

**U.S. Department of Energy
Savannah River Operations Office
SAFETY CONSCIOUS WORK ENVIRONMENT
SELF-ASSESSMENT**

WSI FINAL REPORT



July 2013

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Date

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Date

Team Leader

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 WSI-SRS 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 WSI-SRS. Overall, the Team concluded the attitudes and beliefs of WSI-SRS 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, three significant themes are affecting the WSI-SRS SCWE:

1. Interviews indicate bullying and humiliation exists in various pockets among the administrative staff. If not addressed, this situation could eventually lead to conditions favorable to a chilled work environment.
2. In general, employees can approach management with safety related issues without concern for retribution; however, some interviews indicate employees may not bring up issues due to management remonstrance of inadequate budget. Further, employees do not feel encouraged or comfortable raising non-safety issues and concerns to supervisors.
3. Insufficient budget and the need to coordinate corrective actions with other contractors represent barriers to effective resolution of reported problems and have led to an employee perception that issues are being heard but not acted upon.

The Team assessed the SCWE and notes that no individuals expressed concerns of retaliation for raising safety concerns.

1. INTRODUCTION

The purpose of the 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 self-assessment team's evaluation of the WSI-SRS SCWE.

1.1. Team Organization and Composition

A single team was used to assess safety culture at the DOE-SR federal organization and at 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 Site Office.
- Team executive: Tim Fischer, the team executive, was selected from the NNSA Savannah River Site 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 within 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, WSI-SRS 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 forty one interview questions that have been correlated to the 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 WSI-SRS, an appropriate degree of independence was provided by pairing six WSI-SRS team members with four DOE-SR team members. This resulted in two WSI-SRS member pairs, one DOE-SR member pair, and two pairs of WSI-SRS/DOE-SR members conducting interviews on the WSI-SRS organization.

1.4 Categorization of Team Results

The team conducted interviews, performed document reviews, observed meetings and work performed in the field 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 behavior 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 362 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 7% of the WSI-SRS 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 two percent of the WSI-SRS staff. If a single interviewee provided a negative response to a particular interview question, it is possible that up to another 49 members of the WSI-SRS 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 from the interviews.

Positive Observations

- Management is viewed as being visible, engaged and communicating regularly on safety issues and their resolutions. Management displays behaviors where safety issue awareness is demonstrated, enforced, continuously evaluated and issues resolved.
- Employees can approach management with safety related issues without concern for retribution. Employees are encouraged to have open dialogue and debate on issues related to safety and to raise questions during meetings. Management places a high priority on safety concerns and addresses them fairly through established processes.
- Teamwork and cross functional communications are institutionalized within the organization and Safety discussions/topics are integral to meetings and daily operations.
- Overall, credibility, trust, and reporting of errors are valued in the organization.
- WSI-SRS effectiveness reviews are seen as valuable and serve to ensure corrective actions satisfactorily address reported problems.

Negative Observations

- In some areas, management could improve their field presence in order to better appreciate the level of detail required to perform specific tasks.
- Employees do not feel encouraged or comfortable raising non-safety issues and concerns to supervisors.
- Employees readily identified multiple methods of employee award recognition; however, there are pockets of protective force employees that believe good performance is not consistently recognized.
- Interviews indicate bullying and humiliation exists in various pockets among the administrative staff.
- Employees perceive a degree of favoritism exercised by Management.
- Budget and the need to coordinate with other contractors are perceived significant barriers to timely resolution of reported problems.
- WSI-SRS employees are encouraged to participate in performance improvement processes. However, there is a perception that employee opinions/recommendations are not being considered for implementation.

General Observations

- Safety expectations are well-defined, but other processes for establishing expectations are inconsistent. This may contribute to a perception among non-protective force staff that WSI's safety focus is overriding other important areas needing focus (i.e., training, morale, and work performance).
- There is inconsistent dissemination of safety trending data to employees, particularly bargaining unit employees (field).

