fail safely
- Prepare for event that has not yet occurred
- Allow people to make mistakes
- Reinforce values in daily interactions and communications

- Build resilience for change at the organizational and individual level (use change management process)
- Treat people right; enable people to help people
- Clarify common language and provide linkage between approaches (SC Focus Areas, NNSA Performance Culture, SC Principles of Research)
- Clarify differences between Human Performance Improvement versus Human Factors and how they can be utilized

Leadership Behaviors to Enable Ownership – Employee/Worker Engagement

- Be present/visible in all work spaces
- LISTEN
- Use every opportunity to link individual tasks to safe/secure mission accomplishment
- Be authentic -- show interest and really care about what is being shared
- Overcome "vulnerability" – share what can/should be shared
- Be deliberate; management time/spend time in work spaces to build relationships/trust (listen)
- Talk directly to everyone supporting mission; link each individual's work to mission
- Take action; follow through on commitments; do what we say
- Communicate/show results
- Immediate recognition of the right behaviors
- Consistently reinforce/reward the right behaviors
- Acknowledge and communicate to WF things go wrong – visible accountability
- Focus on individuals as people
- Value individual contribution(s) to mission
- Inclusion of workforce – skilled workforce and SMEs in work planning
- ASK: "What if…"
- Allow workforce to influence goals, objectives, and organizational deliverables
- Be sensitive to personnel with challenges of COVID (return to work; home schooling; caregiving)

Leadership Behaviors to Promote Partnerships Between DOE, Contractors/National Labs/Unions

- Implement a shared governance model/approach
- Engage in the difficult conversations
- Agree on the problem first, before implementing solutions
- Stay within roles;
- Recognize every organization plays a specific role to support mission
- Acknowledge that DOE's role is to enable the safe/secure completion of the mission; contractor role is to perform tasks
- Establish parameters for how organization will respond to events/issues (build trust)

- Define end-state and in collaboration work backwards to identify what has to be done to achieve goals and objectives
- Engage contractor/national lab/skilled workers in work planning up front
- Recognize we are one team to accomplish the Department's mission

Leadership Behaviors to Integrate Safety & Security into Safety Culture Concepts

- Build resilience to avoid bad results
- Acknowledge safety, security, quality require the same behaviors
- Overcome ways to communicate security issues, while not identifying vulnerabilities
- Apply ISM framework/wheel to all situations – safety, environment, security, quality, etc.
- Create a consistent culture of compliance within all organizations/entities
- Focus on risks; bring more security issues to forefront
- Highlight connection between safety and security based on COVID lessons learned (e.g., reliance/need for cyber security; badge culture; ensuring the right level of security exists to protect employees and the public)

Identified Best Practices

- Reinforcing Achievement of Values and Expectations (RAVE) – SRR
- Visits with Vance / Small group meetings – Hanford (ORP/RL)
- Fireside chats – weekly videos – Hanford (ORP/RL)
- Daily or 2-3X/week video messaging to all employees – MSTS/NV
- Question of the week
- LOSA/LOLA – experiential training – Battelle-led National Labs
- Safety Culture Introduction/Expectations Course – Navarro (NV)
- Workforce Engagement Protocols – Hanford (WTP-BNI)
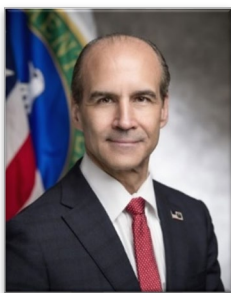
Deputy Secretary Mark Menezes

The DOE's Deputy Secretary, Mark Menezes, provided closing remarks for the meeting on September 2, 2020, as the Executive Sponsor of SCIP. He shared his excitement about the annual meeting and said that the work the SCIP does is very important in establishing a positive safety culture and SCWE across the enterprise. He strongly believes the Department's response to COVID has been exemplary among Federal agencies.

The proposed plan to return to the workforce, which emphasizes maximum telework flexibility and the mitigating requirements, has been a template that other agencies have emulated. DOE staff should take pride in knowing that the work that the management team and leadership has engaged in, has been held in high regard amongst the Department's sister agencies.

He shared that two things are most evident in this unique time: 1) Each one of us is truly responsible for safety at the Department and 2) if we make safety our overriding priority, we will achieve true

performance excellence in accomplishing our mission. While precautions and procedures have been effective during this unprecedented time, the organization must continue to strive towards making our workplaces free from harm and we must foster a safety culture that protects workers, the public, and the environment.

