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LEADERSHIP IN SAFETY

INDUSTRIAL PRACTICE

WORKING GROUP
"LEADERSHIP IN SAFETY"

ICSI
Institut pour une culture de sécurité industrielle

The *Institute for an Industrial Safety Culture* (Icsi) is a non-profit organization whose mission is to promote safety culture in France. It was created in 2003 as the result of an initiative launched by the eight founding partners (Airbus, ArcelorMittal, CNRS, the City of Toulouse, EDF, the National Polytechnic Institute of Toulouse, the Midi-Pyrenees Regional Government and Total). These partners were quickly joined by others from various branches of industry including specialized institutes, universities and civic bodies (local government, trade unions and non-governmental organizations).
It is this **diversity of stakeholders** from the domain of industrial safety, brought together by Icsi that makes it unique.
The Institute has three main objectives:

- To work towards better mutual understanding between high-risk businesses and civil society, aiming for a sustainable compromise and an open debate that takes into account the various dimensions of risk.
- To contribute to improving safety in industrial enterprises of all sizes and in all sectors of activity, taking into account all aspects of industrial risk.
- To help to familiarise all actors in society with the problems of risk and safety.

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Foreword

To provide renewed impetus for safety improvements in businesses that have already made a great deal of progress in the domain, the *Institut pour une culture de sécurité industrielle* (Icsi, Institute for an industrial safety culture) established a discussion group on the Human and Organizational Factors of Safety.

The message that emerged from these meetings was that the development of **managerial leadership in safety** is an objective that cannot be ignored because:

- the behaviour of management has the greatest influence on staff conduct;
- management has a pivotal role in handling trade-offs between safety and other issues; and
- site safety cannot only be the business of HSE specialists.

However, the group highlighted the difficulty of making **specific recommendations** on ways to establish leadership. Therefore, to better understand the conditions that create leadership, they set up the "Leadership in Safety" Working Group to look at the issue in detail. It was initially decided to look at some professions where the importance of leadership is acknowledged: the plant director, the construction manager, the maintenance shutdown manager and HSE actors. It then became apparent that it was essential to supplement this initial approach and develop a concept that was both more comprehensive and closer to the situation on the ground. Consequently, the next step was to gather the views of local supervisors and unions, specifically team leaders and members of the Health and safety committee.

Initially, the Working Group selected a few **broad leadership principles common to all professions or functions**. In a second step, a series of seminars were organized that brought together recognised experts from various companies. The seminars were organized by profession or function and the aim was to **illustrate the general leadership principles**. The objective was both to obtain **personal accounts** of proven **good practice** and to draw out the **difficulties encountered** in order to highlight some pitfalls to be avoided.

This Industrial Safety Journal *(Cahier de la sécurité industrielle)* **summarizes the discussions**. It provides **practical advice** for professionals who do not need to be convinced of the importance of the issues, but do need advice on how to improve. This is the second edition of the Journal. The first, published in 2010, did not include the views of team leaders and members of the Health and safety committee.

Toulouse, 6th September 2011
Ivan Boissières, Icsi

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First name	Surname	Company
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[1] Foundation for an Industrial Safety Culture: http://www.foncsi.org/fr
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Michel	ROCHIER	PONTICELLI Frères
Didier	ROCRELLE	Rhodia Opérations
Bruno	ROUX-FOUILLET	Air Liquide Gaz industriel service
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Grégoire	VILLET	Air Liquide Construction
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We welcome your feedback! Please send any comments or suggestions for improvements to `cahiers@icsi-eu.org`.

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[2] Western Europe, Africa and the Middle East A

Contents

Abbreviations

HSE	Health, Safety and Environment
ORA	Occupational Risk Assessment
OSRDE	Safety, Radiation Protection, Availability, Environment Observatory
PPE	Personal Protection Equipment
SAP	Safety Action Plan

Introduction

This document

The aim of this document is to help personnel responsible for operational units and members of the Health and safety committee[3] to develop their leadership abilities in the domain of safety. The objective is to provide simple principles and practical examples that can be easily adapted to the individual context.

Target audience

This document is primarily aimed at personnel in the following positions:

- The plant director
- The construction manager
- The maintenance shutdown manager
- The HSE actor
- The team leader
- The secretary or members of the Health and safety committee

More generally, it may be useful to anyone working in an industrial facility or a service company who is interested in safety. It may be particularly useful for initial or ongoing training.

Scope

The "safety" domain referred to here refers to the prevention of accidents associated with a company's activities. These accidents may affect facilities, personnel (including sub-contractors), the environment and/or the general population.

The importance of human and organizational factors for safety

Management of the environment and the measures that ensure safety is a key concern for managers, both for ethical reasons and because safety is a legal responsibility.

In order to increase the safety of personnel and manage technological risk, industrial companies have, for many years, implemented measures focused on the optimization of facilities and activities and the implementation of safety management systems. However, safety results seem to have reached a plateau where further improvement goes beyond technical approaches and procedures and requires greater attention to human and organizational factors.

Good organization provides the basis for coherent planning and consistent actions. However, it is essential to take the human factor into account, ideally from the outset, to ensure that these actions are relevant and properly implemented.

[3] In France, Comité d'Hygiène, de Sécurité et des Conditions de Travail (CHSCT), see chapter 7.

The Human and Organizational Factors of Safety are discussed in another of the *Cahiers de la sécurité industrielle* collection (2011-01). This document provides an overview of the state-of-the-art of human and organizational factors related to industrial safety and is available in English from the Icsi website[4].

Why is leadership important?

While the aim of human and organizational factors is, *in fine*, to promote the development of safer individual and collective behaviour at all levels of the company, change will not happen unless it is backed by firm managerial commitment.

the difference between a manager and a leader

The traditional role of the manager is to **manage**, *i.e.*, to accomplish their tasks to the best of their ability, to plan activities or give orders. However, it can also include a willingness to **influence**, guide or direct their colleagues. This is what distinguishes a leader from a manager. It is fundamental to safety improvements as collective mobilization goes hand-in-hand with managerial leadership. Leadership is understood here as the ability of the manager to influence behaviour so that it becomes safer (*cf.* Figure 1).

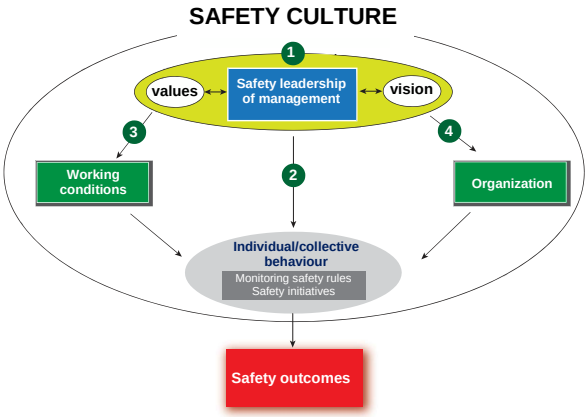

Figure 1 – *Safety leadership*

However, leadership is not the exclusive domain of management. Other leaders, notably union representatives, some experts or senior staff members can also influence behaviour. Although their influence is different and complementary to that of the hierarchy, it nevertheless plays a determining role in safety. Consequently, we will also examine the leadership of personnel representatives who are members of the Health and safety committee and who have an institutional role in the domain of safety.

Managerial leadership can be exercised through various drivers (*cf.* Figure 1): 1) individual attitudes and behaviour; 2) direct action by the manager on the individual or collective behaviour of employees; 3) indirect factors such as working conditions; or 4) the organization. Members of the Health and safety committee are primarily able to exercise leadership through 1, or 3 and 4 using methods provided by law.

- *The behaviour of management is what most influences the behaviour of staff in the field.*

[4] http://www.icsi-eu.org

On the one hand, each individual manages their priorities according to their working environment and the messages they receive. Workers generally pay attention to the concerns of their manager, even if they are not stated explicitly. Put another way, if the boss is not interested in a particular domain, it is unlikely that their team will be!

On the other hand, spontaneous actions do not arise out of concern for the safety, health or well-being of individual workers. If change is to occur everyone must be aware of the issues, committed to the objectives and action must be coordinated.

In short, the conduct of managers themselves with respect to safety carries much more weight with workers than any slogans that can be devised by the company. Through their behaviour managers demonstrate the real value the company places on safety and it is a determining factor in the motivation of staff to take an active interest in safety.

- *The manager is the actor in the company that has the leeway to act on the factors that encourage the development of safety behaviours.*

Safety leaders seek to directly influence the behaviour of employees by being present on the ground. They develop a systematic approach to safety that is focused on best practice, dialogue and a search for the root causes of risky behaviour. Moreover, they can indirectly influence behaviour by acting on human and organizational factors that are equally important in achieving a good safety culture, namely working conditions that promote optimal performance.

- *Management plays a pivotal role in deciding trade-offs between safety and other challenges.*

In an increasingly competitive production environment quality, costs and delays are the major concerns. Safety improvements therefore require visible, concrete and ongoing managerial commitment. Managers must decide priorities taking into account all objectives, in the context of the company's political and ethical framework. They must integrate, synthesise and prioritize challenges and objectives. This activity ensures consistency between sometimes competing activities and provides an essential guideline for everyone involved. Although HSE professionals have an important leadership role, they cannot fulfil these responsibilities alone.

The creation of this document

The preparation of this document involved the following stages:

- The first step was for the Leadership in Safety Working Group to frame the problem and sketch out the key leadership issues. The group consisted of Safety or HSE managers from large industrial groups. The aim was to create a rough outline consisting of seven points that were reviewed by domain specialists.
- Six operational functions at different hierarchical levels were identified. For each of these functions, representatives from companies known for their expertise were invited to a day-long seminar to exchange views. The objective of this exercise was to enrich the document with their experience and advice.
- A summary of each of the six functions and a general summary of the seven leadership principles was prepared by Icsi facilitators Caroline Kamaté and Jean-Michel Pesteil. Then the document was consolidated and formatted by the Working Group and reviewed by workshop participants in order to validate and expand upon the some of the personal accounts (testimonies).

- The document was finalised by Icsi facilitators and the Working Group and presented to the Human and Organizational Factors discussion group.
- The translation from French into English has been carried out by Elaine Seery.

Outline

In this second edition we present, in the first chapter, a summary of the seven **leadership principles** common to the six professions and functions studied.

In the following six chapters (one for each seminar) the first section describes the **scope of the function** (including a profile of participants). A second section summarizes the **main points** that arose from the seminar. The last part provides some more-or-less detailed **testimonies (personal accounts of good practice)** from professionals who have been personally involved in projects that implement one or more of the leadership principles.

The document is therefore organized into seven chapters and an Appendix:

1. The seven principles of safety leadership
2. Plant directors
3. Construction managers
4. Maintenance shutdown managers
5. HSE actors
6. Team leaders
7. Members of the Health and safety committee

The Appendix is divided into six sections (one for each function). Each section lists the seven general leadership principles accompanied by recommendations for good practice that are the result of the experience shared by workshop participants.

1

The principles of safety leadership

1.1 Preamble

These recommendations were formulated by managers of operational units – the intended audience for this document.

The concepts of **vision**, **policy** and **strategy** are applied at the level of the operational unit unless otherwise specified. However, their scope varies depending on whether the unit is an independent small or medium-sized enterprise, if it has a particular function (within a large company), or whether it is part of a family of similar units in a large company or administration. For example, in units that are part of large industrial groups, local initiatives must be coherent with policy at the group, company, division or department level. While it should always be possible to create a vision, form policy and strategy, and develop and implement action plans at local level, the unit must also respect or carry out policies and strategies developed at higher level.

Whatever the situation, the safety leadership provided by the actors mentioned in this document (the six functions) plays a crucial role in achieving results. However, depending on the context it will be subject to different constraints. Readers may therefore need to develop their own interpretation of the recommendations of the various participants in order to apply them to their own context.

1.2 Safety leadership principles

Seven general leadership principles were identified and described in safety terms by the Leadership in Safety Working Group. They were inspired by typologies already used by the employers of group members.

On the basis of this analysis, and the results of the seminar discussions, each of the seven general principles was translated into seven concrete axes. These axes summarize good practice and action principles aimed at safety leaders at all levels.

Safety leadership principle	Action axes
PRINCIPLE 1 **Create a Safety Vision that is coherent with the values and principles of management**	• Establish a corporate safety policy • Give safety appropriate importance in the context of other challenges • Carry out a safety diagnosis to decide future goals • Provide specific, measurable and achievable objectives • Involve everyone in the construction of the vision • Use the vision to define principles of accountability and expectations in terms of conduct
PRINCIPLE 2 **Give safety its rightful place in the organization and management and oversee it on a daily basis**	• Integrate safety at all levels of the organization • Clearly define all roles and responsibilities (HSE services and operational staff) with the objective of collective efficiency and overall performance • Define an improvement plan that articulates the overall vision • Systematically identify obstacles to the achievement of safety objectives and remove them • Provide appropriate resources • Place safety at the forefront of daily concerns and guard against disruptive elements • Give service providers and staff responsibility, involve them in monitoring
PRINCIPLE 3 **Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy**	• Provide regular reminders of goals and expectations in terms of conduct • Renew messages to maintain vigilance, motivation and participation • Communicate clearly and appropriately: use suitable language to ensure understanding, reduce the amount of information • Put structures in place to encourage the observation and identification of risk situations, including the detection of weak signals • Create a climate of trust; promote transparency by responding to implementation problems, in particular conflicts with objectives unrelated to safety • Encourage good practice; stimulate and support initiatives • Remember that safety is everyone's business
PRINCIPLE 4 **Be credible: provide a coherent example**	• Ensure that all actors have sufficient expertise to take ownership of safety objectives • Exercise skilled, fair and honest judgment in safety matters • Demonstrate exemplary compliance with safety requirements and commitments even in degraded conditions • Demonstrate on a daily basis the importance and attention given to safety and working conditions through listening, attitude, decisions and responsiveness • Be personally involved in the deployment of the Safety Action Plan; ensure that is it practical and suited to the needs of the situation on the ground • Be able to challenge and question the attitude of others including more senior members of staff • Provide reasons for decisions and ensure that actions are understood

Safety leadership principle	Action axes
PRINCIPLE 5 **Promote team spirit and horizontal cooperation**	• Encourage discussion and team spirit to resolve safety problems and share good practice • Provide coordination methods that enable a global vision of risk (particularly at interfaces) and optimal integration of individual contributions • Encourage the sharing of tools and methods • Develop a closer relationship between safety officials and field workers • Monitor that everyone feels included and that the various teams share a collective responsibility for safety • Swap objectives (make teams responsible for the results of their partners) • Check that established group practice supports transparency and collective progress
PRINCIPLE 6 **Be available on-site to observe, listen and communicate effectively**	• Organize field visits and train participants; establish a repository of safety requirements • Hold regular meetings with the various trades and professions to discuss safety issues • Involve service providers in site visits; encourage and facilitate site access for their managerial staff • Emphasize what is going well; provide reminders of past accidents; correct bad practice; re-examine habitual practices from the point of view of safety objectives • Identify any difficulties in implementing instructions and seek solutions with the actors concerned • Review reporting from the field with the actors concerned • Meet the victims of accidents
PRINCIPLE 7 **Acknowledge good practice and apply fair sanctions**	• Highlight good practice and safety initiatives in order to reinforce and spread the message; praise the conduct of those involved • Seize opportunities to offer rewards and raise awareness to the greatest extent possible • Collectively celebrate success • Select service providers based on their commitment to safety (competitive bidding, a service provider charter)) • Explain what is unacceptable conduct and the corresponding sanctions (if necessary using a graded scale) • Carefully analyse the context (the technical and organizational environment, supervisors) before applying any sanction; be careful to remain fair • Be able to transparently justify any sanction in terms of non-negotiable rules and unacceptable conduct

1.3 Testimonies

In the course of the seminars it became apparent that many of the examples of good practice provided by participants were particularly interesting and worth exploring in more detail. In general they demonstrate many of the seven leadership principles and they are presented in the form of "testimonies" at the end of each section, together with an explanation of the safety principle(s) they demonstrate. The following is a full list of the practices included.