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 WSI-SRS staff perceptions were correct – the fact that these perceptions are held by some staff makes it true for them. Thus, it is up to WSI-SRS management to evaluate the observations documented within this report to determine the validity of employee perceptions.

The Team concluded safety is a high priority for the WSI-SRS organization. No individuals expressed concerns of retaliation for raising safety concerns. Overall, the Team concluded the attitudes and beliefs of WSI-SRS align with the Focus Areas and Attributes of Reference 1.

The Team identified three significant themes that are affecting the WSI-SRS SCWE:

1. Interviews indicate bullying and humiliation exists in various pockets among the administrative staff. If not addressed, this situation could eventually lead to conditions favorable to a chilled work environment.
2. In general, employees can approach management with safety related issues without concern for retribution; however, some interviews indicate employees may not bring up issues due to management remonstrance about inadequate budget. Further, employees do not feel encouraged or comfortable raising non-safety issues and concerns to supervisors.
3. Insufficient budget and the need to coordinate corrective actions with other contractors represent barriers to effective resolution of reported problems and have led to an employee perception that issues are being heard but not acted upon.

4.0 REFERENCES

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

WSI Results

Appendix A

DOE-SR SCWE Assessment Results

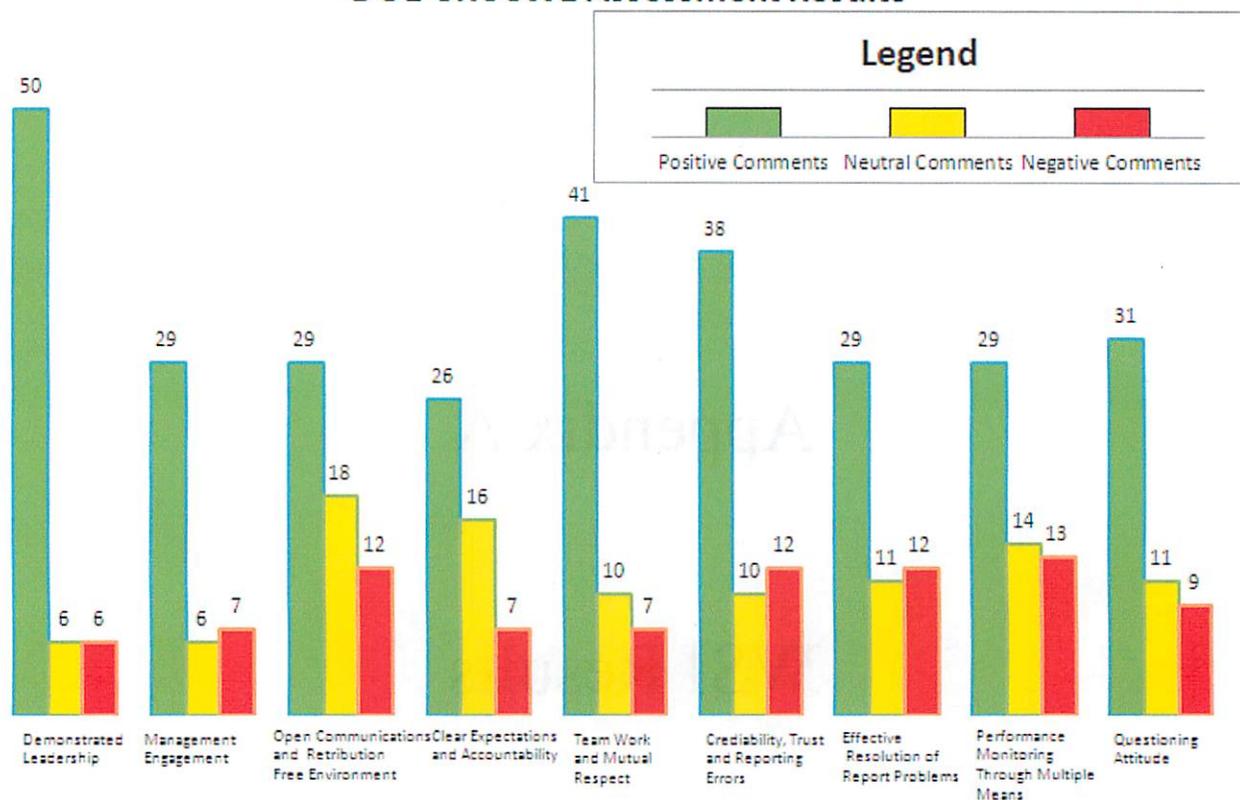


Figure 1: Overall SCWE Interview Results

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.