He further shared that the SCIP Annual Meeting is helping to sow the seeds of future health and well-being at the Department. Deputy Secretary Menezes shared that the fact that so many of you came together across the complex to discuss the tenets of an effective ISM system – leadership, employee engagement, and organizational learning, is a leading indicator of the Department's future performance. We simply cannot perform our duties at the highest level, nor achieve our critical mission on behalf of the American people, if we fail to keep our employees out of harm's way.

Deputy Secretary Menezes challenged participants to continue to create new ways to institutionalize the desired safety behaviors and to embed these behaviors into our DNA, so that they are evident in our systems, structures, processes, and the way that we perform our work on an individual level.

He encouraged participants to continue to actively listen and engage, to foster a SCWE where employees feel free to raise concerns without fear of retaliation, where concerns are prioritized based on significance and are addressed in a timely manner. He also emphasized the importance of building an environment of trust in the workplace where different perspectives are valued and there is a robust dialog around issues. He strongly believes in promoting an environment where people feel personally responsible for their actions, and most importantly, where safety is understood to be a critical element of our mission.

Ms. Goeckner shared that there was a great deal of talk amongst senior leaders this conference about the need to create an environment where it is safe to fail. She asked the Deputy Secretary how leaders could better foster an environment where we safely accomplish work, while having room to fail safely.

The Deputy Secretary described a situation that he had experienced while working at a previous company. He shared the company prided themselves on zero accidents and fatalities. They had a good streak going with zero fatalities over several years. One year, a horrible accident occurred with two fatalities. It was tragic. At the next board meeting, it raised a lot of questions. Specifically, how can we have a culture of safety and maintain it and demonstrate it when you have two fatalities? The company had to acknowledge the fact that it was a complex organization, doing very sophisticated work and that humans will make mistakes. You cannot eliminate accidents, but the organization has to want to try to minimize the potential for them occurring If employees and managers know and understand that their safety is a priority, then it can eliminate and minimize that risk injury.

Ms. Goeckner asked if there is one key metric he would use to measure how well Departmental Federal and contractor leaders are doing in terms of implementing the safety culture expectation to establish and maintain that positive safety culture and that SCWE.

Deputy Secretary Menezes replied, "the facts kind of speak for themselves." When he tours facilities, he talks to the workers. He sees workers in action, and he goes out of his way to talk to them. He shared that he could tell whether people are trained in safety and if they take it seriously. When you talk to employees and they feel their safety is the number one priority, they are usually willing to share their experience and praise management. They will not answer directly if they have something that they are uncomfortable with.

In terms of holding our leaders accountable in demonstrating the right behaviors, Deputy Secretary Menezes believes that every manager's job performance should be a component of their annual evaluation. In the private sector, safety was always a measure that was going to determine your evaluation and performance of your duties. This helped you have a vested interest to ensure that all those below you would have as good of a safety record as possible.

SCIP Working Group Proposed FY 2021 Goals

Communications Working Group, Jimmy Guerry

The group proposed four goals for FY 2021.

1. Establish the Safety Culture of the Year Award.
   The group projects that during the first quarter the award parameters will be finalized. During the second quarter, the award documents will go to the SCIP for review. In the third quarter, the group will initiate the process for issuing the award. Finally, the intent is to present the award at the end of the FY at the SCIP Annual Meeting.
2. Continue Blue Box/Pop-Up Message Campaign
   The group intends to run a one-week campaign each quarter.
3. Issue SCIP Bulletins
   The group intends to collect information from other working groups and ISM Champions about key culture topics. They plan to issue two bulletins over the next FY (one in January/March and a second in the July/September timeframe).
4. Identify Improvements for the Public Facing Website
   During the first quarter, the group will review the public facing website and propose recommendations to the SCIP Executive Secretary.

Contracts Working Group, Rick Denning

The groups intend to eliminate the duplicative tasks with the Monitoring Means and Methods Working Group regarding contract transition.

