

**U.S. Department of Energy  
Savannah River Operations Office**

**SAFETY CONSCIOUS WORK ENVIRONMENT  
SELF-ASSESSMENT**

**DOE-SR FINAL REPORT**



**July 2013**

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Date

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Date

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## **EXECUTIVE SUMMARY**

The self-assessment was conducted to evaluate the Safety Conscious Work Environment (SCWE) at the U.S. Department of Energy (DOE) Savannah River Operations Office (SR) federal organization and at WSI-SRS. This report documents the results of the self-assessment evaluation of the DOE-SR SCWE.

Through the use of structured interviews, document reviews, and field observations, the assessment team (Team) evaluated observed behaviors and beliefs related to SCWE and compared them against the expectations of excellence described within Attachment 10 of DOE Guide 450.4-1C, *Integrated Safety Management System Guide* (Reference 1). The review was performed on site July 15-19, 2013. The review was led by the DOE-SR Chief Engineer and assisted by 12 members of the DOE-SR staff, six members of WSI-SR staff, two members of the National Nuclear Security Administration (NNSA) and four outside technical experts.

The Team concluded safety is a high priority for the DOE-SR organization. Overall, the Team concluded the attitudes and beliefs of DOE-SR align with the Focus Areas and Attributes of Reference 1. However, some findings were identified that could result in adverse impacts if not addressed. The review resulted in the identification of seven negative observations, five positive observations and two general observations. Details concerning these findings are contained in Appendix A.

In summary, the assessment identified three significant themes that are affecting the DOE-SR SCWE :

1. Interviews indicate bullying and humiliation exists in pockets of the organization. Bullying was reported in interactions both upward and downward within the organization. If not addressed, this situation could eventually lead to conditions favorable to a chilled work environment. A contributing factor to this issue was an employee perception that DOE-SR has not effectively communicated its policies for a retribution-free environment.
2. The majority of staff interviewed had a favorable impression concerning management presence in the field, awareness of issues, and emphasis on safety. There was evidence of open and frequent communication, presence, and safety awareness enforced and followed-through upon.
3. In some instances, senior management does not consistently hold poor performers accountable for their level of performance.

Further, the team noted that no individuals expressed concerns of retaliation for raising safety concerns.

## **1. INTRODUCTION**

The purpose of the DOE-SR Self-Assessment is to conduct an assessment of the organization's SCWE. The DOE-SR Manager tasked the Team to review safety culture at the DOE-SR federal organization and at WSI-SRS. The review began on July 15, 2013, and ended on July 19, 2013. This report documents the results of the Team's evaluation of the DOE-SR SCWE.

### **1.1. Team Organization and Composition**

A single team was used to assess safety culture at the DOE-SR federal organization and at the Wackenhut Services, Inc. (WSI-SRS). Per Reference 2, the following positions were required:

- Team leader: The team leader was Michael Mikolanis.
- Advisor: Chuck Voldness, the team advisor, was selected from the NNSA Savannah River Field Office.
- Team executive: Tim Fischer, the team executive, was selected from the NNSA Savannah River Field Office.
- Safety culture subject matter expert (SME): The safety culture SME was Chuck Ramsey from Oak Ridge National Lab.
- Team members: A total of 21 team members were recruited from DOE-SR, WSI-SRS, and Savannah River Remediation LLC (SRR). The size of the team was based upon what was necessary to complete an assessment of two separate organizations within a 1 week timeframe. One additional team member having subject matter expertise in contracting was recruited to review the special topical area related to contract incentives.

Two additional positions were staffed to provide administrative and logistical support:

- Data Managers: There were two data managers – one to manage WSI-SRS data and another for DOE-SR data.
- Logistics: The final member of the self-assessment team assisted the team leader with logistical preparations and execution during the assessment.

### **1.2 Team Preparation**

Proper preparation of team members was essential to perform this review. Therefore, members were required to prepare for their individual assignments by attending training led by the review team leader. The training was experiential-based and designed to prepare team members for conducting interviews and scoring data according nuclear safety culture assessment standards that were prepared for this review. The training consisted of 5 modules and was delivered to all team members on June 18 and 19, 2013.

### 1.3 Review Methodology

Safety culture Focus Areas and Attributes are described in Attachment 10 of Reference 1. Reference 2 identifies nine SCWE-related Attributes as well as methodologies used to assess behaviors related to an organization's safety culture. The review was performed in accordance with the guidance of Reference 2.

Prior to commencing the self-assessment, DOE-SR enhanced its capability to perform safety culture reviews by consulting with commercial power expertise to benchmark their processes. Consistent with commercial practice, structured interviews were the primary method used to gather data. Structured interviews were conducted using 41 interview questions that have been correlated to the SCWE related ISM safety culture Focus Areas and Attributes. Working in two person teams, interviewers selected a 10-12 question subset for each 1 hour duration interview.