As indicated in Figure 1, significant positive results were observed for all ISM SCWE Attributes; however, opportunities for improvement were identified in most all areas, particularly in “Open Communications and Retribution-free Environment,” “Credibility, Trust, and Reporting Errors,” “Effective Resolution of Reported Problems,” and also in “Performance Monitoring through Multiple Means,” where ~1-in-5 responses were regarded as negative. This is reflected in the two themes noted in the main body of the report.

The Team identified positive, negative and neutral responses for each interview question, which resulted in a total of 362 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

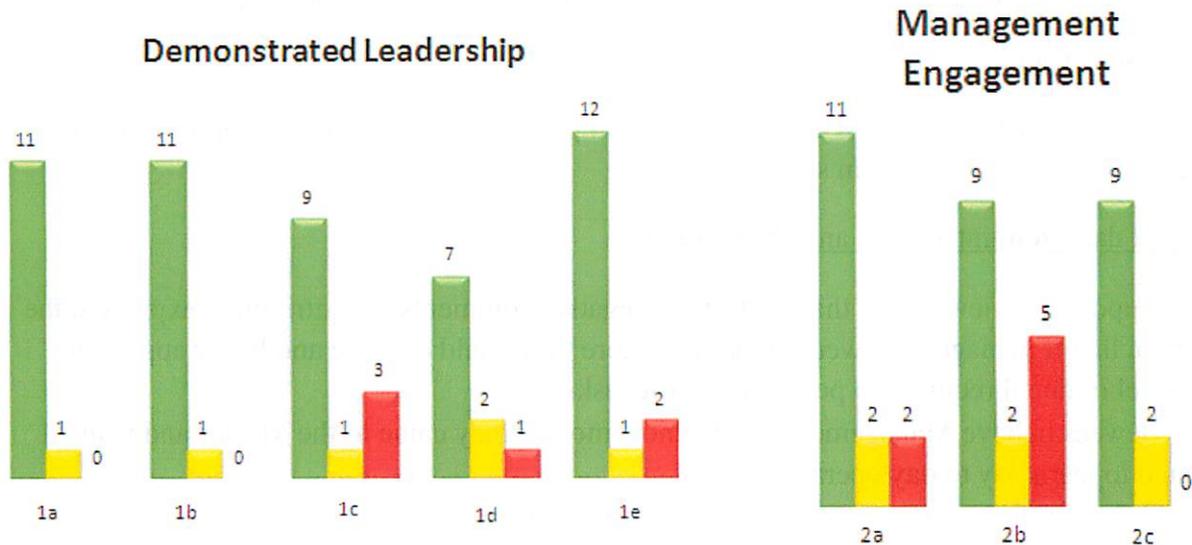


Figure 2 Demonstrated Leadership Interview Results

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 88 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

Management is viewed as being visible, engaged and communicate regularly on safety issues and their resolutions. Management displays behaviors where safety awareness is demonstrated, enforced, continuously evaluated and issues resolved.

Supporting data from interviews and observations

- Multiple examples given of management presence in the field.
- Potentially unsafe practices are challenged by management and corrections are made on the spot

- Safety is addressed during regular meetings.
- Safety issues that were raised were immediately addressed by management.
- All levels of management convey safety issues and observations through meetings, Muster, post checks, and management walk downs.
- Supervision is a good role model for safety; work together with a safety mindset.
- Management open door policy.
- Open communications between management and protective force is encouraged.