For **plant directors**:

- T1 The improvement plan
- T2 The safety video
- T3 The decision analysis observatory
- T4 "Live my life"
- T5 Ten golden rules
- T6 Safety visits by senior management

For **construction managers**:

- T7 The site safety card
- T8 Shared client and contractor objectives
- T9 A joint strategic approach based on safety

For **maintenance shutdown managers**:

- T10 The weekly HSE schedule
- T11 The safety challenge
- T12 Specialised workstation assessments
- T13 The shutdown safety charter
- T14 Zone sponsorship by a senior manager

For **HSE actors**:

- T15 Participation in World Health and Safety at Work Day
- T16 The suggestion reward scheme
- T17 Photo reporting
- T18 "Worker of the fortnight"

For **team leaders**:

T19 Pre-job briefings for sensitive activities

T20 A new look

T21 The photo tour

T22 Operating procedures written by operators

T23 Weak signal reporting

For **members of the Health and safety committee**:

T24 Participation in the Occupational Risk Assessment

T25 Participation in the alcohol, drugs and addition prevention plan

T26 Participation in the psychosocial risks committee

T27 Participation in prevention planning

2

Plant directors

2.1 Participants

Most participants in the seminar had had a technical career in industry before taking on directorial responsibilities. They supervise teams ranging from a few people to several hundred and rely on outsourcing to varying extents. Their recommendations are the result of both their technical and managerial experience. Many of the participants had witnessed serious accidents in the course of their careers. The recommendations given in this section will be of interest to unit managers of large companies or owners of small or medium-sized enterprises (SMEs).

2.2 The main issues

Be the guarantor of personnel safety

The first responsibility of the plant director is to ensure that employees and the public are protected against risks generated by the unit's activities. This is one of the fundamental ethical principles of all companies:

> *Safety is more than a priority; it is a duty [A participant].*

The director must make clear their commitment to the protection of the health of staff and other stakeholders that may potentially be affected by the plant's activities.

Create a collective commitment to safety

Collective efforts at Board level help to build a shared vision of the targets to be achieved. The personal commitment of the director must be quickly established when they start the job (in a charter, statement, *etc.*). It is important to remember that the prevention of major accidents is a condition of survival for the company and the link between the risk of a major accident and safety must be maintained on a daily basis. Safety must be fully integrated into the management of overall performance.

Clarify roles and responsibilities

Operational personnel are primarily responsible for safety. HSE services play a support and control role. It is important to ensure that the safety concerns are taken into account at all levels of the organization. Common objectives create a shared dynamic.

Fight against habit and routine

Regular reminders of serious accidents are essential. It is worth repeating prevention messages – particularly when accidents do not happen very often and it is important to maintain vigilance.

Safety reflexes are firmly established through the repetition and renewal of key messages.

Promote positive behaviour

The director is the primary guarantor of transparency and the creation of a climate of trust that is essential for good safety management. They must be personally involved and through their actions provide a model for safety management. They must encourage a positive safety dynamic that does not allocate blame or lead to sanctions should unfortunate events occur. They must be able to identify and highlight what is going well and reward initiatives rather than outcomes (*e.g.* accident rates). They should promote information flow through the hierarchy (deviation reports, proposals for improvements) and ensure that reports are taken seriously.

Understand the situation on the ground

Safety management in complex industries requires everyone to be both committed to the idea, and that they understand the complexities of the situation. This requires the ability to explain and simplify concepts so that all staff are brought up to the same level. It is therefore a priority for all field workers to be able to understand instructions and handle their tools. They should feel guided and supported, but at the same time responsible. It is essential that the director is present in person on the ground and they should insist that managers are also present. It is important that these field visits be prepared.

Know how to handle rewards and punishments

Participants agreed that managers must be assessed on their behaviour and their investment in safety (through contracts and pay). However, the debate revealed diverging practices in the implementation of sanctions. Here we simply note that bad faith, recurrent negligence and wilful violations are uniformly penalised. In all cases, the penalty must be clearly understood if it is to be accepted.

More detail of the ideas and warnings highlighted by the plant director's group is available in the Appendix A, organized according to the seven safety principles set out in the main grid.

2.3 Testimonies

T1 The improvement plan

What? Why?

- The HSE improvement plan is part of a global approach to sustainable development and looks up to three years ahead. It covers six domains: Health/Safety/Working Conditions, Environment, Customer Satisfaction, Competitiveness, Social Development and External Communication.
- The improvement plan is divided into six areas:
  - Management
  - Health and Safety
  - Risks associated with the product
  - Environment
  - Process safety
  - Transport safety
- The plan makes it possible to set objectives and define actions to be taken in each area.

How?

- The director defines written policies for: Sustainable Development and Health/Safety/Working Conditions and Environment.
- The scope of each of these policies is decided in consultation with the Board of Directors.
- The initial input data to the improvement plan is reviewed.
- Three-year goals are identified for each of the domains.
- An annual HSE seminar is organized that includes representatives from all hierarchical levels (about 10% of site personnel). This seminar makes it possible to establish concrete targets and a three-year safety action plan.
- Each production workshop or functional service follows-up the seminar with team meetings to identify the contribution to the unit's objectives.
- Key points are distilled into easy to understand HSE materials.
- Progress of the plan is monitored through working group meetings.

Lessons and results:

- The improvement plan is made more effective through the integration of the viewpoints of staff and supervisors.

Working Group Analysis

Illustrates leadership principles 1, 3 and 5.

The improvement plan directly demonstrates safety leadership Principle 1 (Create a Safety Vision that is coherent with the values and principles of management). It also contributes to Principle 3 insofar as a large cross-section of staff are involved (influence, persuade and promote the flow of information through the hierarchy). The seminar formula promotes cooperation and horizontal work, while teamwork encourages a group dynamic on safety issues (Principle 5: Promote team spirit and horizontal cooperation).

T2 The safety video

What? Why?

- The safety video is shown to anyone accessing the site (except possibly accompanied visitors). It is available in several languages (if necessary) and lasts about ten minutes.
- It presents the basic safety instructions for the site (what to do in the case of an emergency, Personal Protection Equipment (PPE) to be worn, particular instructions related to the specifics of the site, *etc.*)
- Assimilation of key points is assessed by a multiple-choice questionnaire and satisfactory performance is required for site access, particularly for personnel from external companies.

How?

- The video can be prepared internally by the company's communication department, an intern studying communications or others.
- The video can be structured as follows:
  - Begin with an introduction from the site director lasting about one and a half minutes. This should stress the importance of safety, regulatory requirements, responsibility, commitment, rigor, expectations and individual commitment.
  - It then presents:
    - Site activities (20 seconds)
    - The purpose of the questionnaire that will follow the video (25 seconds)
    - Site access rules for pedestrians and vehicles. The use of closed-circuit television (1 minute)
    - Rules concerning the use of PPE (1 minute)
    - General safety rules (smoking, alcohol, vehicle and pedestrian circulation, use of telephones, *etc.*) (1 minute)
    - How to respond to incidents and accidents (1minute 30 seconds)
    - Alarms (alerts to the presence of gas, the Internal Operation Plan, the Individual Intervention Plan) (1 minute)
    - Work permits, specific clearances, signage (2 minutes)
    - Product hazards, labelling (30 seconds)
    - The importance of tidiness and cleanliness, waste sorting (30 seconds)
    - A summary from the site director (30 seconds)
- The video is followed by a computerized questionnaire. If the questionnaire is not answered correctly, the video is shown a second time. It is mandatory to pass the test to obtain an access badge for the site.

T2 The safety video

Lessons and results

- The video must be updated regularly in order to refresh the message from senior management and reflect current priorities.
- Access permissions for long-term interventions are generally renewed every year; it is a good idea to maintain awareness by showing the safety video again at this time.
- Both the video and the questionnaire are necessary for instructions to be fully assimilated.

Working Group Analysis

Illustrates leadership principles 2, 3, 4 and 7.

The video is a powerful way to demonstrate the commitment of the director and the entire management team to safety and to raise awareness of site hazards and safety rules. Quality is important and it must be regularly updated (following a change of personnel, changes in units and/or organization, *etc.*) in order to ensure that Principle 2 (the role of safety and its daily management) and 4 (exemplary and coherent conduct) remain credible.

The video demonstrates the commitment of management even if they are not present on-site. It would be useful to supplement it with the presence of a senior management representative (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy). This tool highlights essential safety instructions and makes everyone entering the site responsible for their actions. It contributes to the successful implementation and enforcement of safety policy (Principle 7: Acknowledge good practice and apply fair sanctions).

T3 The decision analysis observatory (OSRDE[1])

What? Why?

- This is a "learning from experience" process applied to decision-making. The aim is to check that sufficient attention has been paid to industrial safety, personal safety and environmental protection in a context where the demands of economic performance pose significant challenges.

How?

- The Observatory is particularly useful in cases where it is difficult to understand why particular decisions were taken in situations that required trade-offs between the various challenges faced by the company.
- The tool is not intended to judge either decisions or decision-makers; rather, it provides a mechanism to ensure that the decision-making process is functioning properly.
- The analysis is usually carried out by individuals who are independent of the actors involved in the decision-making process, for example, human factors' consultants.
- The analysis is presented to a Board-level commission who examines the modalities of decision-making, the quality and completeness of the information available to decision-makers and seeks ways to improve decision-making processes.

Lessons and results

- The use of this tool can be sensitive as it calls into question the operation of the managerial chain of command. It is therefore important to avoid judging individual behaviour if the approach is to be accepted.
- The tool promotes transparency and objectivity in decision-making and helps to clear up any misunderstandings in explanations of why certain trade-offs were made.
- This type of learning from experience can help to strengthen the communication processes that accompany decision-making and consequently the motivation of personnel.

[1]Observatoire sûreté radioprotection disponibilité environnement (the Safety, Radiation Protection, Availability, Environment Observatory)

Working Group Analysis

Illustrates leadership principles 2, 4 and 6.

The implementation of the OSRDE tool demonstrates the site director's very firm commitment to safety (the example given here is from the domain of nuclear security). It demonstrates a willingness to continually re-examine the situation in order to improve, including raising issues that concern the director's close colleagues or the personal involvement of director themselves.

This managerial tool promotes learning from experience. It contributes to the continuous improvement of the organization, managerial behaviour and maintenance of a safety culture. Moreover, it reinforces the leadership of the director and other managers involved in the decision-making process:

- It demonstrates that safety takes precedence over other issues (Principle 2: Give safety its rightful place in the organization)
- It shows that those responsible can be challenged and demonstrates a commitment to transparency in decision-making (Principle 4: Be credible: provide a coherent example)
- The use of the tool may indicate a willingness to listen to staff working in the field. Listening to their concerns may identify misunderstandings that would support its implementation (Principle 6: Be available on-site to observe, listen and communicate effectively).

T4 "Live my life"

What? Why?

Managers invite a colleague from another profession to join them for a day (or half day) to experience their daily activity. The aim is to promote mutual understanding and strengthen cooperation.

How?

The process must be initiated by the highest supervisory level and gradually rolled-out to front-line managers. Each manager offers a colleague the opportunity to share their working day. The post-holder takes a back seat, while providing sufficient support so that the colleague can carry out their duties. The exchange is reciprocal. Following the exchange, the two peers debrief each other and identify areas where cooperation can be improved.

Lessons and results

These exchanges are considered highly beneficial by participants. They enable managers to assess the daily challenges and constraints of their counterparts and consequently cooperate more efficiently.

If a large number of staff are to participate in the exercise, there must be rigorous organization and high availability.

Working Group Analysis

Illustrates leadership principle 5.

The implementation of such a tool requires the direct involvement of the site director and a willingness to break down the barriers to better mutual understanding. This initiative demonstrates an intention to "Promote team spirit and horizontal cooperation" (Principle 5).

T5 Ten golden rules

What? Why?

This concerns the definition of the core action principles that are used to assess the conduct of all staff. They constitute both a guideline for safety requirements and the red line that must not be crossed (*cf.* Figure 2.1).

How?

Following careful consideration, senior management must identify the ten fundamental principles that constitute the company's core, permanent safety requirements (*e.g.* respect and enforce the wearing of PPE, respect regulatory requirements, carry out a safety analysis before any change, *etc.*). These messages must be written in clear and concise language and be widely distributed and supported. They should be known and respected by all personnel.

Lessons and results

If these messages are well thought-out, they can form the foundation for a shared safety culture. The "golden rules" are a fundamental reference point and can serve as a guideline and provide the framework for everyday actions. The definition of acceptable limits makes the sanctions policy clearer.

Figure 2.1 – *Example of the ten golden rules*

Working Group Analysis

Illustrates leadership principles 1, 3 and 7.

This initiative requires directors to agree on the core issues – a limited number of shared rules (Principle 1: Create a Safety Vision that is coherent with the values and principles of management). The aim is to share this vision (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy) by developing a clear message that can be understood by all staff. It highlights potential sanctions in cases of non-compliance (Principle 7: Acknowledge good practice and apply fair sanctions).

We recommend involving staff and their representatives in the preparation of these rules. They should take into account risk assessments, accident statistics and general lessons learned from experience.

T6 Safety visits by senior managers

What? Why? The aim of safety visits by senior managers is to visit the site in order to observe operating conditions and discuss safety practices with operators and managers. The objectives are to:

- Identify the practices of operators and supervisors.
- Detect hazardous situations and behaviours (raise awareness of weak signals) and highlight any serious deviations.
- Check that the fundamental rules are understood, applied and enforced on the ground.
- Demonstrate the importance given to safety by senior management.

In order to achieve optimal performance.

How?

- This compulsory visit has a programme and a methodological guide. It may potentially involve the participation of several levels of management and different specialties (department heads, senior management) and an HSE representative. Usually it includes the manager directly responsible for the zone or the team involved. A report is prepared on the results of the visit.

Lessons and results

- The visit, when carried out in a spirit of asking questions and communicating simple and clear messages builds trust, initiates action, and provides operators and managers with a new perspective. The identification and analysis of problems in implementation helps to continuously improve the rules. Participants must be careful not to turn the visit into an audit of physical conditions, an informal discussion or a forum. If unsafe practices are observed, it is enough to provide a reminder of general policy without reciting the rules. If participants are able to listen, engage and motivate people the visit can become a key way to establish an HSE dynamic in the unit.

Working Group Analysis

Illustrates leadership principles 3, 6 and 7.

This on-site presence demonstrates the commitment of the highest levels of the hierarchy to strengthening the rigorous implementation of safety in the field (Principle 6: Be available on-site to observe, listen and communicate effectively). The plant director must have a firm commitment to maintaining the motivation of the hierarchy during the visit, while at the same time finding the appropriate balance between control, listening and support. Through these contacts with workers in the field, the hierarchy shows that their concerns are heard; the visit goes hand-in-hand with the implementation of management instructions and encourages the reporting of any problems in their application (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy). The first part of Principle 7 (recognize best practice) is illustrated by the identification and encouragement of best practice. The second part (apply just punishment) is illustrated by the fact that if deviations are identified, there is open discussion with the person concerned and any necessary sanctions are applied.

3

Construction project managers

3.1 Participants

Participants are project managers responsible for the construction or renovation of industrial facilities, or directors who supervise these activities. Some have, or have had HSE responsibilities. Most have extensive national and international project experience. They are responsible for budgets of up to several billion euros. Some represent owners/investors and others work for contractors. Their recommendations are therefore addressed to those responsible for the construction or renovation of industrial facilities or large projects.

3.2 The main issues

Integrate safety from the outset, then find solutions that promote safety

It is essential to be practical in scheduling work: optimize logistics and timetable actions in order to avoid multiple, concurrent activities. Meticulous attention to site management can set the standard from the outset – for example, prepare the terrain so that work does not begin in muddy conditions. Risk management should be constantly revisited throughout the duration of the project. For example, the day (or shift) can begin with a review of any changes and addressing any new risks that they may have introduced.

Engage all teams in the overall vision

Construction projects (whether a new site or an existing operational unit) always involve external companies (subcontractors). Therefore, it is important when the project begins to establish all rules based on shared values. Ideally this is done through a preliminary workshop, particularly for long or medium-term projects. For short-term projects, a good solution can be to provide each worker with a card summarising the site rules and ensure that teams understand the fundamentals of working on the site on arrival.

Clearly define individual roles with respect to safety

Aside from the question of legal responsibility, the allocation of safety responsibilities between activity managers and HSE professionals (coordinators, safety facilitators) must be well defined. HSE professionals have an advisory role; they provide support to managers who must take the decisions that have an impact on staff safety. However, this exercise of dual responsibility can only function if there is sufficient time for

regular discussions. The creation of a safety committee can help to promote safety issues. It can provide a forum for discussion, problem solving and monitoring of prevention activity indicators.

