SAFETY MANAGEMENT WORKSHOP
Dr Rob Weaver
Program

• Introduction to Safety Culture – People Create Safety
1000 - 1030 Coffee Break
• Discussion session – Your ideal safety culture?
• Just Culture
1230-1330 Lunch
• Safety Climate Surveys
1500 - 1530 Coffee Break
• Workshop session – Improving Safety Culture
• Workshop session – Measuring Safety Culture
• Wrap Up of Workshop and Conclusion

Introductions - Hello!

• Name
• Organisation
• Role

• What do you want to get out of today?
Introduction to Safety Culture

CANSO Global Safety Strategy
People Create Safety

Why is Safety Culture Important?
- to you?
- to your ANSP?
Safety Culture is good Business

Good Safety Outcomes =

- Brand value and goodwill
- Winning and retaining business customers
- Corporate social responsibility
- Employee motivation and commitment
- Productivity
- Managed insurance costs
- Lower costs of accidents and illness
- Investor confidence

Major ANSP Safety Events
Safety Leadership

• We are here because we are Safety Leaders

• CANSO Global Safety Strategy:

Leaders set the culture of their organisation through their actions and demonstrable commitment to safety.

It is vital, therefore, that leaders provide clear direction for safety and give safety activities sufficient recognition.

Leaders must empower everyone in the organisation, not just those on the front line, with the skills, resources and priorities they need to ensure a safe service.

Safety Culture Definition

• Safety culture refers to the enduring value, priority and commitment placed on safety by every individual and every group at every level of the organisation

• Safety culture reflects the individual, group and organisational attitudes, norms and behaviours related to the safe provision of air navigation services
CANSO Global Safety Strategy:

• ANSPs should provide a working environment which reflects a just culture endorsed by the leaders of the business and understood by everyone.

• A just culture is one where staff are not punished for actions, omissions or decisions taken by them that are commensurate with their experience and training, but also where gross negligence, wilful violations and destructive acts are not tolerated.

• However, it should be recognised that it is much easier to talk about a just culture than to create one.

Coffee Break!
CANSO SAFETY CULTURE PUBLICATIONS

Safety Culture Definition and Enhancement Process

CANSO Guidelines on Just Culture
Version 1.0

Purpose
CANSO believes in a positive change in the organization and enhances safety. To achieve this, we propose a framework for enhancing the safety culture in each sector, which is based on a number of elements. These elements are designed to create an environment where all the stakeholders, including participants, operators, and security personnel, collaborate to ensure the safety of operations. By adopting this framework, we aim to improve the safety culture in all sectors.

CANSO Guidelines on Just Culture in order to Address:

- Self Responsibility
  - Promoting awareness of the importance of safety and encouraging employees to take responsibility for their own safety and the safety of others.
  - Encouraging employees to report any safety-related issues, and to work towards preventing them.

- Organizational Responsibility
  - Promoting a culture of safety and empowering employees to take ownership of safety-related issues.
  - Providing adequate resources and support to employees to ensure their safety.

Safety Culture Elements

- Learning Culture
- Informed Culture
- Just Culture
- Flexible Culture
- Reporting Culture

Organized by
Housed by
Element 1 - Just Culture

Element 2 - Reporting Culture
Element 3 - Informed Culture

Element 4 - Learning Culture
Element 5 - Flexible Culture

Element 6 - Risk Perception

RISK PERCEPTION AND ACTUAL HAZARDS

- Terrorist Attack
- Plane Crash
- Electromagnetic Pulse
- Asteroid Impact
- Agricultural Pest
- Environmental Impact
- Cancer
- Traffic Accident
Element 7 - Attitudes to Safety

Element 8 - Safety Related Behaviour
What does a good safety culture look like?

- 100% - As safe as circumstances allow (acceptable level)
- Risk is minimised – lots of barriers preventing bad stuff from happening
- Everyone understands risks (risk awareness)
- Everybody is involved
- Staff have no fear of reporting
- Just culture
- Staff feel safe, supported and respected
- Quality, efficient, effective communications around safety
- Continuous improvement (active feedback)
- Aligned and proactive management team
Group Discussion

1 Draw where your ANSP is on the Safety Culture Line

2 What does your ideal safety culture look like?  
   - Behaviours, Values, Structure

3 What are the challenges you face to achieve your ideal safety culture?

4 Share with group
Just Culture Definition

“A culture where staff are not punished for actions, omissions or decisions taken by them that are commensurate with their experience and training… But where gross negligence, wilful violations and destructive acts will not be tolerated.”

