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# Interagency Helicopter Managers Workshop Continued Professional Training

March 14, 2003

SPEAKER: Gordon J. Graham

## Organizational Risk Management:

### INTRODUCTORY COMMENTS:

Thank you so much for inviting me to Tucson to speak to you regarding my favorite topic, Managing Risk. I may have met some of you at other conferences or programs, and hopefully I can give you some more information today on how to better protect yourself, your co-workers, your organization, and ultimately our Country. Some of what I will be speaking on today is dependent on having heard me before and I recognize that I have never met some of you, so I will spend some time with some foundational thoughts. Much of what I say, while complementary to my earlier comments, will be new thoughts for you. With this in mind, let us get started.

Since my last visit with you, things have changed substantially. As I prepare these handouts, we have been lowered to Level Orange to Yellow with respect to Homeland Security. Think about this for a second. Did you ever, in your wildest dreams, think that this would ever occur? We know there are not only threats from outside our borders, but people active inside our borders who wish to do us harm and destroy our American way of life. UBL has called for all Muslims to attack us using suicide bombings as a tool. Last month, February 13, I learned that North Korea has a missile that may be able to reach the West Coast of the U.S. I wonder of the tech hubs of Seattle, San Francisco, Silicon Valley, and Los Angeles will receive the same attention with respect to targeting that they enjoyed during the cold war. Prior to 9-11, you primarily had to worry about making a mistake that could lead to consequences. Now, not only do you have to focus on your behavior, but also the potential for intentional misconduct in the form of war, sabotage or terrorist activities.

So what does this have to do with you here today? Your jobs and work here within USFS and the associated organizations are so crucial to our nation. It is quite an honor to be able to speak to you today. I approach life and my presentations with a combination of systems design, risk management and legal concepts that will sometime today, particularly early in the presentation, seem rather incongruent. Trust me, by the end of our brief session today this should all be perfectly clear to you, regardless of what organization you work for or what your job description or specific assignment is. The handout material is very comprehensive and should benefit you in the future. First, here are some issues of concern for all of you. I have put together Five Concurrent Themes necessary for a successful operation, and here is where we start our day together.

First, we need to remember that your extremely complex profession, helicopter operations in general, and your part of these operations specifically, involve a tremendous amount of Risk. Risk is part of life. You took risks coming to this class today. You will take a risk eating lunch today and driving home tonight. Risks can be eliminated, avoided, shared, or transferred. Each of these is a form of **Risk Management**. Every identifiable risk is a manageable risk. Over the years, I have spoken extensively on the management of risk,

and what your role is in aviation operations with respect to risk. Trust me, this stuff really works.

Historically, many operations do not take Risk Management seriously. Check the U.S. Government phone directory. For those of you with the Federal Government, You will find a lot of U.S. Attorneys, but few if any dedicated Risk Managers. Military operations historically have been an exception to this rule. Why? The stakes are so high that they cannot afford anything less than full success. El Al has taken airline security much more seriously than we have here in our general aviation because they have to. I am not here to rewrite the way you are doing business, but rather to give you some fine-tuning hints and to further reinforce some of the techniques and practices you may have in place already.

Over the years, I have learned that there are two types of people in this world, and my guess is they are both represented in this room today. Some of you believe that bad things just happen, and that there is nothing you can do about it. I have learned that this is sometimes a generational issue, but there are people who still believe “when your number is up, it is up, and there is nothing you can do about it”. This fatalist viewpoint is not accurate, and in fact leads to many consequences that really could have been prevented.

There are others who (more correctly) believe that bad things just do not happen. Things just don't pop up out of the blue. Trains do not have to crash, refineries do not have to blow up, and airplanes do not just fall out of the sky. Within our nuclear submarine operations, the earlier work of Admiral Rickover is well known throughout the risk management world, and has a lot to do with the tremendous safety record we enjoy in that high risk operation. We (you) can do something to prevent bad things from happening. This something that can be done is within the discipline of Risk Management.

Webster takes a stab at defining risk as the possibility of meeting danger or suffering a harm or loss, or exposure to harm or loss. As a follow then, **Risk Management is any activity that involves the evaluation of or comparison of risks and the development, selection and implementation of control measures that change, reduce or eliminate the probability or the consequences of a harmful action.** Or more simply stated, Risk Management is process of looking into the future (5 seconds to 5 decades) and asking “what can go wrong?”, and more importantly doing things up front to prevent things from going wrong. Risk Management is a “global” concept. It is not uni-dimensional, nor does it belong in just one area of your operations. Every task, every project, every assignment, every deployment and every action you do involves a level of risk. Therefore, every aspect of your operations can benefit from this discipline.