Negative Observation:

In some areas, management could improve their field presence in order to better appreciate the level of detail required to perform specific tasks.

Supporting data from interviews and observations

- Based upon interviews more than half of the negative comments for Attribute 2 expressed the opinion that if management were in the field more they could observe and better appreciate the level of detail required to perform specific tasks.
- Interviewees believe Management would know more if they came to the Muster and walked around to learn day to day operations
- Interviewees felt there was too much time between management visits
- Management doesn't critique job performance and provide feedback

Attributes 3 and 9: Open Communications and Retribution Free Environment and Questioning Attitude

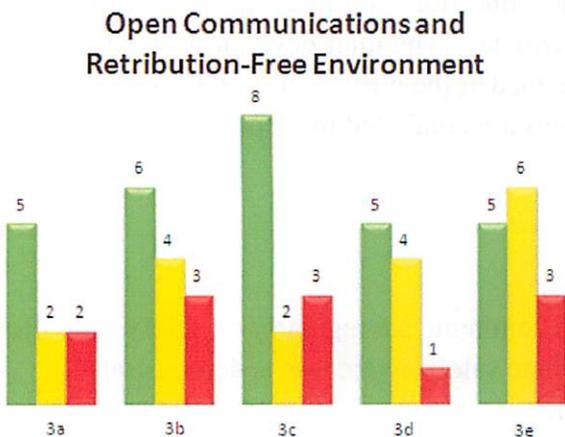


Figure 4: Open Communications and Retribution-Free Environment Interview Results

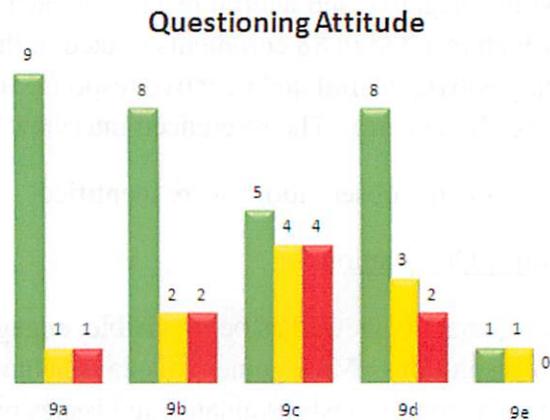


Figure 5: Questioning Attitude Interview Results

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 Figures 4 and 5, resulting in 78 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., 3a, 3b, 3c, 9a, 9b, etc). The referenced interview questions are contained in Appendix B.

The following observations were identified.

Positive Observation

Employees can approach management with safety related issues without concern for retribution. Employees are encouraged to have open dialogue and debate on issues related to safety and to raise questions during meetings. Management places a high priority on safety concerns and addresses them fairly through established processes.

Supporting data from interviews and observations

- Interviews indicate employees feel trained and empowered to call a time out or stop work.
- Interview data suggests employees feel comfortable raising safety concerns with management.
- Management recognized housekeeping issue, took initiative and tripping hazards were rectified.
- Employee involved with BBS program feels the ability to raise concerns without harassment is well engrained in the workforce.
- Aviation department recognizes proactive implementation of a clear questioning attitude approach to safety
- Variety of other meetings where open dialogue or debate on safety issues occur
- Staff and public meetings, all hands meetings, and monthly safety meetings
- A conflict was resolved fairly because management stuck to procedure.
- Prompt response to safety issue with a ladder.
- Employees indicated they understand the methods available to raise concerns and resolve issues.
 - ISC/ESC
 - Dispute Resolution process
 - Chain of Command
 - Safety department
 - Stop work and time out
 - Hotline
 - Many interviewees felt comfortable going directly to the General Manager

Negative Observation

Employees do not feel encouraged or comfortable raising non-safety issues and concerns to supervisors.