For review of DOE-SR, independence was provided by pairing the two SRR team members, a headquarters representative and the safety culture SME with the remaining DOE-SR team members. This resulted in two-teams of DOE-SR members, two teams of DOE-SR/SRR members, one team with DOE-SR/EM HQ members, and a final team of the safety culture SME/DOE-SR member conducting interviews on the DOE-SR organization. Further, the two NNSA members of the team conducted interviews on DOE-SR supervisors.

### 1.4 Categorization of Team Results

The team conducted interviews, performed document reviews and observed meetings to gather data related to SCWE behaviors. These behaviors/perceptions were rated as positive, negative, or neutral as follows:

**Positive Ratings:** Interview results that are perceived by the assessors to meet, or nearly meet, the standard of excellence established in the ISM Guide for that attribute.

**Negative Rating:** Interview results that are perceived by the assessors as being significantly below the standard of excellence established in the ISM Guide for that attribute.

**Neutral Rating:** Interview results that are perceived by the assessors as not supporting a positive or negative rating.

Rated organizational behaviors were correlated to the associated ISM safety culture Attributes and reviewed by the team to develop observations. Observations were categorized as follows:

**Positive Observation:** A consistently demonstrated behavior that meets, or nearly meets, the standard of excellence established in the ISM Guide.

**Negative Observation:** A consistently demonstrated behavior that significantly falls below the standard of excellence established in the ISM Guide.

**General Observation:** These are issues that appear SCWE-related, but lack significant themes or commonality.

## 2.0 ASSESSMENT RESULTS

The Team identified positive, negative and neutral results for each interview question, which resulted in a total of 281 comments related to the nine SCWE-related Attributes in Reference 2.

The team evaluated interview and meeting comments to develop observations. In developing observations, it is important to recognize that even single comments can be statistically significant. For example, nearly 15% of the DOE-SR staff was interviewed. Since each interview question was asked in about one quarter of the interviews; any given interview question would have been asked of about four percent of the DOE-SR staff. If a single interviewee provided a negative response to a particular interview question, it is possible that up to another 24 members of the DOE-SR population could share that perspective. Thus, the small sampling size of those interviewed can make even a small number of comments significant.

The following observations were identified.

### Positive Observations

- The majority of staff responded favorably regarding management presence, awareness, and emphasis on safety. There was evidence of open and frequent communication, presence, and safety awareness enforcement and follow-through.
- The perception of an environment of open communication was generally positive.
- Safety topics are integral to meetings.
- Management uses a variety of tools and techniques to encourage employees to offer innovative ideas, concerns, suggestions, and differing opinions
- Overall, employees felt comfortable raising questions, stopping work as needed and expressing opinions about something they think is not correct.

### Negative Observations

- Interview data revealed pockets of inconsistent field presence; engagement, awareness, and knowledge with respect to Management's visibility to DOE staff. Additional areas for improvement are senior management understanding of direction to address safety issues, including assignment of line management actions.
- DOE has not effectively communicated its policies for a retribution-free environment. Perception exists of unfairness and some degree of retribution for raising concerns on nonsafety-related item.
- Poor performers are not held accountable for their performance and in some instances supervisors did not provide clear performance expectations.
- Interviews indicate bullying and humiliation exists in pockets of the organization.

- In some organizations, mistakes were not always used as opportunities to learn.
- Once problems have been identified, many employees do not understand the capabilities resident in the software used to implement DOE's Corrective Action Program.
- There is a lack of, or lack of awareness of, DOE safety indicator tracking and trending (DOE checking DOE)

### General Observations

- There were numerous observations that identify the use of employee recognition methods; however interviews indicate that those means could be used to more effectively to highlight accomplishments.
- Organizations are divided and interactions are not occurring during work activities and across organizational boundaries.

Details concerning these observations are contained in Appendix A.

## **3.0 CONCLUSIONS**

In developing SCWE conclusions, it is important to remember that the observations made during the assessment were based upon observed behaviors and documented perceptions that may conflict with an organization's preconceptions. The Team did not attempt to validate whether DOE-SR staff perceptions were correct – the fact that these perceptions are held by some staff makes it true for them. Thus, it is up to DOE-SR management to evaluate the observations documented within this report to determine the validity of employee perceptions and, if necessary, to develop and implement corrective actions.

The Team concluded that safety is a high priority for the DOE-SR organization. No individuals expressed concerns of retaliation for raising safety concerns. Based upon interview results, management's Cultural Improvement initiative and training on the Power of Connecting have had a positive effect upon the DOE-SR safety culture. Overall, the Team concluded the attitudes and beliefs of DOE-SR align with the Focus Areas and Attributes of Reference 1.

The assessment identified three significant themes (one positive and two negative) that are affecting the DOE-SR SCWE :

1. Interviews indicate bullying and humiliation exists in pockets of the organization. Bullying was reported in interactions both upward and downward within the organization. If not addressed, this situation could eventually lead to conditions favorable to a chilled work environment. A contributing factor to this issue was an employee perception that DOE-SR has not effectively communicated its policies for a retribution-free environment.
2. The majority of staff interviewed had a favorable impression concerning management presence in the field, awareness of issues, and emphasis on safety. There was evidence of

open and frequent communication, presence, and safety awareness enforced and followed-through upon.