The group has completed a review of a significant number of current and new DOE contracts, looking for language that discusses safety culture, performance culture, or any other kind of culture. The group compiled that language and created a master document that is now available. The group has preliminarily identified best practice language for safety and security culture. The group also discovered a SCIP contract language report from November 2015 that documents similar work performed five years ago. The groups intention is to:

1. Revise the Contracts Language Working Group Charter
   The group will work to eliminate duplication of effort with the Monitoring Means and Methods Working Group in the first quarter.
2. Prepare a draft report during the second quarter.
3. Present recommendations to the SCIP for review and approval and finalize the report using the feedback to be provided by the SCIP by the second quarter.
4. Finalize and issue and report by the second quarter.
5. Work with STRIPES system to enter the Best Practices Safety and Security Culture clause for selection and inclusion in contracts. For April to June, the goal is to have the language in STRIPES available for use.

The Working Group has focused on establishing and maintaining a positive safety culture during contract transitions. The group takes a rigorous look at approximately 50 contracts every day from across the complex to identify safety, organizational, security, and other culture language that can be found in contracts. The safety culture language that was collected is being incorporated into a report that will be available in a centralized location. The report details safety culture language and what the group considers to be the best practice for safety culture language.

Training Working Group, Karen Boardman

COVID has significantly impacted the group's ability to provide instructor-led and in-person courses. Due to the COVID climate, the group is proposing a shift in how to move forward with delivering the

courses. The NTC has been working on determining ways to ensure virtual training is engaging. The group believes there are some opportunities to pursue that in the near future.

The groups first objective is to start exploring options to provide virtual training delivery for all TLP courses.

> *"The new normal will have more people working virtually in a variety of areas so there is a need for virtual courses even post-COVID."*
>
> *Cherylynne Williams, Office of Management, DOE HQ*

1. TLP-100, *Safety Culture Fundamentals*: One of the group's goals is to get the training out to more workers, especially TLP-100. The course has already been provided several times in DC and at the Waste Isolation Pilot Plant. Ms. Boardman does not believe we need more pilots to determine a path forward with the revision of the course because the NTC has the group collecting feedback from students from every iteration of the course. The NTC can always modify the course going forward, if necessary. As such, the group will move forward with finalizing the course curriculum by the end of the FY. This will allow for the group to finalize their Reciprocity Checklist. The checklist will be provided to the SCIP for approval, so it can later be provided to other organizations. Labor partners are eager to have several of their courses reviewed for reciprocity.

2. TLP-150, *Safety Culture for Front Line Leaders*: The working group will be developing, issuing, and evaluating a Level 3 survey on TLP-150. A Level 3 survey is a training survey that talks to students, supervisors, and others to get feedback on how the course is being implemented and to gather information on the changes the course is making in the real world. Once the input is reviewed and consolidated, the working group will start the revision to the TLP-150 classroom materials.

3. TLP-175, *Safety Culture Assessor and Lead Assessor Training*: The NTC plans to develop Safety Culture Assessor Training for Federal and contractor employees. This will allow individuals to assess the health and implementation of safety culture at the sites. This effort was recommended to be deferred to 2022. The team does not believe there will be an opportunity this year for assessment teams to go out and perform assessments. This will allow the working group to focus on developing the capabilities to develop the virtual training.

4. TLP-200, *Safety Culture for DOE & DOE Contractor Senior Leaders*: The group has a placeholder for presenting TLP-200 in the April to June timeframe at Oak Ridge and Idaho. The schedule will be somewhat fluid based on travel restrictions. Given current circumstances, the group felt like a goal of April/June is best appropriate.

5. The NTC would like to work with NNSA on their supervisory courses and others they have developed. The working group believes those courses would help to enhance the safety and security culture message. In FY 2021, NTC will be rolling out the Safeguard and Security Functional Area and Qualification Standard. Once the Standard is developed, there will be some opportunities to improve the curriculum. Specifically, NTC will begin looking at where to enhance security culture in our safeguard and security and pro-force courses.

6. The group continues to post information with respect to the materials that the ECP is looking at and whether there are additional opportunities for course materials.

7. Evaluating the International Association of Firefighters course materials will be deferred until year end FY 2021.

> *"SCIP can leverage the information from the prior training for the benefit of improving the communication of safety culture and focusing workers as they come back to work."*
>
> *Ted Pietrok, Pacific Northwest Site Office*

Community of Practice Working Group, Rizwan Shah

The CoP's first goal is to identify supplemental working group participants to obtain a broader range of people in the core working group to help with the day-to-day functions of the group. Goals include:

1. Incorporate new members into the group
   This is to be inclusive. Rather than just include new members into the discussions, but also with planning and task execution.

2. Build a survey for the points of contact to identify the cultural community of practice.
   Many of the lessons learned by small communities can benefit the SCIP, so the group will seek out this input.