Supporting data from interviews and observations

- One interviewee felt that if they had a non-safety issue it wasn't worth raising it for fear of retribution - best to keep head down to keep their job
- A supervisor expressed concern about raising non-safety issues with senior Management and indicated his level of comfort is based on the individual he is dealing with.
- Employees feel there is no reason to raise non-safety concerns because managers won't react or raise the concerns to senior management.
- An interviewee stated, "70% of managers respond in a sarcastic way to non-safety issues and express an attitude of do as I say and don't question."
- One employee expressed concern about raising non-safety issues for fear of impact on job security. Feels she can't bring certain issues to chain of command, is not comfortable that she would not be professionally harmed
- One interviewee felt that if they raised a non-safety issue, they would feel like it would "be blown out of the water"
- Leak in PPD gym's roof, was brought to supervisor's attention, supervisor had someone come out, but issue has not been resolved due to funding.

Attribute 4: Clear Expectations and Accountability

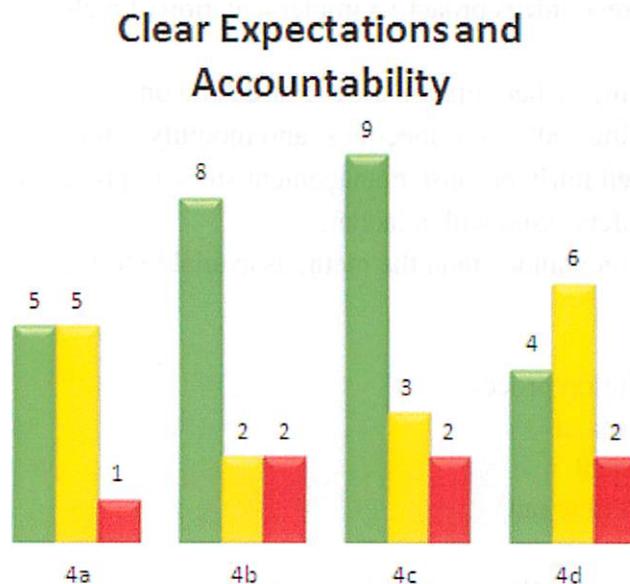


Figure 6: Clear Expectations and Accountability Interview Results

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 6, resulting in 30 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

Employees readily identified multiple methods of employee award recognition; however, there are pockets of protective force employees that believe good performance is not consistently recognized.

Supporting data from interviews and observations

- Poor performance gets more focus and stands out, overshadowing good performance – keeping it from being recognized
- Recognition is not always based on performance
- Multiple interviews revealed a belief that management exercises favoritism in employee recognition.

General Observation

Safety expectations are well-defined, but processes for establishing expectations are inconsistent. This may contribute to a perception among non-protective force staff that WSI's safety focus is overriding other important areas needing focus (i.e., training, morale, and work performance).

Supporting data from interviews and observations

- Interviews indicate expectations for general job responsibilities are not consistently identified, however safety expectations are clearly identified as safety is a primary focus
 - Some managers follow policy/procedure for performance plan development/feedback and other managers don't since the performance development is data driven and no one ensures that supervisors are communicating feedback with employees. Managers can sign the plan without the employee's signature.
 - Muster forum relays expectations
 - Expectations laid out in policies and procedures, safety handbook and basic hazards control handbook issued to all employees
 - Year-end performance reviews are working well for some
 - Expectations are not formally communicated to staff in the field, there are no performance evaluations and no specific performance metrics. Perception that there was a desire to receive positive criticism and performance feedback.
- There is some complacency on safety issues (i.e.- one interviewee stated that they received so many emails on safety issues that they began to ignore them)

- Interviews reveal safety is considered more important than other aspects of culture, to the point of overkill in some cases. This may lead to complacency as well as frustration with inadequate attention being given to other areas of concern (e.g., perceived bullying, poor morale, favoritism, etc.).