3. In some instances, senior management does not consistently hold poor performers accountable for their level of performance.

#### **4.0 REFERENCES**

- 1) DOE Guide 450.4-1C, *Integrated Safety Management System Guide*
- 2) *Safety Conscious Work Environment Self-Assessment Guidance*, Revision G

# DOE-SR Results

## Appendix A

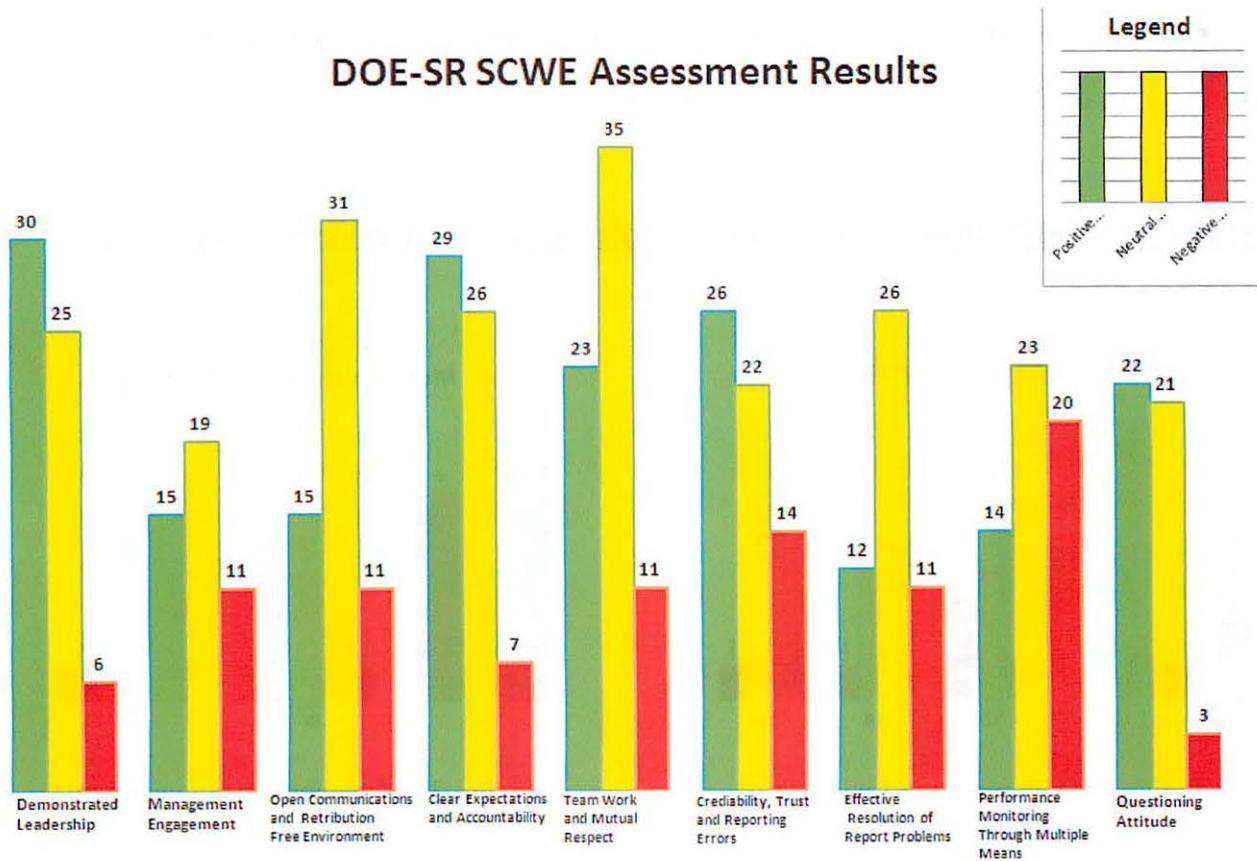


Figure 1: Overall SCWE Interview Results

Figure 1 illustrates the breakout (by ISM safety culture Attribute) of the number of positive, neutral, and negative responses to interview questions. Figures 2 through 10 illustrate the breakout of the number of positive, neutral and negative responses for each interview question related to a particular ISM safety culture attribute. For example, figure 10 illustrates the response breakout for the five questions asked under the ISM safety culture Attribute of “Questioning Attitude.” The questions for each Attribute are included in Appendix B, which was reproduced with permission of Utilities Service Alliance.

Significant positive results were observed for Demonstrated Leadership; Clear Expectations and Accountability; Credibility, Trust and Reporting Errors; and Questioning Attitude, though there are still opportunities for improvement in specific aspects of these areas. The large number of negative responses for Performance Monitoring Through Multiple Means Attribute was largely due to the fact that most employees interviewed were unaware of DOE-specific performance indicators related to safety.

The Team identified positive, negative and neutral responses for each interview question, which resulted in a total of 281 comments related to the nine SCWE-related Attributes. Note the number of comments does not equal the sum of positive, neutral and negative responses because

- neutral responses rarely resulted in a comment and

- a single positive/negative response could generate more than one comment.