Just Culture — “Decision Tree”

- Did the person intend to cause harm?
  - Yes: Disciplinary action
    - Test for Negligence
  - No: Did the behaviour/act represent a substantial or unexpected risk?
    - Yes: Disciplinary action
      - Test for Negligence
    - No: Were the procedures and systems for the situation appropriate?
      - Yes: Amend system
      - No: Did the individual have a history of this type of misconduct or similar behaviour?
        - Yes: Institute retraining program and performance contract
        - No: Remedial program for individual and consider implications for the system
          - Test for Individual Complainant

Disciplinary action
- Refer to the Code of Conduct
- Management (5.9.6.1)

Amend system
- Test for System Deficiencies

Remedial program for individual and consider implications for the system
- Test for Individual Complainant

Initiate removal from role
- Refer to relevant documentation
What does a Just Culture lead to?

1. Frequent and open reporting is normal...
2. So we continue to learn safety lessons from the past...
3. Risks are openly and honestly discussed
4. Making both the present and future safer...
5. Leaving us with an honest and self analytical approach to who we are... and what we want to be.

Just Culture Consequences

- SAFETY BEHAVIOUR
  - ↑ Changes ↑
- ATTITUDE TO SAFETY
  - ↑ Changes ↑
- PERCEPTION OF RISK
  - ↑ Changes ↑
- LEARNING
  - ↑ Leads to ↑
- OPEN REPORTING
  - ↑ Leads to ↑
- JUST CULTURE
Just Culture

- Willingness to report incidents
- Simple reporting system
- Provides an atmosphere of trust
- Confidential
- Belief that reporting makes a difference
- Feedback

Reporting Culture

- I will not report safety incidents because:
  - Embarrassed
  - Create work for boss
  - Workplace harmony
  - Sanctions
  - Ignored
We are all human

- People make errors
- Is the solution to blame the individual??
- Change the people without changing the system
- Problem persists

Human Error

.....most errors in the workplace:

- Lessons from human error are applied at the organisational level
- No blame or disciplinary action
- Lessons learned applied through changes to the way we work
How do I comply...

- Elements of compliance
- Raising your hand... “I've made a mistake”
- Highlight areas of risk
- Encourage others to report
- Participate in the learning culture
- Avoid reckless conduct
- Support those who have been involved in occurrences

![Image with aircraft crash]

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<table>
<thead>
<tr>
<th>Normal Error</th>
<th>Unintentional Risk Taking</th>
<th>Disciplinary Line</th>
</tr>
</thead>
<tbody>
<tr>
<td>Induced by system or human condition</td>
<td>Person should have known and / or understood the risk</td>
<td>Above the line</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>Intentional Risk Taking</th>
</tr>
</thead>
<tbody>
<tr>
<td>Actions represent a significant and unjustifiable risk, and were taken with conscious disregard of consequences.</td>
</tr>
</tbody>
</table>

Below the line
Purpose - Did the employee intend the mishap to occur?

Knowledge - Did the employee act knowing that the mishap would occur?

Recklessness - Was the employee reckless in causing the mishap?
  • Significant risk?
  • Unjustifiable risk?
  • Conscious disregard?

Negligence - Was the employee negligent in causing the mishap?
  ➢ Significant risk?
  ➢ Unjustifiable risk?

No culpability - Did the employee do as he/she should have done under the circumstances?

• Learning outcomes
Applying just culture

- Accountability
  - Who is responsible for the system performance?
  - Who is responsible for individual performance?

- Punishment
  - Where does it work?
  - When is it needed?