3. By April 2021, the group intends to actively team with local communities of practice to identify issues and opportunities for developing and sharing.

4. Develop and maintain a point of contact list.

   It will be a challenge to keep this type of list up-to-date and will require constant attention. The group will use the organizational excellence (OrgEx) website to help keep the list updated. This will be ongoing into FY 2021. Mr. Shah emphasized the importance of ensuring that those working in the same field are being complemented by this group's efforts. The group encourages champions of organizational excellence to participate and share their insights at their group meetings.

5. Research and propose action to increase the effectiveness and the sustainability of Federal and site communities of practice.
   This research and proposed action provides long-term efficacy to the efforts of the group.

6. Lessons Learned
   At the end of the year, the CoP plans to provide lessons about the identification and mitigation of risks learned not just at the SCIP level, but across the DOE complex.

7. Engage with other local communities of practice
   In the second quarter, the group will continue to evolve the methods used to engage with each other and other local communities of practice. The group also plans to share any community practice training curriculum that can be adapted at sites.

8. Participate and host web conferences and social media events

The group believes it is very important to reach out to our different communities and to have a continuous dialogue without too many breaks in between. One of the actions that will help to accomplish this is to identify any standing events in the DOE complex and prioritize them for engagement by our staff and this working group.

9. Web Event
The CoP is planning to have a web event which will allow some of the local communities of practice to share their success stories. The group will conduct a survey for lessons learned, ensuring that the group gets feedback from all the various stakeholders.

Monitoring Means and Methods Working Group, Pamela Bailey

Ms. Pamela Bailey shared that the goal is to be able to clearly show the separation between the data being used for system effectiveness and get an understanding about the data indicated with respect to the behaviors that are exhibited within an organization as they are implementing those systems and processes.

Ms. Bailey mentioned that the group received a lot of data feeds and processes that DOE has been using across the complex on the Federal and contractor level as well as in laboratories. The working group sees the monitoring process as a collective understanding of the internal monitoring that happens within an organization, coupled with safety culture surveys, and safety culture assessments from external organizations. In FY 2021, the working group will look at ways to validate their findings and potentially pilot some programs to receive feedback from the field.

The group has also seen some great presentations on safety culture at the monthly SCIP meetings. They have taken that data and talked about what it means to the Department and started looking at taking those processes and cross walking them with Attachment 10 behaviors. This has helped identify some key potential areas to monitor. Within those areas, there are several different data feeds. The data feeds were binned into high-level categories. The team identified over 12 potential category areas to monitor. Organizations can then select from those bins and tailor that to their monitoring processes based on their needs.

1. Develop One-Page Roadmaps by first quarter
The working group is currently embarking on a list of one-pager roadmaps for each of the focus areas and behavioral attributes outlined in Attachment 10. The papers will include information on the attribute element, examples of the evidence that the different behaviors are being demonstrated, and data sources in those areas that have been identified that will help each organization glean information and collect evidence of demonstrating that behavior.
2. Develop monitoring tools
From January to March, the group intends to finalize those tools and seek feedback from anticipated users.
3. Socialize tools
From April to June, the group intends to work within the SCIP to structure and socialize those tools further (get more feedback from the SCIP, CoP, core members, Communications team, etc.).
4. Endorsement from SCIP
From July to September, the group wants to move towards getting an endorsement from the SCIP and recommend ways for the SCIP to consider institutionalizing this so there is consistent

safety culture monitoring in the field. This would help to keep everyone on the same page in terms of how the Department monitors and measures safety culture.

5. Report
Develop a report with recommendations.

Integration of Safety and Security Culture Working Group, Lee Grassley

It was realized early on that there was a "gap of knowledge" as to what the SCIP does and how it works towards moving the Department forward within the safety culture arena. The SCIP will need to do some additional training for those folks. Goals for this working group include:

1. Develop working group charter

   Mr. Grassley indicated that as a new working group, the first step was to develop a Charter. The group developed a Charter and have sent it up for review.

2. Finalize working group membership
   Another action item was to finalize the membership of the group as representation is missing from some of the program offices from which support might be helpful. Mr. Grassley will reach out to find additional support.

3. Determine what safety culture development is within the Department.
   Some group members have a stronger background than others, so the group sought a pared-down orientation of what safety culture training is within the Department. Mr. Hutton and Ms. Goeckner volunteered to assist the group in identifying areas where the group's efforts can be integrated.