## Attribute Analysis

### Attributes 1 and 2: Demonstrated Safety Leadership and Management Engagement

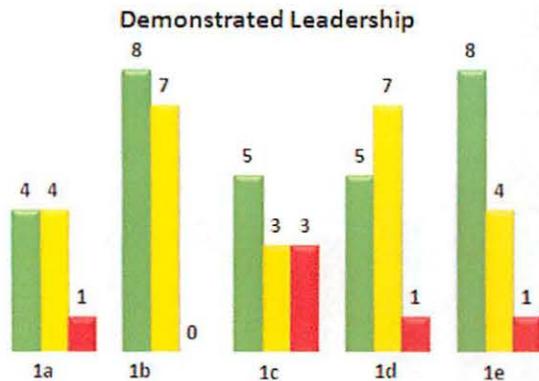


Figure 2 Demonstrated Leadership Interview Results

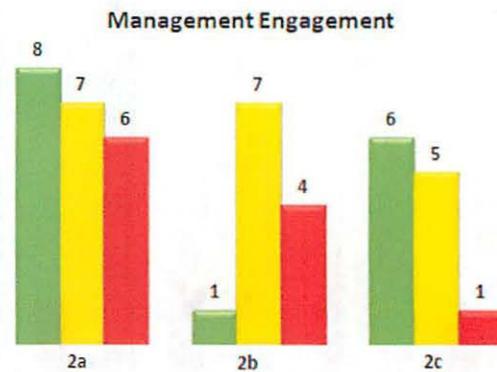


Figure 3: Management Engagement Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figures 2 and 3, which resulted in 66 comments related to these Attributes. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (e.g., 1a, 1b, 1c, 2a, 2b, etc). The referenced interview questions are contained in Appendix B.

The following observations were identified.

#### Positive Observation

The majority of staff responded favorably regarding management presence, awareness, and emphasis on safety. There was evidence of open and frequent communication, presence, and safety awareness enforcement and follow-through.

#### Supporting data from interviews and observations

- Regular meetings between senior management and line management. Frequent meetings are the venue for transmission and discussion of safety items and issues.
- Management displays responsiveness through multiple venues such as: Emails, meetings, walk-downs.
- Multiple interviews suggest that conversations between managers and employees involving work activities are taking place.

- Managers have been observed in the field identifying safety concerns on walk-downs.
- Managers have followed through with concerns raised and have initiated 'stopped work'/timeouts.
- Interviewees talked about hearing managers discuss safety, observe them conducting safety briefs, and ensuring their employees are properly equipped to work safely.

### Negative Observation

Interview data revealed pockets of inconsistent field presence; engagement, awareness, and knowledge with respect to Management's visibility to DOE staff. Additional areas for improvement are senior management understanding of direction to address safety issues, including assignment of line management actions.

### Supporting data from interviews and observations

- Multiple interviews reveal that they felt management isn't regularly seen conducting walk-throughs and observations.
- One interview cited concern about clarity of direction in regards to non-routine tasks. In fact, they went to their fellow employees for clarification.
- Internal to DOE, some Senior Managers haven't completed Contracting Officer Representative training as required.
- Very little direct sharing of feedback. When Facility Representatives, Managers, and Directors see things in the field, the information is given as a formal report to contractors, but there's no sharing back to the DOE work-force as to what's going on.
- Safety Topics not always brought up in weekly meetings. When it was brought up by an employee, he didn't feel it was adequately addressed so he quit bringing it up. Some interview responses pointed toward a lack of management visibility/engagement. Poor communication between different levels (flow of information from employees up to management, and also from management down to employees).
- Management not coming out to the field to obtain knowledge regarding group or area projects.

### Attribute 3: Open Communications and Retribution Free Environment

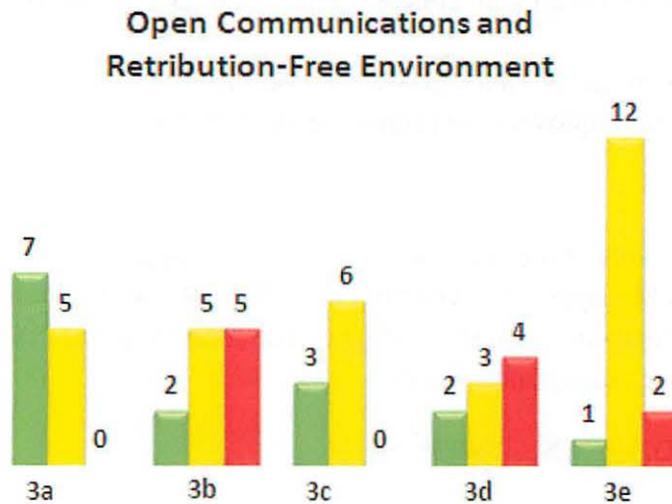


Figure 4: Open Communications and Retribution-Free Environment Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 4, resulting in 34 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 3a, 3b, 3c, 3d, 3e). The referenced interview questions are contained in Appendix B.

The following observations were identified.

#### Positive Observation

The perception of an environment of open communication was generally positive.