Managers are accountable

- Just Culture must come from the top down
- Board members, CEO, Managers and Supervisors
- Openly support and practice (Walk the talk)
- Require staff to report (Treat them fairly and justly)
ANSP Experiences in Just Culture

JANS

Just Culture in Japan

Speaker
Shigetoshi Komai
JANS
J CAB
Safety Policy

1. Air safety is the top priority in ANS.

2. Safety management activities are supported through the provision of adequate human and financial resources.

3. Safety reports are welcomed and encouraged.

4. Incident investigation should be conducted not to pursue someone’s responsibility but to determine the cause.

5. No punitive action will be taken to staff who disclose a safety information through voluntary reporting system.

4 pillars of the Safety Culture

- SAFETY CULTURE
- Informed Culture
- Learning Culture
- Reporting Culture
- Flexible Culture
- Just Culture

Just Culture & Reporting Culture
Just Culture Matrix

Intentional Action

Best Practice

Praised!!

NORMAL OPERATION

Unintentional Action

Bad Result

VIOLATION
GROSS NEGLIGENCE

Not Tolerated!!

HUMAN ERROR

Not Punished!!

Good Result

Good Job Campaign

Good Job Card

TO:

WHEN:

WHERE:

WHAT:

THANK YOU!!

FROM
Airservices - Just Culture

Safety Objective: All personnel display attitudes and behaviours which reflect the primacy of safety in the way Airservices Australia conducts its business.

...but, more to do...

Discussion

What can get in the way of a Just Culture?

What goes against a Just Culture?
Safety Climate

- Safety climate represents what people feel and their perceptions about safety at a given point in time.

Safety Climate Surveys

- Organisational Health Check
- Why do it? – A basis for change
ANSP Experiences in Safety Climate Surveys

CAAS’s Experience with Safety Survey

Priscilla Wong
Deputy Manager
ANS Safety and Security
CAAS
True or False?

1. A robust SMS guarantees a strong safety culture

2. A clear and transparent reporting system and procedures will ensure a healthy safety culture

3. Regulatory audits and conformance with the Aviation Authority's regulations and standards indicate a positive safety culture in the Organisation.

"The way safety is done around here"

CANSO (2009) “Safety Culture is the way safety is perceived, valued and prioritised in an organisation. It reflects the real commitment to safety at all levels in the organisation.”

Reflected by:
• How committed is the organisation to safety?
• How involved are the people?
• How does the organisation learn?

Influencing people’s belief and attitudes in safety is the most efficient way of improving safety.
CAAS Safety Survey set out to understand...

1. What is our current state of Safety Culture?

2. What are our strengths? Enablers - Improve and encourage

3. What are our weaknesses? Obstacles and disablers - Intervene, mitigate or eliminate

4. What variations there are across the organisation?

Methodology

• Pre-launch publicity
  o Safety Champion
  o Awareness & comm

• Identify key issues

• Understanding issues

• Evaluation & Report
  o Analysis
  o Prioritise
  o Action Plans!

• Feedback to ANS!
Safety Survey Elements

Questionnaire
- 46 questions for ATCOs
- Additional 9 questions for Watch Managers
  “Are there any significant safety issues/ concerns that you would like to share/ comment on?”

Management commitment
Perceived commitment;
Acting on safety issues;
Pressure on safety

Qn: My management takes action on the safety issues that we raise.

There is pressure to use smaller safety margins than I feel comfortable with.
Safety Survey Elements

Resourcing
Resourcing and organisation; Training for safety

Qn: Procedures describe and reflect the way in which I do my job.

We work in "crisis mode" most of the time, trying to do too much too quickly

Reporting and Learning
Reporting commitment; Reporting climate; Just Culture; Learning

Qn: If I see unsafe behaviour committed by a colleague I would report it.

I find it difficult to balance safety against the other requirements of my job
**Risk Awareness**

Individual risk awareness; Inter-team risk awareness; Management risk awareness

*Qn:* Team members I work with follow operational safety rules even when workload is rising.

*Managers are fully aware of existing safety risks.*

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**Communication**

Communication about safety; Communication about system or procedural changes

*Qn:* I receive regular feedback on actions implemented to address the major safety risks in my Unit

*The staff get sufficient courses/briefings prior to changes being made.*
**Teamwork**
Teamwork within the team; Teamwork between teams

Qn: There are people that I do not feel comfortable to work with because of their negative attitude towards safety.

We are consulted about the changes to the technical/engineering systems that impact on the way we do our work.

**Involvement**
Involvement in safety activities; Operational involvement in system changes

Qn: People do not get involved in safety because their opinions are not listened to.