Attribute 5: Teamwork and Mutual Respect

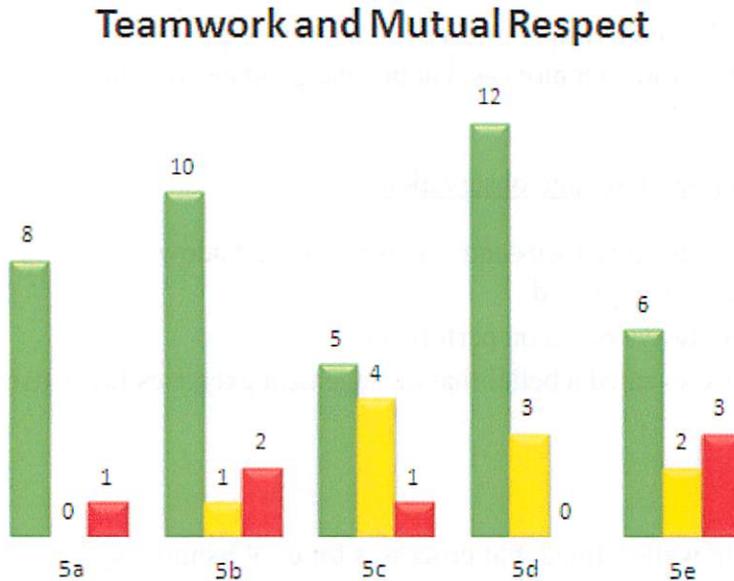


Figure 7: Teamwork and Mutual Respect Interview Results

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, resulting in 47 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:

Teamwork and cross functional communications are institutionalized within the organization and safety discussions/topics are integral to meetings and daily operations.

Supporting data from interviews and observations

- WSI-SRS works with M&O maintenance and Radcon to correct safety issues in the facilities

- Employees gave examples of working together across different areas of the site and with SRT through discussions at roundtable meetings.
- Virtual communications are implemented to improve awareness of SRT activities within protected areas.
- Safety lessons learned are disseminated across the company and are sent out with bulletins from other sites.
- Safety discussed at staff, muster and monthly safety meetings.
- Toolbox briefings are used for maintenance staff.

Negative Observation

Interviews indicate bullying and humiliation exists in various pockets among the administrative (non-bargaining unit) staff.

Supporting data from interviews and observations

- Several comments indicated bullying by management occurred.
- Some employees believe bullying is accepted in upper levels of the organization.
- One interviewee felt singled out and harassed by a supervisor for working on a safety project on their own time.
- Several employees reported management using foul language and yelling. Employee perception of management’s response varied from appropriately handled to no resolution.

Attribute 6: Credibility, Trust and Reporting Errors

Credibility, Trust and Reporting Errors

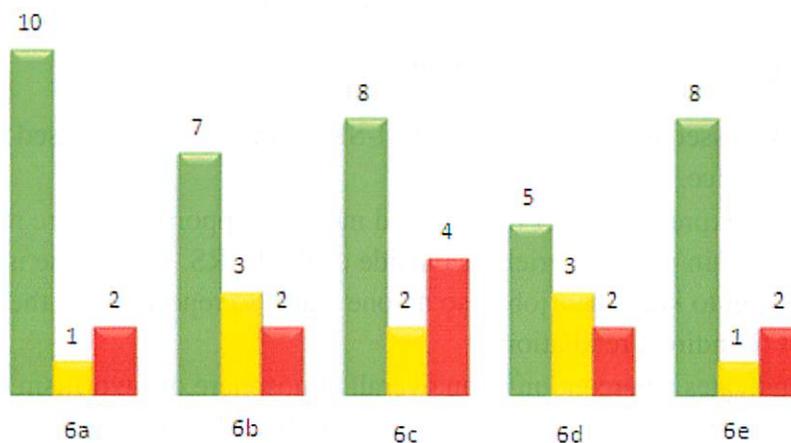


Figure 8: Credibility, Trust and Reporting Errors Interview Results

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 6, resulting in 42 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

Overall, credibility, trust, and reporting of errors are valued in the organization.