   Ms. Goeckner sought clarification as to the training, remarking that she thought the training would be through the NTC, as some sort of a streamlined TLP 150 or TLP 200. Mr. Grassley stated that the logistics of how the training will be provided have not yet been finalized.

4. Consider developing case studies

   Mr. Grassley believes it would be helpful for the group to put together some case studies that show where the safety and security cultures have common attributes that are beneficial for the Department and for the mission as we move forward.

5. Research/examine similar efforts
   The group will identify the different organizations and publications that have examined these issues previously. The group has received several examples including the International Energy Agency. Canada's regulatory body has done a good job collecting and implementing these ideas across their organization. The group would like to collect and distribute that documentation to the different working groups and see how the information can support the efforts of the Department in this area. Mr. Grassley indicated that the group is looking for a place on the SCIP website to place these discoveries so that they may assist the Department.

6. Recommend updates for DOE G 450.4-1C, Attachment 10
   The group intends to identify the attributes that provide support to both the safety and security cultures. Eventually, the group would like to provide recommendations to the SCIP as to how we might officially incorporate those ideas that are attributes of both safety and security cultures that can be used within the Department.

The group has a number of questions to work through.

- Can we get this information into documents and guidance used throughout the Department?
- What is the leadership role?
- How can the Department benefit?

Mr. Grassley is seeking input from anyone on the SCIP as to missing actions or additional information. The group will be moving forward in the next quarter of FY 2021 to establish working group members and to see where the team can align within those objectives of the charter to provide goals for the next FY.

Leadership Working Group, Julie Goeckner

For FY 2021, the leadership group identified the following goals:

1. Increase the effectiveness of the SCIP/ISM Annual Meeting.
   This will be done by conducting a survey to collect feedback on things that went well or did not go well and any recommendations you may have. The information for the Annual Report is being compiled and will be distributed once finalized.

2. The second objective is to strengthen sponsorship of the SCIP working groups to ensure they are integrated and not stovepiped.
   This will be accomplished through a facilitated meeting with the SCIP leadership and working group chairs. The working group will identify permanent Executive Sponsors for the Communications and CoP working groups. Core members interested in becoming an Executive Sponsor, please contact Mr. Moury and Ms. Goeckner. If not, Mr. Moury will be reaching out to fulfil that role.

3. Engage leaders at all levels.
   The group plans to brief the S-2 on the proposed annual plan. They will also continue to have Federal and contractor organizations present Organizational Shares at the SCIP monthly meetings.

4. Update and finalize the SCIP Charter and Strategic Plan.
   The Charter is currently being updated and will be sent to the S-2 for approval upon completion.

5. Strengthen methods for communicating the SCIP purpose and accomplishments.
   This will be in collaboration with the SCIP working group chairs to identify proposed revisions for the DOE external-facing website. Once the revisions are proposed, changes will be made to the public facing website and PowerPedia in the January/March timeframe.

Ms. Goeckner added that the SCIP Executive Secretary now conducts introductory briefings for all new SCIP members. The briefing reviews the SCIP history, provides information on the Charter, Strategic Plan, and the Annual Plan, and what roles/responsibilities are in place for the core, supporting, and working group members. The next introductory briefing meeting will be conducted in the coming weeks.

Meeting Adjourned

Appendix: 2020 SCIP Annual Meeting Participants

Aaron Deckard	Christine Lee
Adam Janczewski	Christy Drewry
Adrienne King	Chuck Mansfield
Al MacDougall	Chuck Ramsey
Allison Finelli	Clay Messer
Amber Pentecost	Clint Wolfley
Ana González	Coby Moke
Anthony Pate	Colin Skowronski
Anthony Pierpoint	Connie Flohr
Beatriz Cuartas	Corrinne Jones
Betty Huck	Craig Welling
Bill Bookless	Crystal Barreto
Bill Miller	Cynthia Baebler
Bill Satterfield	Cynthia Williams
Bill Schleyer	Dan Middleton
Brad Davy	Dan Pellegrino
Brenda Hawks	Daniel Sigg
Brian Clifton	Danielle Kokulis
Brian Stickney	Danny Field
Brian Thomson	Darin Dobbins
Brian Vance	Dave Beltz
Brie Meyer	Dave Bowman
Bryan Bower	Dave Lowe
Bryan Coles	Dave Taylor
Caren Wenner	David Kelly
Caroline Polanish	David Nester
Carolyn Stith	David Paulson
Carrie Swafford-Bennett	Davyda Hammond
Catherine Zappia	Dawn Glapion
Cecelia Kenney	Deanna McCranie Alves
Charles Taylor	Debra Babylon
Cheryl Daily	Delwin Allred
Cheryl Macken	Denise Colwell
Cherylynne Williams	Devon Jackson
Chris Patton	Diane Sieracki