Voicing concerns about safety is encouraged.
# Developing Safety Improvement Plans

## Elements

<table>
<thead>
<tr>
<th></th>
<th>What is SAID</th>
<th>What is BELIEVED</th>
<th>What is DONE</th>
<th>Outcome</th>
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</thead>
<tbody>
<tr>
<td>How Committed to Safety</td>
<td>Management</td>
<td></td>
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<tr>
<td></td>
<td>Commitment</td>
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<td>Resourcing</td>
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<td></td>
<td>Responsibility</td>
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<tr>
<td>How are people involved in Safety</td>
<td>Involvement</td>
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<td>Teamwork</td>
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<tr>
<td>How does the Organisation team</td>
<td>Just Culture Reporting and Learning</td>
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<td>Communication</td>
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## Asia Pacific CANSO Safety Survey

**February - March 2015**

Organised by CANSO

Hosted by **CANSO**
Key findings:

- 15 surveys sent, 10 ANSPs responded
- 50% of respondents have conducted a safety climate survey
- Similar understanding of Just Culture across region, majority have a policy
- All have confidential reporting system

1: Has your organisation conducted a safety climate survey?

1a: If yes, what were the elements measured?

<table>
<thead>
<tr>
<th>Just Culture</th>
<th>Safety Assurance</th>
<th>Risk Awareness</th>
</tr>
</thead>
<tbody>
<tr>
<td>Informed Culture</td>
<td>Communication</td>
<td>Open Reporting</td>
</tr>
<tr>
<td>Learning Culture</td>
<td>Safety Solutions</td>
<td>Management</td>
</tr>
</tbody>
</table>

1b: If not, do you intend to do one? What are the top 3 issues that prevent your organisation from conducting a survey?

- Still learning what the safety climate/culture is
- Will be 2015
- Skeptical about the outcome of such a survey
- At the SMS initiating stage.
- Went further and conducted a service satisfaction survey
- Lack of safety awareness and education
2: What is your understanding of Just Culture for ANSP?

Human errors are treated non-punitively, but on the other hand, any intentional behaviour against regulations and/or procedures are unacceptable and treated non-permissively.

Just Culture is recognized as one of the fundamental factors of Reporting Culture.

Notification, reporting, and investigation of safety occurrence.

Employees will not be punished for action, inaction, decision that are commensurate with their training and experience, however, gross negligence, recklessness, and risk-taking behaviour will not be tolerated.

Just Culture is about recognising that there are flaws within any system and errors are an inevitable outcome of having us, the human, within that system.

Openly reporting and talking about safety issues and the errors we commit, at the same time remembering to be accountable for our actions.

Encouraging an organisational safety culture which promotes awareness, training and reporting in a “no blame-no shame” climate, while recognizing excellence in safety.

The organisation is fair and consistent in correcting errors and violations, and there is clear differentiation between acceptable and unacceptable behavior.

3: Does your organisation have a Just Culture policy?

3a: If you do have a Just Culture policy, how do you make the policy available and understood by your staff?

- Promotion material
- Staff Briefings
- E-learning
- In Safety Policy
- Newsletters
- Notice Boards
- Lessons Learned material
- Training Courses

3b: If you do not have a Just Culture policy, what are the reasons why?

Just started to implement SMS
4: Do you have confidential reporting systems for staff to report aviation safety related concerns?

4a: If yes, how do you address the safety concerns reported?

- Referred to management for addressing
- Some are investigated
- Safety Office moderate resolution with Manager
- Safety Manager investigates
- Employees submit reports, and Event Review Committees review the reports and determine the appropriate action(s) to be taken.

4b: If not, what are the main reasons preventing such a set-up?
- Nil

5. Do you provide staff with reports and information about lessons learnt from safety related events or issues?

5a: If yes, how is the feedback done?

- Shift briefings
- Safety Promotion material
- Staff briefings and One on One
- Posters
- Safety Newsletters

5b: If not, what are the main reasons preventing such a set-up?
- Nil
**Key findings:**

- 15 surveys sent, 10 ANSPs responded
- 50% of respondents have conducted a safety climate survey
- Similar understanding of Just Culture across region, majority have a policy
- All have confidential reporting system
Exercise in Groups: Safety Culture Metrics

Identify 3 Safety Culture Metrics for your organisation.