Think "integrated project team"

Construction managers must think beyond a simple client-supplier relationship and initiate a partnership of respect and cooperation between construction crews and HSE actors, and similarly clients, contractors and subcontractors. The creation of a safety committee that is open to all stakeholders can serve as a meeting point and can help to force compromises that satisfy the shared values agreed at the outset.

Take a zero-tolerance approach to deviations, train staff to detect them and carry out regular, structured site visits

To ensure that requirements are maintained at a consistent standard, a useful approach is to organize training courses for local management. This training must include increasing awareness of general risk, specific project risks, risk management tools and site observation. A visit programme can be organized for all managers, ideally accompanied by experienced staff (*e.g.* on-site HSE professionals). Every manager, whatever their level (from directors at headquarters to local supervisors) is held accountable for the successful execution of their programme.

Provide regular, structured opportunities for sharing safety information

The schedule of safety committee meetings must be tailored to the project and its duration. The aim is to maintain momentum, ensure monitoring and make any necessary adjustments. Minutes are taken and potential topics include: an examination of indicators (actions and results), any points requiring particular attention, incidents (in the broad sense – both accidents and near misses), examples of good practice and any other relevant contributions from external sources (clients, contractors, or subcontractors). The meetings mobilize activity managers in the various stakeholder companies and provide an opportunity to check progress on improvement actions.

Promote good practice rather than punish bad; make it clear that violations of fundamental rules are punished

This approach relies on structured communication methods: "safety challenges" and internal magazines or posters for the publication of results or best practices (making sure that the name of the source is included). Sanctions are reserved for unacceptable behaviour, such as smoking in a gas zone. These limits must be defined, disseminated and explained at the beginning of the project.

More detail of the ideas and warnings highlighted by the project manager's group is available in the Appendix A, organized according to the seven safety principles set out in the main grid.

3.3 Testimonies

T7 The site safety card

What? Why?

- Site safety cards contain the site's basic safety instructions: what to do in an emergency, the wearing of Personal Protection Equipment, the use of mobile telephones, no smoking, *etc.* It can be produced in a small, pocket-sized format (*cf.* Figure 3.1).
- It is aimed primarily at external contractors and enables staff to quickly identify the key instructions that apply to everyone on the site.

How?

- It is issued to new personnel during their safety briefing and is provided again when preventions plans are drawn up.
- They must be carried at all times by everyone on the site, particularly team leaders of external contractors.
- The safety card includes a simplified site plan that enables staff to orient themselves and shows the various emergency assembly points.

Lessons and results

- Experience shows that contractors find this card very useful. This is demonstrated by the fact that staff are seen to refer to it during the various Internal Operation Plan exercises. Internal audits confirm that on-site personnel very rarely forget to carry it.
- This card is especially helpful for workers who do not spend much time on-site but who must understand the specific site instructions.

Figure 3.1 – *Example of a site safety card*

Working Group Analysis

Illustrates leadership principle 3.

The safety card is a perfect illustration of the kind of message site management must provide in order to "Share the Safety Vision". Given the great diversity of on-site personnel working for very different periods of time, the project manager must define – from the very beginning of the project – the key messages that everyone can understand and remember.

The systematic issue of this card for access to the site and checks on its use during site visits are reminders that site management requires rules to be respected.

T8 Shared client and contractor objectives

What? Why? (*cf.* Figure 3.2)

- At one site a bonus/penalty system was attached to the contract for the renewal/extension of a project. The experience showed that the many and various penalties traditionally used in contracts do not provide incentives. The alternative system of achieving shared objectives operates on five axes: cost, time, quality, personnel safety and management of industrial safety (International Safety Rating System, Level 7).
- Objectives are agreed jointly by the client and the contractor in a win-win spirit. Depending on the results obtained in the five axes, incentives for the contractor may range from penalties up to a bonus of 5% .

How?

The system was proposed by the client's Construction Project Manager and the contractor's project manager quickly agreed.

- An outcome indicator is selected from among the management indicators in each area.
- A minimum performance guarantee and an optimum performance corresponding to a maximum bonus are agreed for each area.
- The contribution of each area to the bonus is proportional to the outcome achieved; the final bonus is the average of the five areas.
- Results in any area that are equal to, or below the minimum performance guarantee cancels the final bonus. Moreover, the cost and time axes can result in penalties.

Lessons and results

- The use of this tool is too recent to provide comprehensive feedback. Nevertheless, the assessment of the two parties so far is positive. It gives the contractor a better overall vision of the project and encourages a partnership between the client and the contractor. It promotes dialogue and discussion and new approaches to raising safety awareness. The parties noted greater communication and sharing of ideas and therefore better cooperation in efforts to improve safety.
- This approach clearly requires a certain level of motivation, notably an effort to listen to and understand the constraints of the other party. Furthermore, it will not be clear whether the application of penalties in areas that have a bearing on safety is necessary until there is more feedback from the results of the experience.

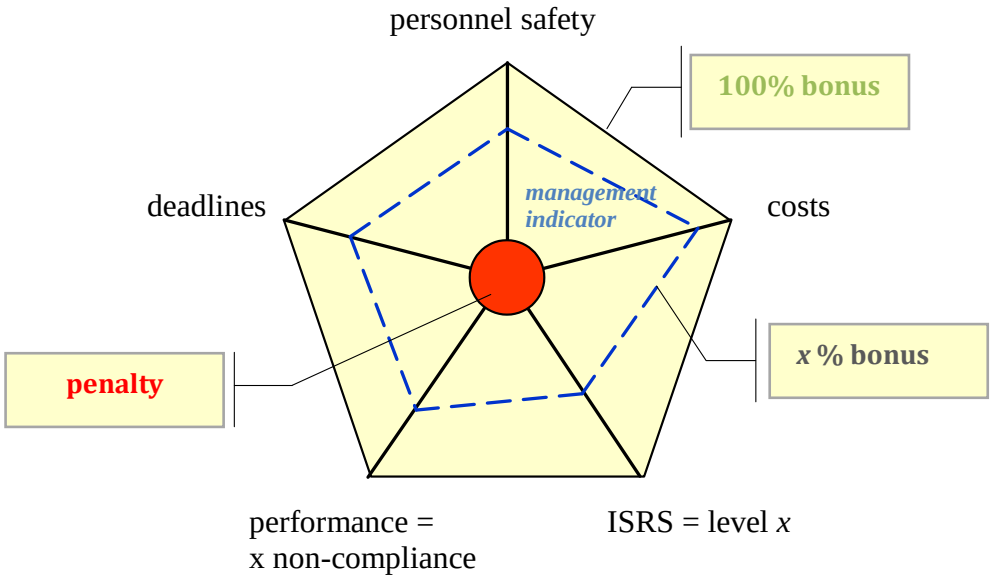

Figure 3.2 – *Example of the usefulness of shared client and contractor objectives*

Working Group Analysis

Illustrates leadership principles 1, 3, 5 and 7.

This tool enables the site foreman to establish a Safety Vision that is shared between the client and contractors at a very early stage in the project (Principles 1 and 3). It promotes a sense of solidarity between the various actors (Principle 5: Promote team spirit and horizontal cooperation) and it makes it possible to acknowledge good performance by the various companies involved (Principle 7: Acknowledge good practice and apply fair sanctions).

The balance between profit-sharing and the implementation of prevention actions should be noted.

T9 A safety-based joint strategic approach

What? Why?

- Involve the entire subcontractor management team in the construction of an approach to site safety that is based on shared objectives, organization and resources.

How?

- At the start of the project, and once the general objectives have been agreed by senior management, the client's Construction Project Manager organizes a workshop with their supervisory team and subcontractors based on the principles described below:
  - **Vision**: Where do we want to be at the end of the project particularly in terms of the frequency and severity of accidents?
  - **Management**: Definition of individual roles and responsibilities – the client, contractor and subcontractors.
  - **Values**: Establish a code of conduct that is consistent with shared beliefs.
  - **Strategy**: Define the ten core actions that will be the determinants of success, drawing upon lessons already learned and benchmarking.
  - **Win**: Establish correlations between safety and good performance by demonstrating that safety improvements reinforce good operational performance.
- Some examples of core actions:
  - "Design to build easily": Designing just for construction is easy. Think about logistics: site access, lockers, travel time, *etc.*
  - Use the safety record as an indicator of success.
  - Train personnel to be alert to hazards.
  - Implement safety standards that are consistent with the most efficient practices.
  - Establish a structured and coherent multi-media communication programme that can be understood by workers regardless of their nationality.

Lessons and results

- Safety forms the glue of solidarity between different populations.
- Experience shows that the best operational performance implies good safety performance.
- Involving external suppliers upstream given them responsibility for their conduct when on site.
- Note that safety must not become simply an excuse to improve performance; it must remain a central concern in its own right.

Working Group Analysis

Illustrates leadership principles 1, 2, 3, 4 and 5.

This is probably one of the best examples of the exercise of leadership by a construction project manager. Although the approach is classic, the novelty lies in the use of safety as a foundation and as a catalyst for achieving overall performance. The idea is that safety improvements will lead to better performance in all other areas.

The approach begins with defining the vision (Principle 1, Create a Safety Vision that is coherent with the values and principles of management). Safety is the driver used to optimize the organization and its actions (Principle 2). The approach generates activities around the theme of safety and embodies Principle 3, "Share the Safety Vision". Through this initiative, that demonstrates that safety is a principal concern, the project manager sets an example (Principle 4, Be credible: provide a coherent example). The involvement of all stakeholders in building the approach strengthens cohesion and team spirit (Principle 5).

4

Maintenance shutdown managers

4.1 Participants

Participants are responsible for large-scale maintenance activities that require that shutdown of installations. They are project managers, directors of specialized units or service company managers. They have experience in the chemical, steel, nuclear power and transportation industries amongst others and some of them have witnessed serious events. The recommendations outlined below are aimed at all those in charge of maintenance shutdown at an installation or production unit.

4.2 The main issues

Adapt and disseminate the unit's objectives

In general, the limited duration of work means that there is no particular safety vision associated with a shutdown. Nevertheless, it is desirable to adapt the unit's safety vision to the shutdown situation. It is also necessary to ensure that the unit's objectives and action principles are disseminated and made accessible to everyone involved, particularly service company personnel.

Involve HSE support services at the preparation stage

Everyone agrees that safety begins at the preparation stage. It is essential that safety experts are integrated into the shutdown team at a very early stage and that they work closely with technical decision-makers and shutdown managers, particularly with respect to logistics.

Ensure that workers are well-informed and made to feel welcome

How service providers are introduced to the site – the description of the shutdown and any specific risks – is an essential step. An effective and novel approach is to give responsibility for this presentation to service company managers on the basis of information provided by the client. On-site logistics and physical conditions are critical to the safety and motivation of personnel.

Involve service providers in decision-making and make them responsible for follow-up

Overall team cohesion is important to safety. It begins at a very early stage, which means that contracts must be prepared well in advance.

Interactions with service providers should not be limited to a simple exchange of information about objectives, risks, countermeasures or logistics. Service providers must share their experience and know-how. Any proposals should be discussed with them so that all decisions and technical options are optimal in terms of both quality and safety. Maximum use should be made of the skills of service providers, rather than trying to impose methods that have been optimized without their participation. These approaches encourage greater accountability and commitment in implementation and inspection activities.

Explain the necessity for regulatory measures

Preliminary visits and the prevention plan are opportunities to discuss and share the risk analysis, rather than simple administrative formalities.

Ensure that senior management and service company managers are regularly present on-site

The on-site presence of the shutdown manager and their colleagues is, of course, essential. However, it must be complemented and strengthened by visits from senior client representatives and service company managers. Interactions with workers during these visits should be used to reinforce the company's requirements in terms of personal conduct and the condition of facilities.

Set an example and protect workers from pressure

The natural instinct of the shutdown manager is to reduce downtime and costs. To be taken seriously in the safety domain they must pay particular attention to any problems found in the field and be personally rigorous in their respect for rules. They must demonstrate an uncompromising respect for legislation concerning working conditions (such as working hours) and make themselves available to deal with safety issues.

The shutdown manager must also set an example by adopting a questioning attitude and demonstrate their willingness to take responsibility for their own actions and challenge colleagues. They should know how to fall back to a strong initial position that ensures safety should the conditions of the shutdown require it.

Use rewards to create competition

Rewards for suppliers or their individual teams currently take the form of the safety challenge where common assessment criteria are shared by all staff. Individual awards by the client are less common.

Financial rewards in the form of bonuses and penalties are considered dangerous as a failure to meet targets can cause panic. However, while there is agreement that safety performance or investment in safety must be selection criteria for contractors, too much weight is still given to their technical capacity and costs.

Direct sanction of a service company employee by the client (withdrawal of site access) should be reserved for situations where there is a clear voluntary or conscious will to create a hazard. For other non-compliant conduct, the matter should initially be taken up with the worker's manager.

Pay attention to skills' maintenance

Many participants expressed concern about the risk resulting from loss of skills. This risk is created by a combination of the loss of experienced workers, a transfer of workers from service providers to client companies, and a trend towards external coordination via a few main service providers or integrated service provision (merged maintenance and logistic operations).

More detail of the ideas and warnings highlighted by the maintenance shutdown manager's group is available in the Appendix A, organized according to the seven safety principles set out in the main grid.

4.3 Testimonies

T10 The weekly HSE schedule

What? Why?

- This schedule coordinates all safety-related activities and is updated on a weekly basis.
- The objective is to raise the profile of HSE in the organization of the shutdown, *i.e.* to identify and manage activities aimed at improving safety during the shutdown.

How?

- All stakeholders are involved in the preparation of the programme (senior management, the shutdown manager, site managers, team leaders, HSE services and the Health and safety committee). It is drawn up when work begins, at a time agreed between the client and the external contractor.
- The programme includes audits, group discussions, site meetings (ongoing work, HSE issues, gamma radiation, lifting operations, *etc.*), specific actions related to the current on-site situation and key events (accidents, near misses, hazardous situations, *etc.*)
- It is managed by the client company: minutes, follow-up actions, *etc.* are signed off by the client and the external contractor.

Lessons and results

- This tool should be used rigorously; the aim is to give operational staff from various trades and professions a sense of responsibility for safety management.

Working Group Analysis

Illustrates leadership principle 2.

Through this close monitoring of safety activities and regular updates to the schedule, the shutdown manager demonstrates the importance that is given to safety and strengthens management of objectives (Give safety its rightful place in the organization and management and oversee it on a daily basis).

T11 The safety challenge

What? Why?

- The challenge rewards teams and/or individuals for exemplary safety conduct.
- It is primarily aimed at external workers but can also include client's intervention teams.
- The aim is to maintain awareness and encourage others to behave similarly regarding respect for safety instructions, workshop conditions and original and effective initiatives.

How?

- Each workshop is assessed by an audit team (personnel responsible for risk prevention, representatives of the various trades and professions and members of the Health and safety committee).
- This assessment consists of common criteria for all trades and professions and specific criteria based on particular risks.
- Ranking is carried out by a jury composed of the director, the shutdown manager, a member of the Health and safety committee and safety experts.
- Assessments are carried out on a weekly basis.
- One type of reward is aimed at the level of the workshop or external company. The manager or supervisor receives a batch of awards (ideally safety-related) to give to all their staff.
- A second type of reward is aimed at individuals whose exemplary conduct was noted by auditors. The award is accompanied by a short speech.
- The presentation of these awards is communicated widely within the company: in the minutes of meetings, newsletters, by video or on the company's intranet.
- The final reward is given to the company that had the best safety performance for the duration of the shutdown. These rewards can be individual gift vouchers for each employee.

T11 The safety challenge

Lessons and results

- Service company personnel generally respond well to the challenge and consequently are less hostile to the audit.
- It is important to encourage the efforts of teams that have a real safety dynamic even if another company dominates the results.
- Attention must be paid to the criteria used, which must be representative of actual efforts made to improve safety (a breadth and depth approach) and not reflect a superficial and fleeting display of effort.


SAFETY CHALLENGE
SHUTDOWN XXXX

Awards for the week
From …. To ….

Company name:

Number of on-site personnel …

Working on……..

Audited ….. Times this week, no observations.

Safety Behaviour:

- [NAME] – working on …… (high chemical risks)
  Very aware of the need to wear Personal Protection Equipment (protective goggles + face shield + chemical handling gloves + anti-acid overalls)
- [NAME]
  Good awareness of safety instructions in particular those linked to the opening of circuits
- [NAME] – environmental awareness
  Good identification of emergency posts.

Figure 4.1 – *The Safety Challenge*

Working Group Analysis

Illustrates leadership principles 3 and 7.