#### Supporting data from interviews and observations

- There were multiple interviewees indicating management is open to questions and provide honest feedback.
- The perception that employees can ask questions was prevalent, and that answers are open and honest.
- Staff felt empowered to raise issues and that issues would be resolved fairly.
- Routine monthly and weekly meetings offer venues for employees to ask questions.

#### Negative Observation

DOE has not effectively communicated its policies for a retribution-free environment. Perceptions exist of unfairness and some degree of retribution for raising concerns on nonsafety-related items.

Supporting data from interviews and observations

- Interview results indicate that some employees feel retribution is possible for raising concerns, taking the form of getting passed over for advancement.
- One employee felt that the EEO system favors management and if you use it to raise concerns, you get “tagged” (negatively labeled).
- Comment that HR favors management; a workplace violence issue was investigated and the outcome was not perceived as fair and equitable.
- Perception that the DOE policy on anti-retribution and anti-harassment is not well understood.
- Fair resolution of conflict, especially regarding telework, flexi-work, and leave administration issues was noted as a problem.

Attribute 4: Clear Expectations and Accountability

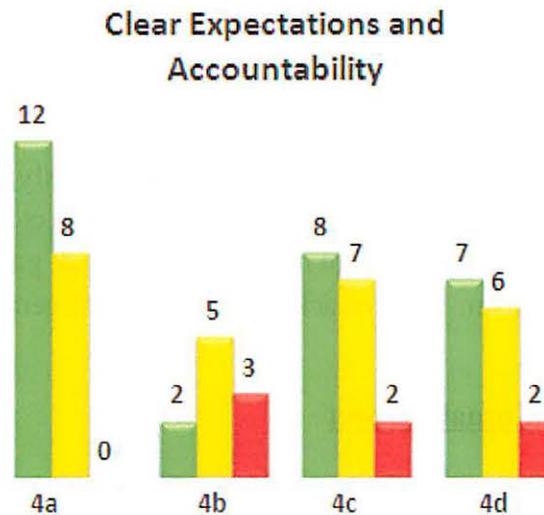


Figure 5: Clear Expectations and Accountability Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 5, which resulted in 27 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 4a, 4b, 4c, 4d). The referenced interview questions are contained in Appendix B.

The following observations were identified.

Negative Observation

Poor performers are not held accountable for their performance and in some instances supervisors did not provide clear performance expectations.

### Supporting data from interviews and observations

- Two interviews revealed instances where non-performing employees' work was passed to other employees instead of any kind of disciplinary action taken/corrective action taken.
- One interview indicated a Team Lead filled in a void in defining performance expectations instead of the manager taking responsibility of the people in their organization. "Without Team Leader we'd be lost."
- Poor performers are transferred into other organizations.
- There is no awareness of employees' roles in SCWE.

### General Observation

- There were numerous observations that identify the use of employee recognition methods; however interviews indicate that those means could be used to more effectively to highlight accomplishments.

### Supporting data from interviews and observations

- Quarterly recognition, All-hands, Employee of the year, Performance feedback, Star Achiever
- "Thank you" Store award greatly appreciated
- The recognition ceremony was lacking in substance. Previously, they used to address what each nominee did. Now people are nominated, job title, etc. "Check-box feeling."
- People wanted to know *why* people were nominated/awarded; gave more insight.
- Some felt this was favoritism. Lack of acknowledgement of general employees' contributions.

### Attribute 5: Teamwork and Mutual Respect

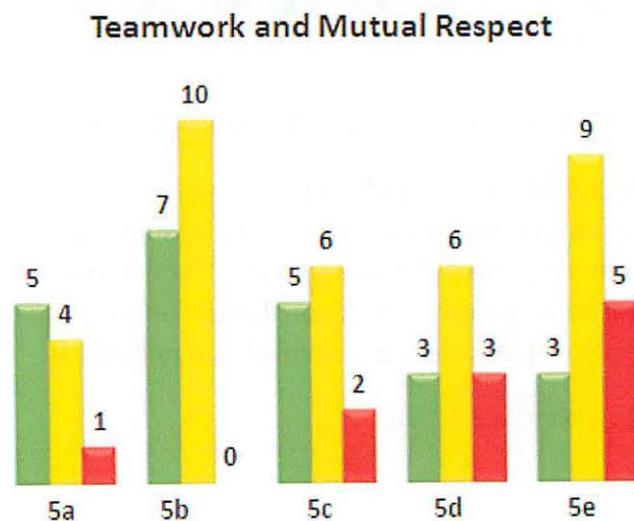


Figure 6: Teamwork and Mutual Respect Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 6, which resulted in 36 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 5a, 5b, 5c, 5d, 5e). The referenced interview questions are contained in Appendix B.

The following observations were identified.

#### Positive Observation

Safety topics are integral to meetings.

#### Supporting data from interviews and observations

- All meetings include safety topics first.
- An open forum is encouraged to discuss safety issues
- Safety topics always on agendas

#### Negative Observation

A climate of bullying and humiliation was displayed in various pockets distributed through the organization.