*Metrics == Measurements*

“SMART”: Specific, Measurable, Achievable, Realistic, Time-bound

Set a quantitative Target (# or %) for each.

Describe how CANSO should promote, support and monitor progress.

Report back to the workshop.

Exercise Output: Example Metrics & Targets

1 Incident Reporting

- Monitor overall # incidents reported; use a standard reporting schema (e.g. RAT) and look for trends.
- Voluntary %. Target at least 10% of total reports to be voluntary (increase annually).
- Minor v Major incidents: Monitor ratio of minor-mod-major incident reports. Target increase over time.
- Target 100% of reports to have evidence of direct feedback being provided to originator.
- Monitor % of reports related to repeat incidents. Target reduction over time.
Exercise Output: Example Metrics & Targets

2 Training and Competence
- Safety Awareness briefings to 100% of staff at least 2 times/year.
- Target 100% of ATC/Eng staff with full evidence of all required qualifications: education, English, rating, competence, proficiency (if data is available).

3 Internal Safety Surveys
- Perform at least one Annual Safety Survey for each of ATC and Eng (minimum 30 staff each) per year.
- 100% of significant findings acted upon.
- Feedback supplied to 100% of participants.

Exercise Output: How to Implement Metrics

Agree a measurement frequency for each Metric
- Usually a 6-12 month period

Secure top-level buy-in
- Embed Safety Culture Metrics into top level organisational KPIs?

Provide support and templates
- Eurocontrol RAT user guide and access information
- Safety awareness briefing material
- Safety survey template
How to create change?

Safety Culture Enhancement Process

- Understanding Safety Culture
  - Define a Safety Culture Model
  - Identify Drivers of Safety Culture
- Assessing Safety Culture
  - Measure Safety Culture
  - Evaluate the Measures
- Enhancing Safety Culture
  - Enhance Safety Culture

Continuous Enhancement (Closed Loop)
Safety Culture Framework

Safety Culture

“Safety culture refers to the enduring values, priority and commitment placed on safety by every individual, group and organisational attitudes, norms and behaviors related to the safe provision of air navigation services.”

Psychological aspects

“How People Feel”
Can be described as the “safety climate” of the organisation, which is concerned with individual and group values, attitudes and perceptions about safety.

Behavioural aspects

“What People Do”
Safety-related actions and behaviours; management commitment to safety.

Situational aspects

“What the Organisation Has”
Policies, procedures, regulation, organisational structures and management systems.

Safety Culture Measurement Tools

Safety Culture

Psychological aspects

“How People Feel”
Methods
- Questionnaires
- Interviews

Behavioural aspects

“What People Do”
Methods
- Observations
- Audits
- Questionnaires

Situational aspects

“What the Organisation Has”
Methods
- Observations
- Audits
Process of culture change

Initiate
- recognise need for change
- build consensus
- cultural audit

Plan
- set cultural targets
- identify desired outcomes
- form culture working group
- communicate vision

Implement
- allocate resources
- identify early wins
- upward and downward communication
- align systems, structures, policies

Sustain
- maintain momentum
- evaluate effectiveness of programmes
- document and share lessons learned

1. Create a sense of urgency
2. Change leaders and other key players
3. Role model
4. Train
5. Change the reward system
6. Create new norms and symbols

Culture is created through the messages people receive about what is valued

Planning and Budgeting
- Performance Review and Reward
- Measurement, Reporting and Learning
- Structure

What is Role Modeled
- Meeting, Conferences, Emails
- Interactions with Others

How Budgets are Allocated
- How Time is Spent
- People Promotions, Exits
- Offices, Car parks, Titles

Behaviours

Systems

Symbols
Safety Culture

• “A safety culture does not spring to life at the declaration of corporate leaders”

• “It will only prosper when each individual, regardless of their position, assumes an active role in error prevention, detection and management”

Gary Eiff

Leaders must “walk the talk”

Workshop discussion
How to improve Safety Culture in your ANSP?
Group Discussion

1. What can your organization do to begin developing the safety culture you described earlier?

2. What can you do after this conference to start the journey?

A journey begins with a single step.