By organizing this challenge the shutdown manager improves the motivation of service company managers, workshop supervisors and workers (Principle 7: Acknowledge good practice and apply fair sanctions). Furthermore, if they are personally involved in the challenge, shutdown managers demonstrate that safety is a priority and that staying on schedule is not their only concern (Principle 3: share the vision of safety).

T12 Specialized workstation assessment

What? Why?

- A specialized risk assessment unit is assigned to a workstation in order to increase confidence in prevention measures.
- The aim of these studies is to make an objective assessment of risk and modify prevention measures. Too many prevention measures can generate other risks. The assessment also helps to demonstrate to external companies the rationale and coherence of the protection measures in place.

How?

The assessment consists of several steps:

- Workstation studies are initiated by the shutdown manager in consultation with the occupational physician and senior management according to the nature of the risks (chemical, radiological, Carcinogenic, Mutagenic or toxic to Reproduction, biological, dust, *etc.*).
- Preliminary meetings are held with workers to explain the method and measurement means.
- The results of the study are presented at a round-up meeting, together with any protection measures to be applied as a result of the exercise. In most cases, the application of current requirements for the wearing of Personal Protection Equipment (PPE) in defined zones is enough to ensure adequate protection. However, modifications may be necessary and in some cases, a reduction in the use of some PPE is recommended.

Lessons and results

- A better understanding of risk makes it possible to tailor prevention measures to the situation and minimize adverse effects.
- The study also helps to restore confidence in existing prevention measures and enhances the credibility of senior management and the maintenance shutdown manager.

Working Group Analysis

Illustrates leadership principles 2 and 4.

This action exceeds regulatory requirements. It combines an objective opinion on risk from an independent third party (Principle 2) with setting an example by implementing the necessary means to ensure safety (Principle 4: Be credible: provide a coherent example).

T13 The shutdown safety charter

The aim is to formalize the commitment of stakeholders to the HSE objectives of the shutdown. Although there may already be other company-level charters they merit being translated into concrete issues related to the shutdown.

The charter is the result of a formal meeting between external contractors and the client. The purpose is to agree on the challenges posed by the shutdown and site safety rules. It is a commitment made by all stakeholders. The charter is widely distributed and the commitment is therefore made apparent to all personnel.

The charter ensures consistency between objectives and concrete provisions and better support from external contractors.

Working Group Analysis

Illustrates leadership principles 1, 2 and 3.

This tool enables clients and contractors to agree on the safety objectives of the shutdown (Principles 1 and 3). While contracts tend to focus on technical and economic performance, the charter marks the formal managerial commitment of all parties to safety. This realistic, united and visible commitment by partners has a positive influence on the attitudes of actors in the field while at the same time giving project managers and policy-makers a sense of responsibility. The demonstration of mutual commitment makes safety a priority for daily management (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis).

T14 Zone sponsorship by a senior manager

The idea here is that a senior manager "sponsors" an activity. They are integrated into the shutdown team and associated with the management of a sector. The goal is to demonstrate their commitment to the execution of the shutdown, reinforce objectives and increase the motivation of all personnel.

For the duration of the shutdown (and in addition to their usual functions) senior managers are integrated into the management team led by the shutdown manager. They work in tandem with a technical assistant (who provides the necessary skills) and take the role of day-to-day site facilitator. It would be impossible for them to undertake this role with the same efficiency through simple safety visits by the hierarchy.

This practice facilitates dialogue between the shutdown manager, senior management and the various other actors involved in the shutdown.

It requires adaptability on the part of senior managers and particular attention from the shutdown manager so that team roles are respected. It is important to avoid a situation where long-term responsibilities overrule responsibilities allocated for the period of the shutdown.

Working Group Analysis

Illustrates leadership principles 4 and 6.

Through this initiative the shutdown manager helps senior management to set an excellent example (Principle 4, Be credible: provide a coherent example). This type of action cannot be implemented without the firm commitment of the unit director. In positioning themselves as the facilitator of a team that consists of a certain number of directors, the shutdown manager reinforces their credibility, notably through their ability to involve senior management in the domain of safety. Their leadership role is further enhanced when directors are seen to follow their lead, as their actions expose them to evaluation by the hierarchy.

By involving senior management in the shutdown, the shutdown manager also promotes Principle 6 (Be available on-site to observe, listen and communicate effectively).

5

HSE actors

5.1 Participants

Participants are HSE actors in industrial production units or HSE managers in major industrial energy, aeronautics and chemicals groups. They have had industrial experience of maintenance or operations and many have been president of the Health and safety committee. Their recommendations are aimed at HSE managers or facilitators in operational units.

5.2 The main issues

Advise and assist senior management

The obvious role of HSE actors is to provide support to senior management and to drive the collective thinking process that leads to the construction of a safety vision. They provide training and support in safety management and highlight the responsibilities of managers. They ensure that safety actions are practical and explain decisions using appropriate means of communication. They provide information and suggestions on how to handle emerging issues (regulations, progress on risks awareness and countermeasures).

They consolidate feedback from workers in the field and provide management with regular, up-to-date diagnostics.

Constantly communicate about risks and prevention

Although HSE actors do not usually have a formal place in the hierarchy, they can influence behaviour through a methodical communication plan and training. They must devise messages that are simple and easy to remember and provide efficient, practical support (posters, safety cards). They must know how to use repetition to encourage retention, while at the same time refreshing key messages so that they do not become stale. Their regular reminders of major risks maintain staff vigilance.

Identify deviations, change habits

HSE actors are constantly alert to deviations from the action plan or staff misconduct. They remind staff of safety objectives and action principles. They highlight hazardous situations that have become habitual. They ensure that risks are properly identified and prioritized.

Facilitate the integration of lessons learned

HSE actors ensure that any lessons learned from previous experience are fully assimilated. They provide practical tools for the collection, analysis and retrieval of lessons learned from accidents or other events. On the one hand, they ensure the quality of the analysis. On the other hand, they organize meetings and produce other information media to highlight internal (or external) events that provide the best demonstration of the lessons to be learned. They ensure that past experience is not forgotten in the implementation and monitoring of the action plan, and if necessary provide support for teams in difficulty.

They also ensure consistent practice across different groups in order to promote a collective dynamic.

Help senior management to take a step back, curb impulsiveness

HSE actors participate in the decision-making process; they clarify challenges related to safety in the short-term and improvement efforts. They ensure that decisions are not taken hastily, particularly those related to potential sanctions for non-compliance. They make sure that the context and any socio-organizational factors are taken into account. They are aware of how decisions will be seen by the workforce; in cases of rejection or misunderstanding they look at the reasons why.

More detail of the ideas and warnings highlighted by the HSE actors is available in the Appendix A, organized according to the seven safety principles set out in the main grid.

5.3 Testimonies

T15 Participation in World Health and Safety at Work Day

What? Why?

- 28th April is "World Health and Safety at Work Day". The date was designated by the International Labour Organization in 2003. To mark the occasion, a day of activities and discussion can be organized on the theme of safety. The aim is to rally staff at all levels of the hierarchy levels and in all specialties in order to reinforce the idea of a shared safety culture. It also increases understanding of the issues, helps in the search for solutions that are suitable for the situation on the ground and contributes to their implementation.

How?

- Discussion groups lasting about 40 minutes are organized. Each group has a facilitator to encourage everyone to participate. Ideally groups are composed of about ten members of staff at all hierarchical levels who usually work together.
- To start the discussion the facilitator offers some themes (*e.g.* vigilance, prevention, commitment or intervention) based on actual on-site events that concern all participants. Facilitators then stimulate the discussion with open questions (prepared in advance) on the selected theme.
- Finally, the facilitator prepares a summary of the discussion (suggestions, proposals and comments) with the aim of highlighting some easily achievable ways to progress.

Lessons and results

- This approach complements and reinforces the usual safety management channels (managerial efforts, safety action plan, Health and safety committee, HSE support, *etc.*). In particular, it draws out the concerns of workers in the field that are sometime neglected and gives teams a sense of responsibility for solving problems.

Working Group Analysis

Illustrates leadership principles 3 and 5.

Through this initiative, the HSE actor encourages both awareness and creativity (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy). Involving all personnel in safety-related activities promotes teamwork and horizontal cooperation (Principle 5) and demonstrates that safety can be a shared value that unites the various site stakeholders.

T16 The suggestion reward scheme

What? Why?

- This tool encourages collective and/or individual initiatives to improve safety, rewarded by vouchers.

How?

- For collective initiatives, the idea is to provide each team with a regular (*e.g.* quarterly) challenge. Meeting the target results in a reward fixed in advance and shared equally between all team members.
- For individual (or small group) initiatives the first step is to reward the best ideas and the second is to reward their successful implementation.
- Initiatives are selected and assessed by a jury composed of members of senior management, the HSE officer(s) and the Health and safety committee.
- Details of the initiatives that have been rewarded are distributed internally.

Lessons and results

- Unlike other tools that use measures such as reduced accident rates, this type of reward does not run the risk that accidents are simply not reported.
- Moreover, it is egalitarian as not all trades and professions are equally exposed to risk.
- If individual and collective rewards are combined, both competition and solidarity are encouraged.

Working Group Analysis

Illustrates leadership principles 3, 5 and 7.

With this tool the HSE actor encourages workers in the field to take the initiative in suggesting safety improvement measures. It therefore illustrates Principle 3, "Share the Safety Vision".

Moreover, it encourages group initiatives and collective efforts to achieve agreed goals. It therefore also supports Principle 5 "Promote team spirit and horizontal cooperation".

The leadership of the HSE actor is also shown by their ability to bring together actors from all backgrounds to dynamically strengthen safety, with the support of management and social partners. The suggestion system is a good illustration of leadership, both because its implementation requires significant effort to arrive at agreement with all partners and because its operation requires action by HSE services and the involvement of the Health and safety committee.

Finally, this is a clear demonstration of the first part of Principle 7 "Acknowledge good practice".

T17 Photo reporting

Field operators photographically document deviations from safe practice. Each team or function is given a camera. The photographs are attached to a formal event report; they throw the spotlight on the event and promote action. They are used in regular meetings.

This tool facilitates the rapid flow of information through the hierarchy and helps in event analysis. It is also useful to photograph the results of corrective actions (to make a before/after comparison). This approach is particularly useful in demonstrating the lessons to be learned. It is also an opportunity to highlight how important it is for everyone to pay close attention to safety.

Working Group Analysis

Illustrates leadership principle 3.

The use of photographs to report issues facilitates event analysis, promotes the rapid rise of information and accelerates corrective actions (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy). In particular, it overcomes any difficulties in understanding written or oral communication (*e.g.* when there are workers of different nationalities on the site). This is a good example of a tool that is simple to use and accessible to everyone.

T18 "Worker of the fortnight"

What? Why?

- Each team member takes a turn in assessing group practices for a period of two weeks.
- The objective is to promote reporting of information from the field, involve workers and encourage shared vigilance.

How?

- As part of their regular duties, the designated worker must assess their working environment, colleagues, managers, client representatives or other companies, *etc.* from the point of view of safety (positive and negative).
- Whenever possible, direct and immediate action is taken as a result of the observations. If this is not possible a report is given to the line manager for follow-up action, either at the end of the day or at the end of the two-week period.

Lessons and results

- This practice helps to give a sense of responsibility to all actors in the field and helps develop solutions more suited to conditions on the ground.
- To the extent that the line manager takes immediate action when areas for improvement have been identified, the approach can help to acknowledge the contribution of field workers.

Working Group Analysis

Illustrates leadership principles 2, 3 and 7.

The proposed approach is novel and illustrates the need for HSE actor to be very creative. Both the means and the message must be constantly renewed to avoid deviant behaviour becoming commonplace or habitual.

By proposing this system, the HSE actor encourages vigilance on a daily basis (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis).

The system improves the detection of deviations or difficulties. Regular meetings between the team leader and the designated worker improve event handling (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy).

Giving field operators responsibility helps to acknowledge their safety skills (Principle 7: Acknowledge good practice and apply fair sanctions).

6

Team leaders

6.1 Participants

Participants in the team leaders meeting are supervisory staff in large companies in the chemical, petrochemical, energy, transport and construction sectors. They supervise a dozen, or a few dozen other staff. The extent of their responsibilities varies depending on the context (particularly those working in Human Resources) but all of them provide day-to-day team management for the achievement of objectives that are set within the context of a particular operation. They are the day-to-day drivers of safety and security management processes. These local managers have real power to influence decisions and acknowledge the good performance of their teammates.

6.2 The main issues

Drive team safety

Team leaders should discuss safety issues at regular (daily or weekly) formal or informal meetings. They must be strict on safety fundamentals. Similarly, safety must be highlighted during operational briefings and debriefings. They remind their team of regulatory requirements and prioritize actions; at the same time they must pay attention to any implementation issues and endeavour to resolve them. To be listened to, they must provide consistent, coherent key message that are regularly repeated.

They must involve team members and give them a sense of responsibility. It is important to give operators safety improvement measures that are appropriate to their level of responsibility, for example, by promoting the detection of weak signals and encouraging curiosity. Team leaders are responsible for maintaining a high level of vigilance among their teammates and must speak to them in their own language:

> *The detection of early signs is like collecting mushrooms... some can be spotted immediately, but others are hidden under the leaves ... [A participant]*

The team leader actions must be consistent with a continuous improvement approach that includes:

- The analysis of all accidents and near misses with the actors who experienced them.
- Integrating lessons learned from experience.

- Generating and maintaining staff motivation, in particular through rewards for exemplary safety conduct.
- An effective communication policy (posters, logos, *etc.*).

Beyond these measures, the team leader can request other staff (who are not directly responsible for the activity) to carry out an assessment of practices. Involving other staff members in the assessment, notably external suppliers, can help them to adopt requirements themselves.

Transform criticism into proposals and action

Teams can face particular criticism of their safety performance or even the direction taken by management without being offered any alternative solutions. Team leaders must ensure that criticism is used for the creation of realistic proposals that improve safety.

Their role is to encourage operators to analyse the causes of the problems identified and to together seek solutions according to their level of priority (the principle of subsidiarity). The best solutions tend to emerge at ground level and are then, if necessary, approved by the hierarchy.

Be the link between the hierarchy and teams

Team leaders provide the link between the demands on the ground and managerial objectives or requirements. They draw upon their staff's knowledge and skills in the safety domain to explain to mangers the reality in the field. Well-argued proposals help in being taken seriously. They analyse the observations and expectations of operational staff regarding managerial orders or objectives, and highlight any obstacles to integration and ownership. Team leaders do not see themselves simply as information relays or facilitators for the achievement of objectives: they want to be involved with senior management in decision-making.

Moreover, team leaders must take the questions and objections of their operators seriously. They must either assess and handle them themselves, or pass them on to the next level of the hierarchy. Whatever the outcome, they must explain the reasons why actions were taken (or not).

Rather than spending time on implementing management tools that are not always suited to the situation on the ground, team leaders work closely with their team and put their effort into providing support and increasing trust. On the other hand, they can turn the Occupational Risk Assessment into a real driver for progress and prevention.

Team leaders have a key role in shaping messages so that the team can understand and take ownership of them. They ensure that objectives and instructions are clearly and simply expressed and are aware that excessive requirements and procedures can cause problems of their own. They know that simplifying and reducing the amount of information facilitates understanding.

The group stressed the importance of making sure that field operators know that their concerns have been listened to and are aware of the importance of their role in the integration of safety in operations.

Know when to put safety first

The trade-offs between production goals and risk management are numerous. Team leaders, who are the link between managers and field operators, are often responsible

for reconciling competing or even contradictory instructions. It is their responsibility to ensure that safety requirements are always taken into account when decisions are taken, that the most efficient methods are used and that they have the support of team members.

Establish credibility to gain trust

A formal position in the hierarchy is not enough to establish credibility. Team leaders are appointed either because of their field knowledge (peer recognition) or their technical competence. Leadership is renewed on a daily basis by the added value the leader brings to team functioning.

A climate of trust and impartiality is essential to ensure safety and security. It is important to interact with workers in the field in ways that facilitate the upward flow of information. In certain cases, where it is necessary to encourage workers to talk about problems, there may be a need to guarantee confidentiality and it must be made clear that no-one will be punished. Team leaders must be available and responsive to the day-to-day problems of individuals and be ready to modify activities so that personnel are not put in danger. They should not hesitate to alert the hierarchy to the need to integrate constraints and suggestions from personnel in the field.