#### Supporting data from interviews and observations

- Bullying has been observed in interactions upward and downward within the organization between manager to employee, employee to manager (e.g. use of grievance process to bully managers into not taking action on poor performers), and employee to employee situations.
- Open door policies published but not respected.
- Senior employees have been observed bullying junior employees because of their softer demeanor in contractor interactions.
- Supervisor displaying bullying due to differences in political views.

#### General Observation

Organizations are divided and interactions are not occurring during work activities and across organizational boundaries.

#### Supporting data from interviews and observations

- Management personality clashes causing divisions
- Pockets of inequity in training, travel, and flexible work schedules degrade mutual respect
- Interviews revealed undercurrents of favoritism displayed by the leadership team.

## Attribute 6: Credibility, Trust and Reporting Errors

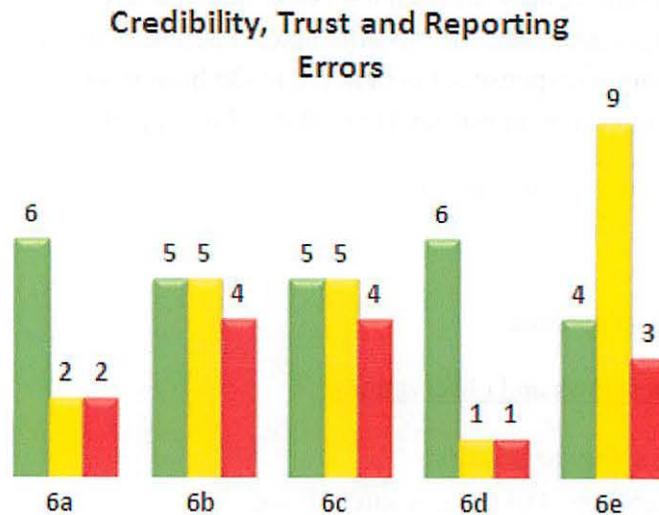


Figure 7: Credibility, Trust and Reporting Errors Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 7, which resulted in 40 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 6a, 6b, 6c, 6d, 6e). The referenced interview questions are contained in Appendix B.

The following observations were identified.

### Positive Observation

Management uses a variety of tools and techniques to encourage employees to offer innovative ideas, concerns, suggestions, and differing opinions.

### Supporting data from interviews and observations

- Across multiple interviews, a variety of encouragement mechanisms were cited (e.g. email solicitation for ideas/solutions, letters of appreciation, DPO process, “thank you” awards, promotion/communication of solutions.)
- A substantial majority of interviewees describe an open communicative relationship that promotes idea/information exchange.
- Managers and supervisors respond to employee questions in an open and honest manner. Several instances were noted of employees showing appreciation for open discussions with their immediate management. Frequent opportunities to attend meetings such as: Buzz Sessions, All-Hands, round tables, to voice concerns to different levels of management.

## Negative Observation

In some organizations, mistakes were not always used as opportunities to learn.

### Supporting data from interviews and observations

- Managers drew hasty conclusion and blamed without understanding the real issue.
- DOE-Contractor relationship perceived as blaming each other vs. using for improving the process.
- Ineffective use of Lessons Learned for one group.
- Interoffice blaming; however, it is being addressed by recent Cultural Growth training efforts.
- Several interviews indicated the “Power of Connecting” training is having a positive impact.

### Attribute 7: Effective Resolution of Reported Problems

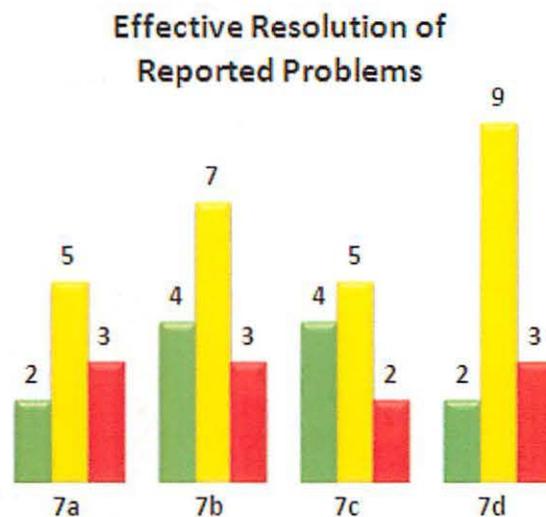


Figure 8: Effective Resolution of Reported Problems Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 8, which resulted in 21 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 7a, 7b, 7c, 7d). The referenced interview questions are contained in Appendix B.

The following observation was identified.

### Negative Observation

Once problems have been identified, many employees do not understand the capabilities resident in the software used to implement DOE’s Corrective Action Program.

#### Supporting data from interviews and observations

- STAR is not used by some.
- Lack of awareness of whether Corrective Actions were taken or not.
- Lack of awareness of how Effectiveness Review Process worked.
- Facility Representatives and Facility Engineers understand the process; However, people that don’t use it routinely don’t know much about it and are uncertain what the system is telling them.
- 2 individuals of 11 interviewed said they haven’t used Corrective Action System.