Supporting data from interviews and observations

- Reporting individual errors is generally encouraged and valued. Most interviews indicated that there is an effort to recognize and reward employees for performance and self-reporting of errors. Rewards include “coin of excellence,” monetary and honorary award certificates, and public presentations.
- In most interviews, the perception is that mistakes are used for opportunities to learn through various methods of lessons learned communication such as email, meetings, briefings, bulletins, etc.
- Most interviews indicated that line managers have demonstrated an open and honest manner when responding to employee questions. Several examples given of supervisor accepting feedback and responding and direct solicitation by manager for feedback. Additional examples included: open floor for questions during Muster, soliciting questions during meetings, and manager engaging personnel on a frequent basis. Some interviews indicated that a small percentage of managers do have an issue with feedback and change.

Negative Observation

Employees perceive a degree of favoritism exercised by Management.

Supporting data from interviews and observations

- One employee expressed her perception of WSI-SRS wide favoritism based on who you are or your years of service.
- Several employees expressed belief that upward mobility opportunities are reserved for individuals with certain prior experiences outside of WSI-SRS. This issue is not raised because people want to keep their jobs - so no one wants to report or call the hot line number for fear of direct or indirect retaliation.
- Interview data indicates a perception of an overall atmosphere of favoritism exercised by WSI-SRS management. Perceptions include: reward/discipline varies for some based on

favoritism from the General Manager's office (depends on who you are), some positions are direct placed, or that job positions will be rewritten to fit certain applicants.

- One employee expressed concern that the immediate supervision shows favoritism.

Attribute 7: Effective Resolution of Reported Problems

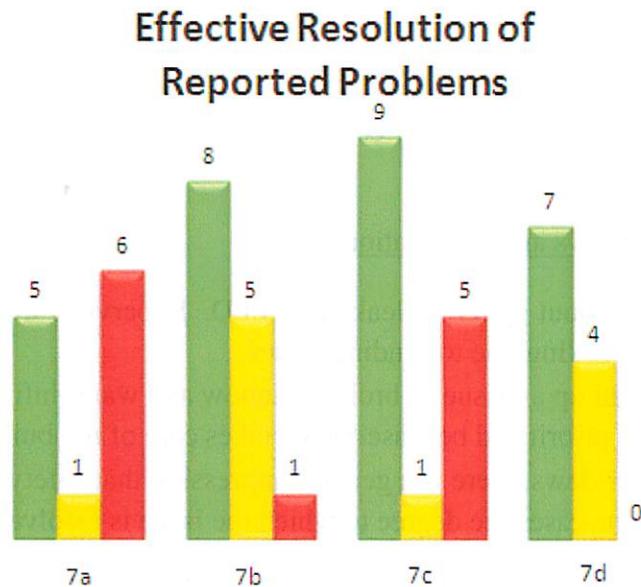


Figure 9: Effective Resolution of Reported Problems Interview Results

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 6, resulting in 37 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 relatively large negative response to questions 7a and 7c are related to perceptions that, when raised, issues are not resolved or reported back to the workforce. This perception was also noted in several responses to question 8c. To avoid duplication, negative observations were attributed to Attribute 7. The following observations were identified.

Positive Observation

WSI-SRS effectiveness reviews are seen as valuable and ensure corrective actions satisfactorily address reported problems.

Supporting data from interviews and observations

- Captains do field observations to verify problem resolution effectiveness (e.g., vegetation growth on gates and separate BRE water leak issues)
- Employees were asked to verify sufficiency of jon boat repairs. The results demonstrated repairs were not sufficient. Management has kept the jon boat out of service
- Deficiency Analysis Group evaluates effectiveness; includes an auditor for process/procedure improvement verification.