Doug Dearolph	Jeff Smith
Douglas Eddy	Jeffrey Carswell
Elizabeth Hale	Jenn Appleton
Eric Allred	Jennifer Henry
Evan Dunne	Jessy Innocent
Fausto Fernandez	Jill Zubarev
Fred Hidden	Jim Hutton
Garrett Smith	Jimmy Guerry
Gary Hurwitz	Joanna Livengood
Gary Olson	Joanna Serra
Geoffrey Beausoleil	Joel Bradburne
George Chiu	John Adachi
George Goode	John Blaikie
Glenette Alston	John Dupuy
Glyn Trenchard	John Eschenberg
Greg Meyer	John Leonard
Greg Sosson	John Longenecker
Gregory Schoenebeck	John Mcdonald
Gumi Mabvuta	John Walsh
Heather McMurdo	Johnny Moore
Hemant Patel	Jose Jimenez
Hiram Seth Whitmer	Josh Silverstein
Ike White	Juan Alvarez
Jack Anderson	Julie Goeckner
Jack Zimmerman	Julieanne Rhodes
James Dillard	Juston Fontaine
James Lund	Kallen Kidder
Jamie Aslin	Kami Lowry
Ja'Mil Welch	Karen Boardman
Jan Preston	Karen Phillips
Jay Glascock	Karen Wiemelt
Jay Mullis	Karl Moro
Jay Rhoderick	Kelly Beierschmitt
JD Dowell	Ken Rueter
Jeanette Yarrington	Kenneth Cooley
Jeff Allison	Kevin Donovan
Jeff Eichorst	Kevin Dressman
Jeff Miller	Kevin Kilp

Kevin Roberts	Nathan Martin
Kirk Lachman	Nelson Meinze
Kitty Thompson	Pamela Bailey
Kristin Creed	Pat Moss
Kristine Bowen	Pat Worthington
Lanette Adams	Patrice McEahern
Laura Wilkerson	Patricia Allen
Lawrence Butler	Patrick Sullivan
Lawrence Palmer	Paul Golan
Lee Grassley	Pernell Watson
Lynn Maestas	Philip Breidenbach
Lynn Serrato	Phill Keim
Marcus Hayes	Rick Denning
Maria Dikeakos	Rick Holmes
Mark Davis	Rick Verhaagen
Mark Gardner	Rizwan Shah
Mark Holowczak	Robert Boston
Mark Martinez	Robert Edwards
Mark Menezes	Robert Gordon
Martha Kass	Robert Wilkinson
Matt Moury	Rock Aker
Matt Uelen	Rod Hamilton
Melanie Gibson	Roger Grant
Melissa Otero	Roxanne VanVeghten
Michael Budney	Sam Marutzky
Michael Petrowski	Sarah Laylo
Michelle Keever	Sarah Rich
Michelle Reichert	Scott Boyd
Mickey Green	Scott Nicholson
Mike Berkenbile	Scott Wenholz
Mike Schlender	Sean Dunagen
Mike Weis	Shannon Holman
Mildred Lopez-Ferre	Sharon Kohler
Mindy Delong	Staci Monroe
Miranda Lovato-Chavez	Stephen Browning
Moriah Ferullo	Stephen Chiusano
Myles Hall	Stephen Schayer
Myrna Espinosa Redfield	Steve Martinez

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Steve Swenning	
Steve Terpening	
Steven Coleman	
Steven Lawrence	
Stuart MacVean	
Susan Morris	
Taylor Martinez	
Ted Pietrok	
Ted Sherry	
Ted Wyka	
Thom Mason	
Thomas Kohler	
Thomas McDermott	
Todd Lapointe	
Tom Daniels	
Tom Foster	
Tom Hiltz	
Tom Rizzi	
Tony Zappia	
Tracy Dillinger	
Tracy Estes	
Tricia Wood	
Ty Blackford	
Valerie McCain	
Wes Mouser	
Zack Smith	

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