### Attribute 8: Performance Monitoring Through Multiple Means

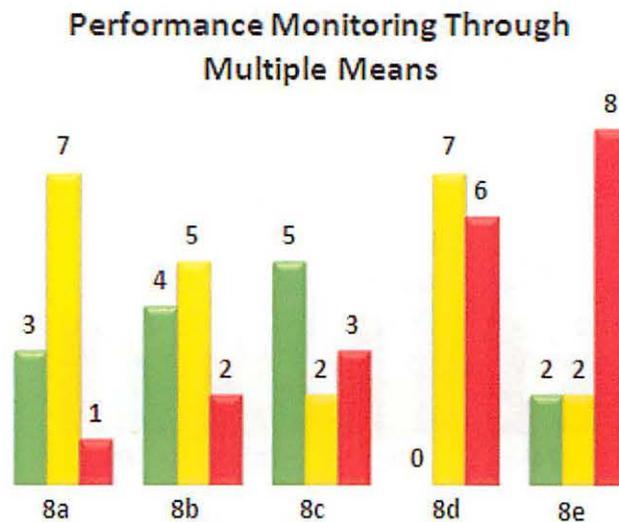


Figure 9: Performance Monitoring Through Multiple Means Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 9, which resulted in 32 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 8a, 8b, 8c, 8d, 8e). The referenced interview questions are contained in Appendix B.

The following observation was identified.

### Negative Observation

There is a lack of DOE safety performance indicators and trending data that evaluates DOE performance, especially as related to DOE performing their safety oversight function of the site office and the contractor. Analysis, verification, and follow-up of contractor issues and associated trending data were perceived as an area needing improvement. Ineffective management of safety issues and associated data bases, whether the actions are for DOE or for the contractor, send a negative safety message to employees.

### Supporting data from interviews and observations

- The following examples are provided. In this case, there are examples that relate to DOE indicators and issues, and there are examples that relate to contractor indicators and issues. In some cases, when reviewing the data, it was not clear which bin the statement was specific to, but there was clearly enough data to warrant additional management attention to both DOE and contractor performance issues and indicators.
- Six employees said they cannot recall, have not seen, or are not aware of safety indicators, graphs, metrics, or trending data related to DOE safety performance or performance of DOE safety oversight functions. (This was also a conclusion in a separate performance indicator review that was performed in conjunction with this assessment, and in a recent assessment of the DOE-SR QA Program.
- When trending is observed, some employees noted that either there was no analysis on the data or that the trending methods were ineffective. This includes the trending of both significant and of minor issues.
- STAR is not effectively being used to follow-up or trend issues.
- Indicators used tend to be lagging, vice leading.
- Several employees indicated that DOE-SR is generally good at identifying contractor safety issues, but does not do well in trending, driving the issues to closure, and ensuring that closure was effective.

## Questioning Attitude

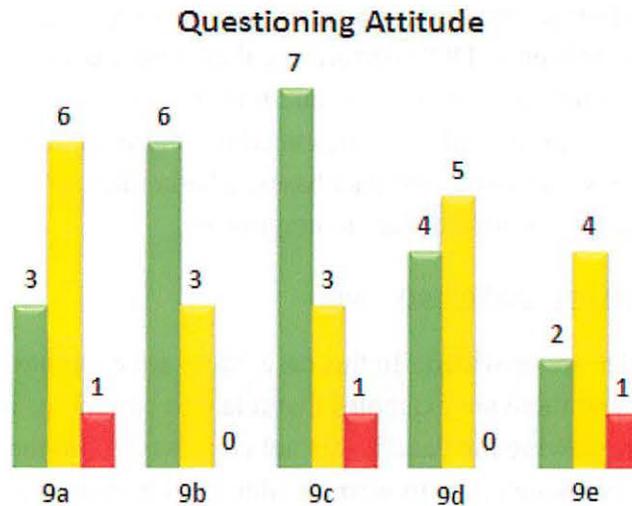


Figure 10: Questioning Attitude Interview Results

Data was collected through observations and interviews with a cross section of personnel. Positive, negative and neutral results for each interview question are illustrated in Figure 10, which resulted in 25 comments related to this Attribute. The interview question related to each positive, neutral and negative response set is denoted at the bottom of each figure (i.e., 9a, 9b, 9c, 9d, 9e). The referenced interview questions are contained in Appendix B.

The following observation was identified.

### Positive Observation

Overall, employees felt comfortable raising questions, stopping work as needed and expressing opinions about something they think is not correct.

### Supporting data from interviews and observations

- Employees do not hesitate to utilize the stop work procedure in the field and even in meetings. Employees feel comfortable calling a time-out or stop-work if they need to. Some have called time-outs and had no problem doing this.
- Various meetings being used to encourage dialog or debates on safety issues (e.g., peer reviews, positive feedback from management, brown bag session addressing safety topics).
- Questioning attitudes are very strong within the Facility Representative program.