Shift supervisors (or their equivalent) usually have responsibility for coordinating the actions of team members in crisis situations. They must work with their teammates to win their confidence and ensure that they can effectively take control (authority, coordination) in emergency conditions.

Be personally involved in training

Team leaders provide supports for each new recruit. Requirements must be made clear right from the beginning as bad habits are difficult to change. They must also know how to use the skills of other team members for intra-group training.

Team leaders ensure that the team's ability to respond to exceptional or degraded situations is maintained. They must demonstrate the link between accident scenarios and site safety cards and explain what action to take in a crisis. Moreover, team leaders should remember that real-life situations provide the best lessons; it is in everyone's interest to organize unannounced simulation exercises.

The team must know that the opinion of their leader counts

Although team leaders are best-placed to assess the work of their colleagues, they rarely have the power to reward good performance, whether in terms of salary or career. Nevertheless, they would like to be included or given responsibility for assessing the performance of the staff they supervise.

Companies involve team leaders in the assessment process to varying extents, but the link between this assessment and any rewards must be transparent. Personnel need to know that the opinion of their immediate supervisor has been taken into account.

More detail of the ideas and warnings highlighted by the team leaders is available in the Appendix A, organized according to the seven safety principles set out in the main grid.

6.3 Testimonies

T19 Pre-job briefings for sensitive activities

What? Why?

This practice applies to activities that are particularly sensitive in terms of safety (for example, high-risk activities where the only lines of defence are human). In addition to the daily briefing, the team leader gathers the actors in charge of the activity for a specific briefing just before work begins.

How?

In the presence of the team leader, the person responsible for the work (or the person in charge of the group that will carry out the activity) briefs their colleagues on the key elements of the task and any necessary preparations, in addition to written instructions. The briefing includes:

- the objectives and initial conditions required,
- the main lessons that have been learned from this type of activity (the results of undesirable events that have happened in the past),
- all identified risks and corresponding countermeasures,
- the allocation of team responsibilities, notably the management of countermeasures,
- staff conduct rules, particularly in unexpected situations.

Team leaders validate and if necessary, supplement the information provided. They check that the challenges and any countermeasures that have been implemented have been fully understood and that everyone understands their role. They ensure that any outstanding issues have been addressed and that the activity begins in the best possible conditions. A debriefing at the end of the activity checks that objectives have been achieved and the experience provides feedback for future interventions.

Lessons and results

This is a very effective way to establish reliable human lines of defence. However, it is relatively time-consuming and the more people involved, the more important it is that it only happens in exceptional circumstances. Its use should therefore be restricted to relatively rare and high-stakes situations.

Working Group Analysis

Illustrates leadership principles 2, 4 and 5.

This practice reinforces the idea of safety as an absolute priority (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis). Its ad-hoc nature and sensitivity of the activity strengthens team cohesion and the objective of a successful and safe operation (Principle 5). By their presence during sensitive operations and through their management of lines of defence, team leaders provide an excellent example and demonstrate the coherence of their actions (Principle 4, Be credible: provide a coherent example).

T20 A new look

What? Why?

During scheduled visits to an installation or a workshop, the manager is accompanied by an operator or technician who does not work directly in the domain and who can therefore offer a different perspective.

How?

The visit is supported by a checklist which includes items such as:

- staff conduct,
- the condition of equipment and the working environment,
- documentation, posters,
- safety management.

A joint report identifies:

- any anomalies, classified by type (hazardous action, hazardous situation or bad practice) together with details of the consequent risks,
- immediate corrective actions (agreed or proposed), who will implement them and the schedule for implementation.

Lessons and results

Involving ground-level workers often produces an assessment that is more relevant and effective than a simple evaluation by members of the hierarchy. It is usually more readily accepted and acted upon by the people observed.

Working Group Analysis

Illustrates leadership principles 2, 5, 6 and 7

This practice raises awareness of the challenges and encourages those involved in the assessment to take ownership of requirements. It involves ground-level actors in the diagnosis of corrective actions (Principle 2: give safety rightful place in the organization). It gives field workers a sense of responsibility, acknowledges their skills and generates recognition (Principle 7: Acknowledge good practice). The fresh perspective provided by an external operator tends to reveal a few ingrained bad habits and can lead to questions about some practices (Principle 6). Such interactions with colleagues from other entities are always rewarding (Principle 5: Promote team spirit and horizontal cooperation).

T21 The photo tour

What? Why?

The photo tour requires the team leader to:

- Make a field visit with an operator taking photographs of strengths and areas for improvement in terms of safety;
- Implement actions accordingly.

This activity encourages operators to think about risk situations and involves them in improvement actions.

How?

- Each week the team leader tours the site with one or more operators.
- The visit is used to talk to operators about their view of safety and photographs are taken. Obvious safety issues are thereby permanently recorded together with habitual anomalies. At the same time, it is important to highlight examples of good practice.
- During weekly team meetings, a report of the tour is prepared in consultation with the entire team based on the photographs taken during the visit. The report has two parts:
  - "Strengths", with photos that illustrate the point,
  - "Areas for improvement", with photographs of problematic situations. For each of these situations the following questions are addressed in consultation with the team:
    - "What is/are the risk(s)?" "What could happen?"
    - "What is/are the origin(s) of the risk(s)? Obvious causes.
    - "What remedial actions can be put in place?"
  - The report is sent to all meeting participants and the HSE team.
  - Areas for improvement identified in the report are looked at again in the course of subsequent weekly team meetings. These meetings provide one opportunity (amongst others) to share any photographs taken following the implementation of corrective actions.

Lessons and results

This exercise requires the goodwill of operators who must be involved throughout the process: from the initial indications of a safety issue to the implementation of corrective actions. If the exercise is not made too serious and there are potential rewards on offer (for examples of good practice) staff beyond those directly involved often become interested. The practice encourages vigilance and arouses curiosity.

Warning: Photographs should not be taken with the intention of enforcing sanctions; nor should they be passed directly up the company hierarchy without first being seen by the team.

Working Group Analysis

Illustrates leadership principles 2, 5, 6 and 7.

This participatory exercise finds its support from personnel on the ground: it is effectively an inventory. Face-to-face with field personnel, the team leader encourages, generates and validates areas for improvement (Principle 6: Be available on-site to observe, listen and communicate effectively). They push operators to examine their own safety practices and encourage them to identify risk situations (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis). The photographs provide a concrete basis for discussion and collective thought (Principle 5: Promote team spirit and horizontal cooperation). Moreover, highlighting what is going well on the site (in-house situations and corrective actions) contributes to the recognition of good work, the commitment of operators and the whole team (Principle 7).

T22 Operating procedures written by operators

What? Why?

The idea here is to draw up procedures or operating instructions (for staff conduct, maintenance or re-entry into service following an intervention) with the active participation of the technicians responsible for their implementation. Traditionally, operating procedures are drafted by managers or specialized document preparation teams. Consequently, their application in the field is sometimes made difficult because of local issues that were not properly understood by the authors. This can lead to unfortunate failures or real-time trade-offs that compromise safety or quality. This practice aims to give more workers a sense of responsibility and reduce the gap between theory and practice.

How?

There are several ways to achieve this objective:

- The document is prepared by a working group that includes multiple stakeholders and if necessary, a draftsperson. The team leader facilitates the process and ensures compliance with objectives. The document is validated when it is first used.
- Verification and compliance with existing procedures are carried out by stakeholders during implementation. Checks are therefore carried out *a posteriori*.

In the case of re-entry into service, accountability can be extended by asking those involved in the maintenance operation to identify and develop any post-intervention testing necessary to demonstrate the availability and performance of equipment.

Lessons and results

Overall, participants in the exercise enjoy the experience and became better motived. Participants (including those that were not involved in the drafting) are more inclined to take ownership of operating procedures.

This practice enriches the documentary system. It helps to define the state-of-the-art by formalising best practice.

Warning: some workers or operators may be reluctant to participate in what they see as extra work that is not their responsibility. The manager's role is to highlight the benefits of the exercise, particularly in terms of making field operations easier.

Working Group Analysis

Illustrates leadership principles 2, 5 and 7.

The contribution of operators to this practice can be seen as recognition of their skills (Principle 7). The joint work of preparing operating procedures encourages careful thought and teamwork (Principle 5). Finally, it undeniably results in procedures that are better suited to the requirements of the field, which in turn contributes to the integration of safety management on a daily basis (Principle 2).

T23 Weak signal reporting

What? Why?

This involves the reporting of small deviations or insignificant events. Report cards are made widely available and are used to record and capitalize on abnormalities that do not have serious consequences or to collect suggestions for improvement actions.

Without these cards (when reporting is oral or spread across various reports) small deviations tend to be underused, lost or forgotten. This system, which establishes the traceability of observations, suggestions and information on any follow-up action, encourages more reporting, ideas and therefore greater vigilance by stakeholders.

When small deviations are acted upon, safety and quality improves; they provide an early warning of slight drift and reduce the risk of more serious deviations.

How?

The report card should fit on one page, be easy to use and not require any explanation. The following information should be provided:

- a brief description,
- a simple explanation (domain, seriousness) to facilitate sorting and how the issue is handled,
- any immediate action that would correct the deviation or reduce the risk, and
- any other suggestions.

The cards (in paper or digital form) must be collected as close to the site as possible to keep the data “hot”.

Management must arrange for initial checks and validation. This ensures that the data provided is of good quality and checks that any necessary urgent measures have been taken. A process must be established for the analysis of the cards and any necessary action to be taken. The process can be initiated by one team then extended to all the other trades or professions. Some cards will require particular attention; others will simply demonstrate generic lessons and actions.

To recognize the efforts of staff and encourage the use of cards, the team leader should put discussion of the process onto the agenda of the regular team meetings. This should include:

- A regular (usually weekly) review of reported anomalies and proposals and an assessment of their urgency. This exercise helps to consolidate observations and guides how they should be handled.
- Less frequently, feedback on any follow-up action that shows the progress made, raises awareness of any particular difficulties in dealing with the problem or highlights prioritization issues.

T23 Weak signal reporting

Lessons and results

The manager's role is essentially to prime the pump. This practice can be seen as an additional task and it is difficult to show its immediate value compared to *e.g.*, learning from experience, which is more obviously useful.

The process can begin with health and safety issues, which staff naturally tend to take more of an interest in. Their curiosity must be stimulated and they need to be shown that ways to improve can be hidden in small details. Managers must promote improvement actions and expand the perspective of workers. Managers determine the level at which issues should be reported through their attitude, the interest they take in the reports and any follow-up action. They must demonstrate how this practice complements traditional procedures such as reports of breakdowns or technical failures.

Working Group Analysis

Illustrates leadership principles 2, 3 and 7.

This practice encourages all actors to be vigilant (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis) and guarantees the follow-up of anomalies (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy). It helps to enrich jobs, strengthens accountability and the motivation of operators and emphasizes their contribution to the company's safety procedures (Principle 7).

7

Members of the Health and safety committee

7.1 Participants

Those invited to share their views and experiences are members or former members of the Health and safety committee (In France this is known as the Comité d'hygiène, de sécurité et des conditions de travail–CHSCT[1]) in large industrial enterprises (*e.g.* the chemical, energy and transport sectors). One participant had been invited to participate in the committee in their capacity as an expert (responsible for safety) others had been members of various unions, representing personnel.

The vast majority of participants had worked in operational units, some worked for central services, but all had a wealth of experience in the operation of the Health and safety committee, some of them in many different units.

7.2 The main issues

The discussion revealed a wide variety of experiences. This was mainly due to the fact that each committee had its own way of working. On this point, Bernard Dugué, of the University Victor Segalen at Bordeaux[2] comments:

> *The operation of Health and safety committees can be determined by the way in which the following conflicts are played out and discussed:*
>
> - *between protection and prevention;*
> - *between the domains of Health and Safety and that of Working Conditions;*
> - *between the handling of specific, one-off situations and general prevention rules;*
> - *between the knowledge required in such a vast domain and the preparation of actual operational measures;*
> - *between respect for the rule of law and the actual way in which it can be used to solve problems;*
> - *between the will to understand and analyse working conditions and an approach that aims to identify the guilty party;*
> - *between having a mandate to represent employees working in the field and the willingness of elected officials to listen and understand the realities on the ground;*
> - *between the desire to act quickly and the need to avoid thinking in terms of solutions;*

[1] The Health and safety committee (CHSCT) is the main way for employees (through their elected delegates) to contribute health, safety and working conditions in their workplace. It must be consulted in on a wide range of issues and plays a key role in protecting the health and safety of employees. It is chaired by the employer or the employer's representative and the number of employee delegates corresponds to the number of employees. For further information, see: http://www.worker-participation.eu/National-Industrial-Relations/Countries/France/node_254 (TN).

[2] *Entre cadre de fonctionnement et pratiques des CHSCT, définir des besoins en outillage*, Acts of the 46th SELF Congress, Bernard Dugué and Catherine Pinatel.

- *etc.*

> *The action of the various actors on a daily basis consists of managing these sometimes contradictory forces, putting them on the agenda for discussion (or not), and taking concerted action (or not).*

The discussion that follows does not pretend to reformulate the expression of regulatory obligations or even to identify some rules for the proper functioning of the committee. Each committee adapts its working practices to its own context where the weight of the history of the site or business is sometimes a determining factor.

Regarding the role of the Health and safety committee we once again cite Bernard Dugué:

> *… a place both to address problems within its field of competence and to develop potential avenues for the definition of concrete axes for prevention and the improvement of working conditions.*

The Health and safety committee (staff representatives) is more than just the secretary

This discussion concerns the committee members who are staff representatives. In most cases, secretaries do not exercise specific leadership with respect to personnel. However, they have a particular role in the functioning of the committee. They are usually the point of contract with senior management and maintain relations with trade unions. Their leadership role is therefore not related to their function; rather their personality. Some particularly charismatic secretaries enjoy an enhanced leadership role. Regardless of their profile, there is in every case a form of recognition resulting from their relationship with senior management.

The committee must maintain drivers for action

The Health and safety committee has a responsibility to staff. Its members have a mandate to represent personnel and are accountable for their actions. They must be aware of the situation on the ground and the concerns of staff in order to take appropriate action. Their physical presence, dialogue and the search for consensus must form part of their thinking. It is also necessary to keep staff informed of decisions. However, relations with personnel in the field may vary. In any case, members should not limit themselves to field visits organized by senior management.

The Committee's mandate is to protect employees. It acts as a safeguard and it must ensure that rules are respected and management fulfils its commitments. The committee protects employees from risks associated with their critical role in the company's operations or the decisions of senior management. The committee provides the link between these decisions and personnel. Its views are usually taken into account by inspection bodies. It has the power to drive action at several levels, for example it can:

- Deploy expertise in the case of serious risk or project modifications that may impact health, safety and working conditions. This is particularly important in the domain of psychosocial risk, which is not a priority for senior management.
- Validate the worker's right to raise the alarm and support their right to withdraw their labour.
- Read the work inspection report.

The committee takes natural advantage of any legal provisions, particularly the worker's right to raise the alert and the right to withdrawal labour (mentioned above). However, it must be careful to use the means available to them responsibly to avoid the risk of discrediting their approach.

The Health and safety committee has an important institutional role, which requires their working practices to meet certain requirements. Monitoring, strict management and clear structures are required: any actions must be well-argued and taken on the basis of a sound regulatory footing. A worker's claim for compensation is always more likely to succeed it is well-founded in law.

Although the Health and safety committee does not create the unit's Safety Vision it must ensure its relevance and successful implementation

The Health and safety committee does not develop the Safety Vision, which remains the responsibility of senior management. However, it does provide a forum for discussion and may be involved upstream in the development of policy, objectives and action plans. It must acts in ways that place safety ahead of other issues and ensure that it remains a central concern. The committee must be particularly aware of falling standards associated with changes in society such as boredom or a growing appetite for risk.

The Health and safety committee must try, wherever possible, to harmonise the vision of senior management and actual safety issues on the ground. To do this, it may be necessary to reframe priorities, for example:

> *There may be more important things than wearing a high-visibility jacket [A participant].*

The committee is able to intervene in the implementation of safety policy to ensure that specific issues are properly addressed.

Although safety objectives are shared by senior management and the committee, there may be frequent conflicts about the reasons and methods for taking action. In addition, the committee must take a more stringent attitude to safety performance than senior management, particularly in terms of accident rates. For them, any accident is unacceptable. If the committee senses a genuine will on the part of senior management to improve safety, they must take them at their word, provide support and hold them accountable. An attitude of continuous criticism is not helpful if both sides are to move forward together.