Negative Observation

Budget and the need to coordinate with other contractors are perceived significant barriers to timely resolution of reported problems.

Supporting data from interviews and observations

- Officers told supervisor about gym roof leaking in PPD. Supervisor did have someone look at the roof, but it's still leaking due to funding issues.
- Some SPOs have brought up an issue of broken window and water infiltration at post A-4. Those things have to be prioritized because SRNS takes care of the buildings.
- Based upon several interviews, there is a general impression that safety concerns are taken seriously but that in some cases the degree to which the issue is resolved is based on available funds.
- Several interviewees indicated they wouldn't bring up safety concerns outside of WSI control because they didn't feel the budget would support fixing it
- Perception that timely mitigation can "depend on who the players are."

Negative Observation

WSI employees are encouraged to participate in performance improvement processes. However, there is a perception that employee opinions/recommendations are not being addressed.

Supporting data from interviews and observations

- Interviews revealed a perception that employees speak up but are not being heard or their issues are not being taken seriously. Staff is being given the opportunity to participate but perceive their opinions are not necessarily heard and/or acted upon.
- Declining use of focus groups.
- Interviewee felt that a new policy did not make sense and wouldn't be changed because it came from an assessment OFI
- Interviewee's manager wasn't well versed in their work activity and therefore management provided little direction.
- Law enforcement officers are enforcing site policies more stringently than state law; their arrests are frequently questioned by county judges (e.g., open container law).

Performance Monitoring Through Multiple Means

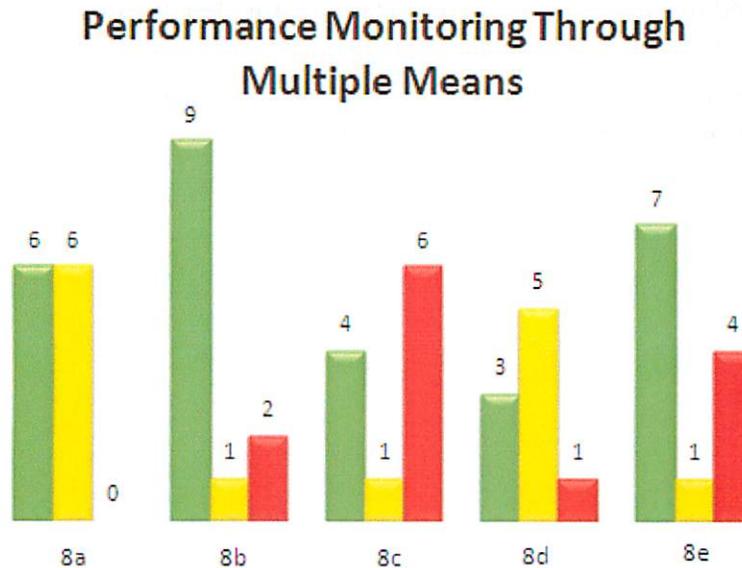


Figure 10: Performance Monitoring Through Multiple Means Interview Results

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 6, resulting 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., 8a, 8b, 8c, 8d, 8e). The referenced interview questions are contained in Appendix B.

The relatively large negative response to question 8c was related to perceptions that, when raised, issues are not resolved or reported back to the workforce. This perception was also noted in several responses to question 7a and 7c. Perceived lack of issue resolution when trends were identified was found to be a problem. To avoid duplication, negative observations arising from comments associated with 8c responses were attributed to Attribute 7. The following observation was identified.

General Observation

There is inconsistent dissemination of safety trending data to employees, particularly bargaining unit employees (field).

Supporting data from interviews and observations

Negative Examples:

- Multiple employees indicated safety indicator trending information was not being effectively communicated.

Positive Examples:

- Trends are covered during monthly safety meetings; Lieutenants briefed the information provided by the safety department on trends during Muster
- Very accurate trends. Everything is tracked from deficiency analysis trends and performance indicators. These are tracked monthly and quarterly.

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.