# Appendix B

## Interview Questions Categorized by ISM SCWE Attribute

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### **Attribute 1: Demonstrated Leadership**

- 1a. How effectively and clearly does senior management give direction? Examples? Please explain.
- 1b. Does senior management help employees understand current safety issues and safety improvement focus areas? Examples? Please explain.
- 1c. Does your manager come out to observe conditions in the field and to confirm issues related to safety are being addressed? Examples? Please explain.
- 1d. Does your supervisor support senior management policies and direction? Examples? Please explain.
- 1e. Do your Line managers' actions demonstrate their commitment to safety? Examples? Please explain.

### **Attribute 2: Management Engagement**

- 2a. Does management really know what goes on around the workgroup and areas? Examples? Please explain.
- 2b. Typically, do the managers and supervisors discuss their field observations in detail with the group they observed once the observation is complete? Examples? Please explain.
- 2c. When out in the field, do leaders typically reinforce safety standards and display behaviors that reflect safety as an overriding priority? Examples? Please explain.

### **Attribute 3: Open Communications and Retribution Free Environment**

- 3a. Do managers and supervisors respond to employee questions in an open and honest manner? Examples? Please explain.
- 3b. When management resolves conflicts, are the outcomes typically perceived to be fair and reasonable? Examples? Please explain.
- 3c. When needed, are there fair and objective methods available to resolve conflict and unsettled differing professional opinions? Examples? Please explain.
- 3d. At your facility/work-group, explain how personnel understand that harassment and retaliation for raising safety concerns will not be tolerated? Examples? Please explain.
- 3e. Are claims of discrimination investigated and necessary corrective actions taken in a timely manner? Examples? Please explain.

#### **Attribute 4: Clear Expectations and Accountability**

4a. If a procedure or activity is incorrect, are you able to call a time out or stop work and report the problem? Examples? Please explain.

4b. Do managers and supervisors recognize excellent performance and hold personnel accountable for less-than-adequate performance? Examples? Please explain.

4c. How well do employees know what standards of behavior and work performance are expected? Examples? Please explain.

4d. How does your supervisor reinforce his/her expectations for the performance of your assigned safety responsibilities? Examples? Please explain.

#### **Attribute 5: Teamwork and Mutual Respect**

5a. How well does the workforce demonstrate a proper focus on safe work practices and is it reinforced through peer coaching and co-worker discussions? Examples? Please explain.

5b. Do work teams commonly focus on safety messages during pre-job briefs, walk-down discussions with work management planners, or other team meetings? Examples? Please explain.

5c. How well are you informed about other's work activities that could affect the safe performance of your work? Examples? Please explain.

5d. Do both individuals and teams work across organizational boundaries to maintain a clear focus on working safely? Examples? Please Explain.

5e. Are bullying or humiliating behaviors clearly not tolerated or demonstrated by leaders? Examples? Please explain.

#### **Attribute 6: Credibility, Trust and Reporting Errors**

6a. When identifying and solving problems, how are employees encouraged to offer innovative ideas, concerns, suggestions, and differing opinions? Examples? Please explain.

6b. How are mistakes used as opportunities to learn rather than to blame? Examples? Please explain.

6c. Are managers, supervisors and other leaders willing to accept performance feedback on themselves and change their behavior? Examples? Please explain.

6d. Do managers and supervisors respond to employee questions in an open and honest manner? Examples? Please explain.

6e. How do supervisors and managers encourage and show appreciation for safety issue and error reporting? Examples? Please explain.

## **Attribute 7: Effective Resolution of Reported Problems**

7a. In your experience, how well are problems recognized, thoroughly investigated and promptly mitigated/resolved? Examples? Please explain.

7b. How well are you informed about corrective actions taken (including results) to correct problems that affect your workgroup? Examples? Please explain.

7c. Are workers encouraged to solve problems or invited to participate in performance improvement processes? Examples? Please explain.

7d. To ensure problems are resolved, does the organization conduct effectiveness reviews of corrective actions? Examples? Please explain.

## **Attribute 8: Performance Monitoring Through Multiple Means**

8a. Has your company (or federal agency) implemented a corrective action management program where even minor issues can be identified and flagged for management's attention? Examples? Please explain.

8b. Do employees and managers effectively identify conditions or behaviors that have the potential to degrade safety, operations, or safe work performance? Examples? Please explain.

8c. Do behaviors and interactions encourage the raising of safety issues or differing professional opinions? Examples? Please explain.

8d. How well are safety indicators tracked and trended to provide an accurate representation of company (or federal agency) performance? Examples? Please explain.

8e. How does the company (or federal agency) communicate the results of safety indicator trending to applicable personnel? Examples? Please explain.

## **Attribute 9: Questioning Attitude**

9a. How well are employees trained and empowered to call a time out or stop work? Examples? Please explain.

9b. How is dialogue and debate encouraged – as well as modeled by management -when evaluating issues related to safety? Examples? Please explain.

9c. When employees express an opinion about something they think is not correct, do supervisors and managers encourage this questioning attitude and foster constructive discussions on safety matters? Examples? Please explain.

9d. Is a questioning attitude during meetings encouraged? Examples? Please explain.

9e. How is dialogue and debate encouraged- as well as modeled by management – when evaluating issues related to safety? Examples? Please explain.