The potential for action is context-dependent

The most important point to emerge from the discussion was the lack of homogeneity in the committee's action strategy. Depending on company culture, its structure, organization or history and the social climate the committee's position ranges from systematic confrontation and legal action to regular cooperation with senior management with the joint aim of improving safety.

On the one hand, some committee members would like to have a role goes beyond accident analysis. These members would like to be involved as early as possible in the development of policy, the Occupational Risk Assessment, the Safety Action Plan (SAP) and risk analysis. On the other hand, others refuse to engage in activities that they see as coming under the remit of senior management.

Moreover, the Health and safety committee may find it difficult to operate in organizations where production units are distributed over a wide geographical area. In

these cases it becomes difficult to maintain contact with personnel on the ground and tailor actions to local issues.

The Health and safety committee is not the only resource available to personnel

The Health and safety committee is generally regarded as a last resort when it comes to safety. Before this point is reached, staff generally prefer to take matters into their own hands using the organization's usual channels to draw the hierarchy's attention to issues.

Although unions may try to make their mark or establish their leadership, the committee only reflects their views in cases of unanimity. In any case, there is no confusion between roles.

However, in cases where the committee is unable to resolve a matter, they may hand it over to unions. In some large companies if something cannot be resolved at local level, it may be raised to national level (via unions or other personnel representative bodies) as a last resort. Finally, if there is a complete breakdown in communication (*e.g.* the company refuses to address a question raised by the committee or senior management obstructs the committee's activities) the committee may initiate legal action.

The Health and safety committee and HSE services: cautious cooperation

Generally these two bodies have a technical relationship. They cooperate in accident analysis activities and the preparation of prevention plans. The committee may also draw upon the expertise of HSE professionals. However, relations with the HSE manager are sometimes difficult as the latter can be seen as a representative of senior management, notably in their capacity as a permanent ex officio guest of the committee. Relations between the committee and HSE services also depend on the extent of the company's HSE services and their resources. If these are very limited, HSE services will find it very difficult to respond to requests from the committee.

The Health and safety committee is not intended to replace HSE services, even when the service is minimal (this may be the result of company policies that aim to give responsibility for safety management to operational staff). Unlike HSE services, the committee is not a resource to be used by senior management to facilitate or manage safety.

The committee takes the human factor into account

The committee has a role in ensuring that event analysis or the evaluation of safety results does not lead to allocating individual blame at the expense of a root cause analysis.

Regarding event analysis, the committee must encourage an approach focused on the human and organizational factors that led to the accident. They must argue against a superficial judgment of behaviour that leads to individual blame, or unjustified sanctions and they must support and protect employees who are the subject of this approach while at the same time not fighting it. The committee's role is to provide a safeguard against abuses. Therefore it may give its wholehearted support to a behavioural study, provided that it is not limited to an analysis of how work is carried out.

It is important to remember that the overriding responsibility of the committee is working conditions. It can intervene in the analysis and study of working situations,

particularly following organizational changes. The committee, together with the occupational physician has a crucial role in the detection of psychosocial risks. It is important to pay attention to the early detection of warning signs without waiting for a rise in more serious indicators such as absenteeism. The committee's warnings in this area are generally listened to; their skills (or at least their legitimate right to take action) are recognized and they should take particular care with this aspect of their work.

The committee should not hesitate to draw upon the skills of others

The committee must go beyond listening to the particular concerns of workers. It if does not have sufficient expertise to deal with a situation itself, it must initially draw upon internal expertise to analyse the problem.

Depending on the complexity of the issues, the committee may also call upon external expertise, particularly if their diagnosis of the situation is not shared by senior management. Although external consultants may also work closely with unions their opinion is generally respected by senior management. Once an expert has made their assessment the committee must decide what to do next, convince senior management of the need to take follow-up action, formalize their position and disseminate their conclusions (via specially arranged meetings, via the intranet, *etc.*).

A general approach that favours the search for root causes

The committee must avoid becoming involved in negative sanctions; other company bodies, such as the disciplinary committee are in charge of these processes. However, they must always defend the person sanctioned by demanding a root cause analysis that seeks answers to the question of why and how someone was pushed to failure?

The committee must also avoid becoming involved in positive sanction mechanisms (rewards); otherwise they risk becoming associated with senior management.

Finally, sanctions, whether negative or positive are considered dangerous because of their potential effect on transparency and the fact that they may lead to the manipulation of safety results.

The committee must become more involved in process safety and the environment

Progress has been slow in extending the scope of the committee's responsibilities to include major accident risk. The first obstacle is technical complexity (the Hazard Study) and a lack of expertise among committee members. The change will not happen without the firm individual commitment of committee members who must make a personal effort to be trained. However, the committee can still take action at the level of daily plant safety. They are able to check that any identified deviations are assessed and treated.

More detail of the ideas and warnings highlighted by members of the Health and safety committee is available in the Appendix A, organized according to the seven safety principles set out in the main grid.

7.3 Testimonies

T24 Participation in the Occupational Risk Assessment

What? Why?

A company's safety policy relies heavily on the validity of the Occupational Risk Assessment (ORA). The committee's contribution to this document is often limited to the annual review; at best it consists of a few interviews during its preparation. The novelty of this practice is to involve members of the committee, like management or prevention experts, in its analysis and preparation. The idea is that this upstream contribution by the committee makes the risk assessment more relevant and improves prioritization.

How?

- The first step is to train committee members in the principles of the ORA, the methodology used for the calculation of exposure/severity rates and the impact assessment rating giving to the criticality of an event.
- They then examine the lists of hazards (organized by industrial sector or homogeneous exposure group) drawn up by management and/or HSE services. These lists can be amended if the committee can provide good arguments based on their knowledge.
- A point-by-point discussion of the initial assessment makes it possible to adjust the criticality rating (results of the frequency/severity matrix) with the aim of arriving at a consensus.
- The committee ensures that any actions to reduce the criticality of certain risks are appropriate and realistic.
- Once the process has been started, members of the Health and safety committee contribute to the annual review of the ORA. They systematically examine its completeness, paying particular attention to emerging risks. They also take a close look at the effectiveness of measures adopted in the previous year and propose adjustments if necessary.

Lessons and results

- Health and safety committee members typically have many different skills and belong to various activity sectors. They therefore bring detailed knowledge and a realistic view of events to the preparation of the ORA.
- A comparison of the views of the committee and management tends to reduce the focus on the company's core risks and encourages a better understanding of horizontal risks.
- Annual reviews improve the relevance of the ORA. It becomes increasingly detailed regarding risk identification and the definition of actions to reduce them.
- The upstream participation of the committee in the development of the ORA can lead to a reduction in down-time due to conflicts between unions and management.
- The participation of the committee in the preparation and updating of the ORA is both a rich and challenging experience. While it can be easy to agree on objective elements such as risk exposure rates, it is far more difficult to agree on the potential severity of their consequences.

Working Group Analysis

Illustrates leadership principles 1, 2 and 3.

Although members of the Health and safety committee may not have all the necessary technical expertise in risk assessment, they bring a new perspective that complements that of management and safety specialists. By participating in the exercise the committee expresses and defends the wish of employees to be able to carry out their work without risk (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis) and members can influence the global vision of management (Principle 1, Create a Safety Vision that is coherent with the values and principles of management). The information they provide about events enables management to identify deviations that they otherwise might not be made aware of. The committee (through the secretary's regulatory and/or special relationship with senior management) has an opportunity to persuade management of the merits of their proposals for risk assessment (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy).

T25 Participation in the alcohol, drugs and addition prevention plan

What? Why?

The issue of alcohol and drugs is particularly acute in companies where technological risks are a significant factor (*e.g.* the Seveso Directives, the nuclear sector). Given the social sensitivity of the issue, the commitment of the Health and safety committee is almost essential to the success of a prevention approach. Rather than stand back and simply monitor the initiatives of senior management, committee representatives can choose to become involved or propose their own prevention approach.

How?

- Senior management create an ad-hoc working group to suggest proposals with a view to the preparation of a drugs and alcohol risk prevention plan. The Health and safety committee discusses the issue and identifies members to participate in the group.
- Those members of the Health and safety committee that take part in the working group can play a driving role that goes beyond simply monitoring potential deviations.
- In addition to members of the Health and safety committee, the group consists of a balanced panel of volunteer staff representatives (managers, human resources personnel or elected staff representatives, shift and other occasional workers). A project manager is appointed by management (a social worker or the occupational physician) who can draw upon specialized expertise.
- A steering committee comprising all stakeholders is established: a representative from senior management, the secretary of the Health and safety committee and the occupational physician define the scope of the working group. The steering committee also sets operating rules, oversees the group's work and determines the lifetime of the group. A Values and Ethics Charter is established for the group.
- Members of the working group and the steering committee receive the same basic training in addiction and criminal responsibility before work begins.
- The working group communicates directly with staff with no managerial involvement.
- The recommendations of the working group are submitted to senior management who establish priorities and decide which recommendations will be acted upon.

Lessons and results

Employees accept the prevention plan more readily if the members of the Health and safety committee and other members of the working group continuously demonstrate their commitment and independence from management.

Working Group Analysis

Illustrates leadership principles 3, 4 and 5.

Alcoholism and other addictions represent a significant risk at two levels. Firstly, at the level of production, they may cause incidents or accidents that lead to delays or stoppages in sensitive industries. Secondly, at the level of the employee, they may be the manifestation or origin of psychosocial risks. Through this exercise, the Health and safety committee is involved in a real team effort that invites all stakeholders to participate in the reduction of risks associated with addictions (Principle 5). This initiative, taken in collaboration with management, helps to create a dynamic for the prevention of psychosocial risks (Principle 3: Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy). In being open in addressing these sensitive issues, the Health and safety committee demonstrates its commitment to safety (Principle 4: Be credible: provide a coherent example).

T26 Participation in the psychosocial risks committee

What? Why?

Although there seems to be an increasing awareness of psychosocial risks in companies, it can go along with increasingly tense social relations. Crisis situations can lead to kneejerk reactions that do not address the underlying problem. The psychosocial risks committee can help to maintain a dialogue on these issues and address the fundamental issues. The committee can be set up by senior management or the Health and safety committee with the aim of mobilizing all stakeholders in the detection, prevention and management of psychosocial risks. Rather than dealing with specific problems, the focus of the committee is to discuss potential actions and define how to monitor progress. The committee is independent. Nevertheless it complements other monitoring systems focused on transient or permanent individual problems that are the domain of the occupational physician.

How?

- The committee is composed of representatives from Human Resources, the occupational physician, a social worker, the HSE officer and members of the Health and safety committee representing each of the main unions.
- It meets periodically; additional meetings may be necessary depending on the local context.
- It works with experts (usually occupational risk prevention professionals) and its remit is to look at:
  - The deployment of diagnostic tools for identifying risk situations (*e.g.* a stress questionnaire).
  - Prevention actions; notably management training and raising staff awareness of psychosocial risks.
  - Remedial actions (*e.g.* discussion groups).

Lessons and results

- The committee contributes to improved support for employees in difficulty by directing them to the relevant department or expert.
- The group is dedicated to psychosocial risks, which means that action can be better targeted.
- This committee is most effective when it is able to provide a dispassionate analysis of the root causes of psychosocial problems, at the managerial and organizational level.
- It is crucial that the managers involved are trained to enable them respond appropriately to a risk they are sometimes poorly equipped to deal with.
- The committee has an ongoing, fundamental role that is consistently questioned. The assessment of psychosocial risks is a long-term activity; the process must be allowed to continue even if actions are difficult to implement and the results are not immediately measurable.

Working Group Analysis

Illustrates leadership principles 2, 3, 5 and 6.

The Health and safety committee, together with the occupational physician, is one way in which psychosocial risks become apparent. Even if the Health and safety committee is alert to events related to this type of risk, it is much less able to prevent them. The psychosocial committee aims to fill the gap (Principles 2 and 3: promote information feedback). By listening to actors on the ground, it facilitates the identification of high-risk contexts, employees in distress or the expression of individual or collective problems (Principle 6). Another benefit is that it is able to raise awareness of psychosocial risks at the overall management level. The more such sensitive issues are jointly addressed, the more opportunities for cooperation open up (Principle 5).

T27 Participation in prevention planning

What? Why?

A Prevention Plan is usually established for activities that involve subcontractors and it is absolutely essential when many activities are ongoing at the same time. French law requires that the Health and safety committee of the end-user company must be informed at least three days in advance of the meeting to prepare the Prevention Plan and the joint preliminary inspection (Article R 4514-1 of the Labour Code). However, the new idea suggested here is for the Health and safety committee to be involved in the preparation of prevention plans in order to ensure their smooth running, rather than just being an observer or participation in a formal capacity. Each member of the Health and safety committee devotes a certain part of their quota of allocated hours to the activity.

How?

- Each member of the Health and safety committee selects a site which is of particular interest and goes along to the meeting for the preparation of the Plan.
- Where possible, they make contact with the members of the Health and safety committees of contracted companies.
- During the meeting, they contribute to the preparation of the Prevention Plan. In the case of concurrent ongoing activities, they check that all the participating companies are represented, that the preliminary inspection has been carried out and that each service company representative has the appropriate delegation of power from their Director.
- They also ensure that any subsequent changes are properly managed.

Lessons and results

The regular contribution of members of the Health and safety committee to the preparation of the Prevention Plan facilitates understanding of the challenges of the site and can turn the committee into a driving force. It helps to prevent the risk of routine that can result from the systematic use of standardized analytical grids. In extreme cases, if regulatory requirements are not met, the Health and safety committee can request the suspension of the preparation of the Prevention Plan. It is important to include all trades and professions and not simply focus on the most visible activities. Members of the Health and safety committee must be trained so they can participate effectively in meetings. This tool could be complemented by annual reports prepared jointly by the various Health and safety committees, the occupational physician of the end-user company and contractors.

Working Group Analysis

Illustrates leadership principles 2, 3 and 5

Early involvement in the Prevention Plan is always more effective than an *a posteriori* inspection (Principle 2: Give safety its rightful place in the organization and management and oversee it on a daily basis) and it underlines the importance of regulatory requirements (Principle 3: Share the Safety Vision). It encourages questions to be asked and stimulates discussion during meetings and visits and can help to coordinate the actions of the Health and safety committees of end-user companies and contractors (Principle 5: Promote team spirit and horizontal cooperation).

A

Appendix: Professions and Safety Principles

Plant director, words of advice and warnings

PRINCIPLE P1

Create a Safety Vision that is coherent with the values and principles of management

Summary of good practice

- Establish a safety policy upon arrival at the unit (demonstrates the formal commitment of the director and their ability to adapt company policy to the situation on the ground: group values and personal commitment).
- Work together to establish diagnostic systems and a collective Safety Vision ("where would we like to be three years from now", determine collective values and action principles).
- Establish safety as an essential condition for overall performance.
- Focus on the major accident risk (zero defects) and establish the link between personal safety and the safety of the facility.
- Agree on key messages, particularly expectations in terms of conduct. Take a stance that gives staff responsibility for their own safety (safety concerns your health and that of your colleagues).

PRINCIPLE P2

Give safety its rightful place in the organization and management and oversee it on a daily basis

Summary of good practice

- Integrate safety into all projects. Do not manage it separately. Avoid having a safety budget that is separate from the operational budget.
- Place safety first: begin all meetings or the start of a new job with a safety briefing, make it visible everywhere, all the time.
- Know how to maintain safety regardless of the importance and urgency of other concerns.
- Work together to develop a collective Safety Action Plan. Define indicators and monitor them regularly.
- Ensure the support and involvement of all line managers.
- Ensure that anyone accessing the site receives an initial safety briefing and that personnel are appropriately trained.
- Clearly define roles: safety is everyone's responsibility. HSE services provide support but they are not primarily responsible for safety.
- Give HSE services control powers; a duty to raise the alarm and a role in appeals.
- Ensure that the HSE representative is present on the management board (regardless of their operational affiliation) and is involved in all decisions that may affect safety.
- Ensure that all personnel feel able to raise any valid concerns and that they are listened to.
- Draw up safety objective contracts with teams.
- Ensure that all reports of on-site events are brought to the attention of management and their analysis is validated at senior management level.
- Ensure that regulatory tools are used constructively and not seen simply as an obligation (*e.g.* the Occupational Risk Assessment, the Health and safety committee).
- Appoint managers based on their ability to understand and change behaviour.

Some difficulties

- Taking total responsibility for safety can disempower middle management.
- The drive for quality can become overriding – to the detriment of the safety of personnel and facilities.

PRINCIPLE 3

Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy

Summary of good practice

- Share diagnoses and objectives. Fight against fatalistic attitudes, drive shared efforts to improve.
- Use shock messages (safety is a duty not a priority, the company's survival depends on its safety performance).
- Provide reminders of past accidents.
- Clarify and repeat safety messages. Monitor, and if necessary limit the risk of rule overload (avoid drowning in information).
- Promote a dynamic of progress towards results and set achievable goals.
- Recast the Safety Vision into concrete actions: specific campaigns, safety days, safety weeks, learning from the experience of other companies, exercises.
- Use creative ways to change opinions (theatre groups, *etc.*).
- Personally meet newcomers and brief them on safety.
- Make sure no-one is left out (staff on fixed-term and temporary contracts, service companies).
- Compare performance with the best sites and swap examples of good practice.
- Create a climate of trust so that all deviations (individual or team) are reported.
- Provide and encourage the use of technology to promote the flow of information about good safety practices: hazardous situations, suggestions for improvement, *etc.*.

Some difficulties

- Conflicts between safety goals and other concerns (social, economic, skill loss, centralization).
- Zero accidents can lead to a loss of motivation.
- Too many exercises can lead to a loss motivation or a lack of awareness of the real hazards.

PRINCIPLE 4

Be credible: provide a coherent example

Summary of good practice

- Require transparency for all and apply it your own decisions.
- Be prepared to stop production for safety reasons and give the HSE officer the power to do the same.
- As far as possible, involve personnel representatives (the Health and safety committee, staff delegates, *etc.*).
- Balance responsiveness and relevance in decision-making. Think before acting to avoid unnecessary delays and address root causes.
- Check that each risk is carefully assessed. The most serious or likely risk is not always the obvious one. Put things in perspective.
- Be prepared to re-visit the decision-making process (OSRDE), particularly when misunderstandings arise.

Some difficulties

- Vulnerabilities may appear if the HSE officer works under the Production Director.

PRINCIPLE 5

Promote team spirit and horizontal cooperation

Summary of good practice

- Provide communal, shared objectives.
- Encourage efforts towards progress that take a horizontal approach.
- Swap objectives (*e.g.* give maintenance staff some production objectives).
- Ensure that requirements are coherent and consistent (between contractors and the client, supervisors and field workers, production and maintenance, *etc.*).
- Develop emergency scenarios (Internal Operation Plan, Individual Intervention Plan, Internal Emergency Plan, *etc.*) that involve all teams.
- Organize events that involve all personnel (safety days, safety weeks).
- Organize ad-hoc personnel exchanges ("live my life" for a day).
- Use audit results to raise collective consciousness.

PRINCIPLE 6

Be available on-site to observe, listen and communicate effectively

Summary of good practice

- Take the time to go into the field and set quantitative personal and managerial objectives.
- Ensure that instructions can be understood by workers in the field. Identify any obstacles to the implementation of actions. Identify and defuse misinformation.
- Hold regular meetings with teams to discuss safety.
- Make field visits to speak to operational staff at their workstation. Pay attention to the "little things" that are going wrong. Learn how to identify and encourage good practice.
- Visit the scene of accidents and meet the victims.

PRINCIPLE P7

Acknowledge good practice and apply fair sanctions

Summary of good practice

- Emphasize positive feedback.
- If possible, index supervisors' pay to investments in safety and overall safety performance.
- Organize safety challenges on the theme of site conditions.
- Reward initiatives and their implementation (suggestion box, suggestion system).
- Make sure that safety conduct is taken into account in the performance appraisal of operators and managers.
- Reward good overall performance with enjoyable events (trips to a restaurant, the theatre, sporting events)
- Support, rather than punish deviations. Only penalize negligence or conscious and deliberate breaches of safety.
- Define what is unacceptable and provide a scale of sanctions.
- Sanctions should be a last resort and only used only in cases of extreme necessity where there is a risk of non-transparency. They must not be open to challenge and must be carried out even in the face of resistance.
- Do not make individuals responsible except in cases of proven misconduct.
- Take swift action in cases of suspected misconduct. Meet the person responsible and try to understand what happened before judging.
- Ensure that all personnel are treated equally (supervisors and workers, service providers and company personnel, *etc.*).

Some difficulties

- There are likely to be problems if sanctions are issued before the cause of an incident has been analysed. Specifically, staff will no longer discuss problems.
- It is important to clearly explain the reasons for the sanction.

Construction manager, words of advice and warnings

PRINCIPLE 1

Create a Safety Vision that is coherent with the values and principles of management

Summary of good practice

- Define a safety policy very early in the project that is in line with company policy and have it approved at senior management level.
- Work as a team to build a shared Safety Vision: values, objectives, roles and responsibilities, strategy (*e.g.* hold a workshop).
- Ensure that the policy is clear (*e.g.* no more than ten basic rules).
- Integrate psychosocial issues.
- Draw upon (if it exists) the Charter between the client and service providers (quality, training, safety, working conditions).
- Use HSE benchmarks to match the standards of the best projects.

Some difficulties

- At operational sites, engineers and external contractors must respect the values of the operator.
- Clients and external contractors have different views of safety.
- The Charter is sometimes too theoretical and cannot be understood by all personnel.

PRINCIPLE P2

Give safety its rightful place in the organization and management and oversee it on a daily basis

Summary of good practice

- Integrate HSE objectives very early in the design. Ensure that logistics are consistent (*e.g.* "the simplest and least dangerous design possible").
- Emphasize that safety is an essential component for the success of the project.
- Note: the quality of planning and logistics will determine the success of the project in all areas, including safety.
- Establish clear responsibilities:
  - Everyone must take safety into account at their level of responsibility.
  - Avoid setting a safety budget that takes responsibility away from operational staff. Instead provide for all safety-related activities in the operating expenses.
  - Make HSE services responsible for checking that everyone's needs have been taken into account. Ensure that they provide operational staff with risk management support.
- At an early stage select a team member who is recognized for their expertise to be responsible for HSE matters. Create a horizontal committee which they can use to implement the action plan. Give someone responsibility for each objective.
- Involve the HSE official in safety coordination and planning meetings. Think of them as an assistant, or even make them Assistant Project Leader.
- Hold weekly safety committee meetings to monitor indicators, strengths, weaknesses, *etc.* Include at least one field operator.
- Designate HSE coordinators for all trades and support functions represented in the project.
- Begin coordination, reporting and progress meetings with a discussion of safety issues.
- Allocate time for education or training (5-10%).
- Organize surveys of how teams on the ground perceive site safety and HSE management. Take note of any lessons to be learned.

Some difficulties

- Pay attention to the risk of loss of resources during the project.
- Management tends to favour production, it is imperative to be convincing.
- Do not "trim" HSE provisions to meet operational requirements.
- Do not hand over responsibility to the HSE official (who has a support role).
- Beware routine. Meetings that always begin with safety issues can turn into "we've done safety; now let's move on to serious matters".

PRINCIPLE 3

Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy

Summary of good practice

- Develop a communication plan in the design phase. The first few months are crucial.
- Train staff to recognize hazards.
- Organize training for managers in safety management (including legislation and criminal responsibility), risk identification and analysis, and how to communicate appropriately with stakeholders.
- Display the safety policy (or charter) and objectives in the site office and in the field (workshops, on-site).
- Use simple, repetitive messages (*e.g.* "finish safely, minimize complexity"). Use pictures rather than text. Use humour.
- Prepare a site safety card or a welcome booklet that is handed out to external contractors on arrival (core rules, priorities, safety policy).
- Regularly inform personnel of results and the lessons learned from internal events or other sites.
- Take every opportunity to communicate about safety (*e.g.* visits by directors, World Safety Day).
- Encourage all companies involved in the project to take ownership of and carry out the Safety Action Plan. Invite them to take initiatives that are in line with the fundamental objectives of the project, or set shared objectives.
- Ask each team leader to develop a collection of risk situations and examples of good practice and to be shared as a committee.
- Make safety a positive. Highlight what is going well. Start with what is going well, then deal with areas for improvement and end with what has gone wrong.
- Promote the flow of information. Create a climate of trust by being available on-site and listening to the concerns of staff.
- Organize site visits by prevention officers to support the execution of safety objectives. Check compliance with instructions and make sure they are suited to local conditions.
- Provide communal tools for collecting observations from the field. Organize and process the data collected and provide feedback on the results.
- Provide anonymous systems for reporting deviations or difficulties.
- Use group dynamics to disseminate safety behaviours. Persuading a few staff (starting with the most responsive and influential) makes it easier to disseminate the message.
- Meet the senior management of under-performing companies to discuss the difficulties and establish responsibilities – down to site level.
- Ask each foreman to systematically visit the site when it opens. This should be a 15 minute visit aimed at setting standards and discussing any safety issues. Each worker must see their supervisor on-site, every day.
- Ask each foreman to hold a weekly safety briefing with the aim of correcting risk situations.
- Use peer learning methods (field workers talk to their peers).

Some difficulties

- Workers cannot assimilate too many rules.
- Lack of a global vision among personnel, particularly service providers.
- It is difficult track good practice (what goes well isn't recorded).
- On large projects cultural and language differences can create problems. Provide specific training for managers.
- Do not simply copy regulatory requirements in order to create Action Plans (they are likely to be too vague and unrealistic).
- A global analysis is not enough to handle individual situations. A generic risk analysis should not be seen as sufficient for a particular task that must be the subject of a specific analysis.

PRINCIPLE 4

Be credible: provide a coherent example

Summary of good practice

- Assess managers on their safety performance.
- Demonstrate intolerance for small deviations on a daily basis
- Show that safety is given priority. Be reactive, stop activity when there is a safety alert, invest in safety.
- Ensure that rules are applicable to every participating company. Check that they take proper account of the particularities of different trades and professions.
- Ensure that living conditions and staff accommodation are in line with internal site rules. Create conditions of trust by respecting cultural differences (*e.g.* the SA8000 standard[1])
- Encourage reporting of hazardous situations by dealing with problems promptly.

Some difficulties

- It is difficult to find HSE managers or officers who have sufficient skills to cover all areas of risk.
- Look out for non-compliance by managers when faced with unexpected hazards, slippage in planning or complex situations (*e.g.* management of interfaces).

PRINCIPLE 5

Promote team spirit and horizontal cooperation

Summary of good practice

- Make coordination tools widely accessible (daily planning, weekly work schedule, accommodation planning).
- Organize a safety forum at the beginning of the project and repeat every 3-6 months.
- Emphasize collective responsibility for results.
- Organize working groups on the issues identified by site visits.
- Use consistent and coherent methods across all sites to encourage support and capitalize on safety efforts.
- Systematically involve service providers in the analysis of events they are involved in.
- Develop the concept of the cross-company HSE family (cohesion, a consistent message).
- Occasionally bring together HSE teams, the client and service providers to analyse and find solutions together.
- Develop a partnership with agencies that provide temporary staff and service providers to build loyalty and promote ownership of methods and shared objectives.
- Manage risk specific to workers on temporary or fixed-term contracts when their numbers warrant it.

Some difficulties

- Occasional workers or visitors (brief or temporary site interventions) can create problems.

PRINCIPLE 6

Be available on-site to observe, listen and communicate effectively

Summary of good practice

- Train managers during site visits in order to achieve a shared vision of requirements.
- Establish regular meetings for teams in the field to discuss lessons learned and results, ways to improve performance, changes to the site and risks.
- Establish scheduled safety visits organized according to zone with an agreed list of key points to check.
- Provide regular and practical feedback from the visits to staff at ground level.

[1]International Standard for Acceptable Working Conditions. See http://www.sa-intl.org/

PRINCIPLE 7

Acknowledge good practice and apply fair sanctions

Summary of good practice

- Organize challenges; provide concrete and useful rewards appropriate to the staff concerned (*e.g.* phone cards, vouchers).
- Reward the quality of organizational methods, professionalism and initiative rather than the result.
- Promote the collection and sharing of good practices with a databank that is made available on the intranet.
- Personally recognise individual achievements.
- Promote recognition. Organize forums where service providers present their best practices.
- Use shock messages: "We prefer to ban you from the site rather than not be able to protect you. You cannot protect yourself."
- Develop and make known rules that must not be broken. Staff must understand that breaking these rules may lead to the maximum penalty (*e.g.* withdrawal of access to the site). Define graded levels of sanction and support plans for bringing staff conduct up to the required standard.

Some difficulties

- It is easier to reward individuals than businesses.
- Only assessing results can be seen as unfair by companies or individuals. It is more useful to encourage good practice.

Maintenance shutdown manager, words of advice and warnings

Create a Safety Vision that is coherent with the values and principles of management

PRINCIPLE 1

Summary of good practice

- Include the unit's Safety Vision in the aims and methods of the shutdown order.
- Refer to the charter signed between the company and service providers (if there is one).
- Share values and principles for the management of the shutdown with colleagues (*e.g.* the safety of personnel involved in the shutdown is a necessary condition to ensure security and availability).

Give safety its rightful place in the organization and management and oversee it on a daily basis

PRINCIPLE 2

Summary of good practice

- Anticipate the need to include safety issues. Involve HSE services at the preparation stage. Set safety objectives during preparation for the shutdown.
- Where possible, arrange preliminary field visits during the preparation stage to improve the suitability of operating procedures.
- Involve service providers in technical choices to ensure their full support.
- Establish clear responsibilities and display them in a prominent position. Present safety as a support function. Discuss respective responsibilities for safety with service providers.
- Appoint a specialist safety company that has proven experience and knowledge in the field (*e.g.* assign functional safety officials to operational trades and professions).
- Develop a Safety Action Plan. Appoint a manager, contributors and facilitators. Ask for regular reports (monitoring of actions and indicators).
- Prepare the preliminary regulatory visit so that the inspection team can fully understand the risks and the context of the project.
- Establish a regular safety briefing during the daily meeting (sensitive activities, actions to be taken). For example, the first speaker is the safety official and the first ten minutes of the meeting are about safety.
- Systematically integrate a safety report into the usual reporting submitted to senior management.
- Pay attention to turnover. Find a balance that breaks habits while ensuring sufficient skills.
- Acknowledge that some workers may have particular difficulty in adapting to conditions, particularly given the diverse practices of contracting companies. Avoid being too specific, work towards convergence with the rules and methods of the end-user company.
- Develop Prevention Plans that make the need to protect workers from risk a priority. Do not see them as simply a response to a regulatory requirement.
- Set breakpoints for the shutdown. For the most sensitive activities, the project manager must approve prevention measures and the conditions for the resumption of activity (*e.g.* gamma radiation measurements).
- Take the pressure off staff at lower levels. Manage pressure from above.

Some difficulties

- The safety and availability of facilities are usually the principal concern of senior management. Only accidents remind them that the safety of personnel is also a priority.
- The duration of the shutdown is generally a constraint that is set very early in the project, before detailed planning and the integration of safety issues.
- As the project progresses, skills tend to be lost in both the client company and the service provider.

PRINCIPLE 3

Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy

Summary of good practice

- Use pre-shutdown coordination meetings with service providers to present safety objectives and discuss local problems.
- Ensure that the vision and principles are accessible and can be understood by everyone.
- Ensure that messages are coherent and that information is clear. Establish credible objectives.
- Ensure appropriate training for all workers. Tailor key messages to the needs and abilities of individuals (*e.g.* a training session on arrival, a questionnaire on key points).
- Involve service company managers in communicating safety messages. Ask them to facilitate the initial safety training session, with support provided by the client.
- Repeat regularly simple messages.
- Provide appropriate technology to collect suggestions for improvement, deviation reports and information about lessons learned.
- Define event families (electrical risk, anoxia, lifting, fall from height, *etc.*) which must be systematically analysed. Analyse near misses with the same tools used for accidents (Human and Organizational Factors analysis, reporting, *etc.*)
- Establish routines and methods that strengthen safety management (pre-job briefings or meetings, rest breaks, *etc.*).
- Give each worker in turn, alongside their usual activities, the job of seeking out hazardous situations, identifying deviations and recognizing areas where compliance is difficult (*e.g.* the "worker of the fortnight" spends an hour with their team leader to report their findings).

Some difficulties

- It is difficult to find support from staff if supervisors are not available and they have to spend time outside normal office hours.
- Habits erode vigilance and a questioning attitude.
- It can be difficult to collect reports of small deviations and near-misses.

Be credible: provide a coherent example

PRINCIPLE 4

Summary of good practice

- Be personally irreproachable in safety matters. Assume overall responsibility (360°). Be both facilitator and listener. Know when to ask questions. Maintain sufficient distance to keep a critical eye on the work of colleagues.
- Ensure that decisions are clearly explained in order to avoid any misunderstanding regarding safety matters. For example, establish a commission to look at unexpected hazards. Include representatives of all stakeholders. Disseminate the minutes and make sure that details of the arguments put forward are included.
- Inspire rigor and strengthen the credibility of safety objectives by ensuring that industrial facilities are in an exemplary condition.
- Use good organization and efficient logistics to establish credibility. This also enhances the credibility of safety objectives.
- Hire a specialized body to carry out a technical study of workstations.
- Be ready to stop and take time to talk about safety, or to deal with a malfunction.
- Show unfailing respect for labour regulations, particularly working hours.
- Listen to suppliers who ask for more time to ensure site safety. For example, they may need to train operators for a sensitive operation.
- Demonstrate the importance of workers' living conditions. Ensure that reception areas and other services (accommodation, catering, sanitary facilities) are well-maintained and attention is given to health and safety matters. Respect for the well-being of personnel is a factor that influences performance.
- Integrate Board members into the shutdown team. They should take the position of regional manager and be assisted by technicians who provide technical competence.
- Balance risk prevention and working conditions (hardship, comfort, stress, *etc.*) by adapting rules to the level of risk. For example, modify the criteria for the wearing of PPE according to the phase of the shutdown and the level of exposure.
- Be responsive to comments from field operators and provide systematic feedback on any follow-up actions.

Some difficulties

- Note: the initial response to any problem gives priority to the duration of the shutdown.
- Preventing one risk can generate another. Do not overestimate some risks and neglect others.

Promote team spirit and horizontal cooperation

PRINCIPLE 5

Summary of good practice

- Carry out themed project reviews with service providers (contractors and sub-contractors) at the planning stage.
- Whenever possible, use and enhance the safety skills and expertise of contractors. Avoid imposing house rules that may not be appropriate to their specific skills.
- Organize periodic (*e.g.* weekly) meetings with heads of external contractors to discuss objectives, results and share any local issues.
- Explain to operators the important role they play in providing information to maintenance workers during the intervention. For example, any advice or warnings about process risks, and any lessons learned from previous system interventions.
- Conduct joint site audits with representatives of the client company, contractors and any sub-contractors or agencies providing temporary workers.
- Include colleagues of the victim and members of the Health and safety committee in the analysis of accidents or near misses. Do not limit the investigation to the victim of the accident, their supervisor and Occupational Health and Safety professionals.

PRINCIPLE 6

Be available on-site to observe, listen and communicate effectively

Summary of good practice

- Establish a program of field visits by those who are primarily responsible for the unit and the project. Implement quotas for senior managers and supervisors.
- Involve managers from external contractors and representatives of field workers in the visits.
- Establish one or more audit frameworks (requirements repositories). Raise awareness of their existence (*e.g.* establish a framework for each trade or profession, develop a repository for each workshop).
- Use examples of major past events to drive the safety message home to workers.
- Establish a simplified site access procedure for managers of service providers or occupational physicians to enable them to carry out field visits.

PRINCIPLE 7

Acknowledge good practice and apply fair sanctions

Summary of good practice

- Select external contractors based on their safety performance. Reward those that make progress with a bonus.
- Organize a safety challenge based on the site visit reports. Reward the best workshop every week; at the end of the shutdown, reward the best company.
- Acknowledge workers who exercise their legitimate right to withdraw their labour or to raise an alert.
- Provide a collective reward (such as enjoyable activities or gifts) for investments in safety or good safety performance.
- Hold supervisors responsible for any deviations observed at field level. Reminder supervisors of their responsibilities in writing rather than reprimand a worker who simply carried out orders or who did not have the necessary information. For external workers, it is usually best to contact the head of their company rather than workers themselves. The exception to this rule is potentially serious violations that could create an imminent hazard.
- Punish neglect: "We respect the right to make mistakes… but not twice!"
- Have a graduated scale of sanctions (*e.g.* interview with the immediate supervisor/ manager/formal written warning) that correspond to the severity of the deviation (dangerous or inappropriate behaviour – whether intentional or not, actual or potential consequences).

Some difficulties

- Apart from withdrawing access to the site, the client has limited ways of sanctioning individual sub-contractors.
- Bonus/penalty systems attached to contracts run the risk of panic if the service provider fears they are going to be penalised.

HSE actor, words of advice and warnings

PRINCIPLE 1

Create a Safety Vision that is coherent with the values and principles of management

Summary of good practice

- Improve the analysis of the effectiveness of the safety management system. Evaluate field workers' perception of the attitude of senior management to safety.
- Improve the analysis of the effectiveness of the safety management system. Evaluate field workers' perception of the attitude of senior management to safety.
- Use the analysis to clarify expectations in terms of changes in behaviour and safety culture.

PRINCIPLE 2

Give safety its rightful place in the organization and management and oversee it on a daily basis

Summary of good practice

- Prepare and facilitate a safety committee chaired by senior management with the participation of unit managers for the development and monitoring of the Safety Action Plan.
- Prepare the annual management safety review.
- Be the first point of contact for managers looking for information on particular topics (*e.g.* emerging risks). Consider providing training in areas that are of particular concern or general risks (chemical, radiological, muscular-skeletal problems, Carcinogenic, Mutagenic or toxic to Reproduction, *etc.*).
- Alert management to problem areas and support them in finding appropriate solutions.
- Help management to take a step back, to take time to reflect on their decisions.
- Ensure that each unit or service's periodic reporting includes a safety component.

Some difficulties

- Lack of motivation when accidents are infrequent.

PRINCIPLE 3

Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy

Summary of good practice

- Develop a structured communication plan that reminds personnel of general objectives. Support the action plan by providing daily illustrations based on the most visible media.
- Train frontline managers in safety management and provide support for new team leaders.
- Distribute short guides and summary cards to field operators that contain the key messages (*e.g.* the Ten Golden Rules)
- Organize safety briefings for newcomers and service providers. These can take the form of personal interviews, a safety day, questionnaires, a welcome booklet, a buddy system, *etc.*.
- Use emotion to get the message across. Reinforce the message with shocking images of gory accidents, other people's stories ("it could happen to you") and humour.
- Organize events that communicate safety messages (a safety day, safety month, *etc.*).
- Invite external speakers to talk about safety and share their views on site safety.
- Ensure that messages have been understood by field workers. Use simple language. If illiteracy is a problem use drawings and video, *etc.*
- Avoid routine. Communicate regularly but make sure the message remains relevant.
- Collect data immediately after an event, but delay the analysis until after the situation has stabilized (*e.g.* 48 hours later) to avoid taking decisions based on emotions.
- Simplify formal analyses. Reduce the number of people needed to sign off an accident analysis. Reduce the time the process takes – and the time for solutions to be implemented.

Some difficulties

- Partnership with the Health and safety committee is desirable, but there may be social conflicts. Members of the Health and safety committee can be defensive and influenced by difficult relationships with senior management and unions.

PRINCIPLE 4

Be credible: provide a coherent example

Summary of good practice

- Be personally involved in the Safety Action Plan. Choose actions with high stakes.
- Oil the wheels. Facilitate the implementation of the policies of senior management.
- If production is stopped for safety reasons, help operational staff to understand why. Contribute to the preparation of the report outlining the observations that led to the decision.
- Ensure that every actor, regardless of their position in the hierarchy, feels able to raise an alarm or stop work for safety reasons and encourage this kind of action.
- Suggest ways to promote well-being at work. Organize prevention activities involving external experts (ergonomists, physiotherapists, doctors).
- Actively distribute information, particularly the lessons learned from accidents and near misses.
- Listen to the views of the Health and safety committee. Pre-arrange visits in order to be able to provide concrete responses to any points they may raise.
- Ensure that inspection agencies and site managers share the same opinion of site safety.

PRINCIPLE 5

Promote team spirit and horizontal cooperation

Summary of good practice

- Synthesize the messages coming from various prevention professionals (Occupational Health and Safety professionals, doctors, nurses, occupational psychologists, ergonomists, *etc.*).
- Suggest unifying actions or prevention themes.
- Promote the implementation of an independent safety network with representatives from different trades and professions. Encourage the network to share their experiences and develop best practice.
- Ensure good coordination between the various entities. Promote synergy; galvanize slow-coaches who do not provide a good example.
- Invite representatives of service companies to meetings of the safety committee and involve them in event analysis.
- Ensure that the Health and safety committee and the occupational physician are involved in the preparation of the Safety Action Plan and any analyses.

PRINCIPLE 6

Be available on-site to observe, listen and communicate effectively

Summary of good practice

- Visit the site on a daily basis.
- Train managers to observe situations, staff conduct and hold discussions in the field.
- Make regular field visits with the site director. Use the information gathered to stimulate discussion with operational staff.
- Define and schedule various types of visit according to the context (on-call teams, shutdown, normal operation, *etc.*). Analyse the data collected, ensure any necessary follow-up and report on developments.

Some difficulties

- Be careful that personnel do not see your presence on-site as heavy-handed supervision.
- Note the risk of being derailed by management. Be aware of the risk of focussing on quantitative measures (*e.g.* number of field audits) at the expense of quality.

PRINCIPLE 7

Acknowledge good practice and apply fair sanctions

Summary of good practice

- Establish and distribute a list of unacceptable actions and their corresponding sanctions. Define the red line that, if crossed, results in immediate sanction.
- If external contractors are at fault check that they received an initial safety briefing and are aware of action plans, *etc.*. Take the matter up with their HSE representative in terms of human performance.
- Include a HSE rating in the assessment of external companies.
- Develop a reward system for good suggestions. Examples include cash (potentially indexed to salary), vouchers, safety hours, or a symbolic gift.
- Reward actions rather than outcomes.
- Highlight good practice using all possible means: demonstrations, personal accounts, inter-site challenges and articles in the company magazine or newsletter.
- Be a moderating influence. When management demands an immediate sanction, remind them to take into account the realities of the situation on the ground and how the decision will be perceived by field workers.

Some difficulties

- A rush to sanction can bring an end to the upward flow of information.
- Any sanctions must be clearly explained.

Team leader, words of advice and warnings

PRINCIPLE 1

Create a Safety Vision that is coherent with the values and principles of management

Summary of good practice

- Be the link between the managerial objectives and the reality on the ground.
- Be involved in the preparation of decisions by senior management.

Some difficulties

- Early intervention is not always possible. Team leaders are not able to participate in the development of strategy or policy.

PRINCIPLE 2

Give safety its rightful place in the organization and management and oversee it on a daily basis

Summary of good practice

- Start daily or weekly meetings or briefings with a safety update.
- Repeat key messages emphasizing that safety is a priority.
- Encourage operators to detect anomalies by stimulating their curiosity.
- Involve operators in the assessment of safety practices.
- Regularly use prevention plans or other support materials to improve safety management.

PRINCIPLE 3

Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy

Summary of good practice

- Ensure that objectives and instructions are clear. Less information is better understood.
- Support new members of staff to ensure their assimilation of the company's safety culture.
- Build trust by listening. Ensure follow-up and feedback to promote the upward flow of information.

Some difficulties

- Ensure the hierarchy supports any safety actions.
- Do not allow the team to adopt a systematically critical attitude to management safety decisions without offering their own suggestions.
- It can be difficult to create a consistent safety climate in an environment that is continuously changing: staff turnover, time constraints, on-site contingencies, *etc.*.

PRINCIPLE 4

Be credible: provide a coherent example

Summary of good practice

- Earn and maintain your status as a leader by always showing drive and ambition on safety issues and consistently making them a priority.
- Inform management of any local difficulties in the application or adoption of safety policy.
- Check with field workers that their concerns have been taken into account.
- Never violate a written rule without a risk analysis and clear grounds.
- Take note of any signs of misunderstanding of a decision or perceived inconsistency.

Some difficulties

- New team leaders will not win the confidence of operators if they do not make their presence felt and do not respect site culture.

PRINCIPLE 5

Promote team spirit and horizontal cooperation

Summary of good practice

- Exploit and make best use of individual skills in the context of training for everyone.
- Initiate safety campaigns that involve all team members; from the identification of problems to the implementation of corrective actions.
- Organize crisis situation simulations to maintain the team's ability to respond in degraded conditions. Ensure that the lessons learned from the exercise are shared.
- Involve workers in the preparation of operating procedures.
- Include operators from other units in field visits to encourage discussion.

PRINCIPLE 6

Be available on-site to observe, listen and communicate effectively

Summary of good practice

- Be available and listen to team members in order to modify activities if needed.
- Ensure that the procedures given to operators are suited to the realities on the ground. Check that any deficiencies are quickly corrected.
- Conduct site visits and interact with workers. From time to time include staff from other units who can provide a fresh perspective.
- Set quantitative targets for time spent in the field.

Some difficulties

- More time spent on administrative tasks tends to take team leaders away from the field.

PRINCIPLE 7

Acknowledge good practice and apply fair sanctions

Summary of good practice

- Give operators a sense of responsibility by involving them in the assessment of safety practices.
- Highlight the skills of operators by involving them in any safety activity where their expertise will be clearly acknowledged.
- Take a firm approach to safety deviations and know how to reward good initiatives.
- Highlight safety attitudes and results in the performance evaluation of operators.

Some difficulties

- In some companies, team leaders may not have a direct link with Human Resource Management.

Health and safety committee member, words of advice and warnings

PRINCIPLE 1

Create a Safety Vision that is coherent with the values and principles of management

Summary of good practice

- Whenever possible, contribute to the preparation of policy and strategy.
- Challenge the Safety Vision developed by senior management from the point of view of the realities on the ground.
- Use the safety policy to make management accountable.

Some difficulties

- It can be difficult for the Health and safety committee and senior management to reach agreement on the reasons for action and the form it takes.

PRINCIPLE 2

Give safety its rightful place in the organization and management and oversee it on a daily basis

Summary of good practice

- Challenge managers about the safety level they expect the organization to achieve and any differences between targets and actual results.
- Ensure compliance. Common sense and consensus are desirable.
- Always be ready to raise the alert and always act in ways that demonstrate that safety is a priority.
- Support the actions of staff who exercise their right to withdraw their labour.

Some difficulties

- It can be difficult to maintain constructive relations with HSE services.

PRINCIPLE 3

Share the Safety Vision: influence, persuade and promote the flow of information through the hierarchy

Summary of good practice

- Promote and strengthen a vision of safety issues that is shared between management and staff.
- Cooperate with management. Take concrete actions such as participating in the preparation of the ORA and learning from past events. Overcome confrontational attitudes to jointly improve safety.
- Contribute any thoughts and safety actions as early as possible in the decision-making process.
- Ensure the implementation of actions.
- Highlight expertise in human and organizational factors and the detection of psychosocial risk.
- Become more involved in the prevention of psychosocial risks.
- Encourage staff to report deviations and malpractice.

PRINCIPLE 4

Be credible: provide a coherent example

Summary of good practice

- Anticipate the objectives set by the management in terms of safety progress.
- Ensure the proper use of measures provided by law.

Some difficulties

- Do not let the potential for conflict between unions and management influence safety matters.
- Do not abuse the appeal system which might discredit the actions of the Health and safety committee.

PRINCIPLE 5

Promote team spirit and horizontal cooperation

Summary of good practice

- Participate in key safety activities (incident and root cause analyses, Prevention Plans, *etc.*).
- Coordinate actions with those of Health and safety committees in contractor companies.
- Encourage discussions between workers from different trades and professions during field visits or preparatory Committee meetings.

Some difficulties

- Do not neglect the general interest when defending specific situations.

PRINCIPLE 6

Be available on-site to observe, listen and communicate effectively

Summary of good practice

- Always listen to staff on the ground in order to be able to fully understand the concerns of the personnel the Committee represents.
- Do not be limited by visits organized by management to maintain links with field workers.
- Always inform personnel of any follow-up actions.

Some difficulties

- Do not take the easy way and only support the most visible trades or the teams that complain the most.

PRINCIPLE 7

Acknowledge good practice and take a stance on any sanctions[2]

Summary of good practice

- Promote root cause analysis of events to avoid putting the blame on individuals.
- Support approaches that focus on conduct while protecting employees from potential deviations.

Some difficulties

- Know the correct response to proven misconduct.

[2] Health and safety committee members are not involved in deciding what, or how, sanctions are applied. The heading has been modified to reflect this fact.

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