I like to divide risks and the management of risks into two types. First, the big picture, organizational risk management, or how to manage the overall risks of your operation. This big system contains a number of sub systems, and when they all work together in concert, things end up going right. I will talk about this later today focusing on what your role is in this process.

Second, the smaller picture, operational risk management, or how to manage the risk of a specific event or incident, for example, an employee termination, background investigation, natural disaster, security breach, calibrating an instrument, testing a device, or similar single event. Theme One for our day together is Risk Management.

The second of the Five Concurrent Themes is Systems, and understanding their value. The word gets thrown around a lot but what does it mean. According to Webster – “an organized or established procedure” or “an accumulation of processes”. When you check

under process and procedure, you will find “a particular way of accomplishing something” and also “a series of steps followed in a regular definite order”. I am a huge fan of “systems”, and have been for most of my life so long as they meet the DUI rule. When they are properly **designed**, kept **up to date**, and fully **implemented**, they will never let you down. Show me an organization that takes “systems” seriously, and I will show you one that stays out of trouble. On the other hand, start studying nasty consequences, and so often it gets down to systems either not being in place or not being taken seriously.

Our third theme today is Customer Service. Our public is fed up with a lack of service, and when organizations do not meet their needs and expectations, the public is no longer silent. The internet and 24/7 news coverage gives “legs” to stories that once were page 18 of the sports section. Couple this with the FOIA and other Public Records Acts and the recent explosion of accessible data-bases and it becomes even more troublesome. Add in a whole bunch of reporters who want to outdo the other networks and we have a public that gets a lot of information. Sadly, because of some of the sensationalism involved in Government activities (tune in Art Bell (now George Norry) some night....”Were you an abductee or an abductor?) and there is a lot going on. The answer is in maximizing the level of service we provide, both internally and externally. More on this throughout the session.

Our Fourth Theme for today is Accountability and the increasing lack of it in society and our respective professions. This is a dying concept in so many organizations, with craziness abounding. Statements like “... that is not my job...” and “she doesn’t work for me...” and “...we have never done it that way before...” are getting a bit tired and quite frankly customers are getting fed up with employees who are unable or unwilling to accept the fact that they need to be accountable. Every one in the organization, up, down and around the chain of command, has accountability. There are different levels of accountability, but each of us is accountable to do our jobs correctly. When accountability is not present, you have mediocrity. Mediocrity is a cancer that can spread quickly in an organization, and if not eliminated, it will destroy your operations. Accountability starts with your role in Systems. If you are in management, your accountability starts with developing good systems, keeping them up to date, and assuring that you have audits, controls and inspections in place up front to assure that people are doing what they get paid to do. If you are in supervision, your accountability starts with understanding the organizational systems and assuring their implementation. And finally, if you are bottom line worker, your accountability starts with following the policies and procedures of your organization. Again, more on this throughout our brief session.

The final theme for the day is integrity, and the manifestation of integrity, ethical behavior. Without the public trust, we have nothing, and without ethical behavior on each and every incident, we will never get the trust of our customers. Even minor ethical transgressions by a single individual within an organization can defeat all your otherwise excellent efforts. Quickly, the word will get out and you will have major problems. I have this odd belief that our customers (public) have the right to expect that all of our personnel possess integrity, and not just at time of hire but throughout their employment career.

So what am I doing here today? These “Five Concurrent Themes” are a platform for success. Taking these seriously will allow us to get things done right. When things go right, we are in route to success, better protecting our personnel, our respective organizations and our citizenry. This is important stuff. Some quick thoughts on the First of these five pillars are necessary. Here are some opening thoughts regarding this overall process of **Operational Risk Management**, and again it applies to every job description represented here today. Here is the Five Step Risk Management process.

**1. Identify and analyze potential areas of loss exposure.**

Risks can be managed reactively, which may have some value to prevention of future mishaps, but is not the optimum way of doing business. Proactive risk management is much more effective. To do this correctly, you must analyze all components of your operations including administration, security, facilities, workplace activities, and other similar issues you do in your various job descriptions. You may be able to gather some information from your counterparts in similar operations, but most of this will have to be done using the risk assessment process, or an analysis of past consequences. Both are excellent tools to identify potential hazards. If I were to assist you in maximizing the effectiveness of this discipline in your specific operations, this is where I would start. Let us spend just a couple of minutes identifying the highest risk tasks present in your specific workplace. Based on the job descriptions that I know are represented here today, the risks may involve fuel, machinery, impact tools, vehicle operations, chemicals, fire, heights, confined spaces, hazmat, trip hazards and the like. Take a moment to think about your specific workplace and these hazards.

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

**2. Develop (modify) method(s) to minimize potential problems.**

Next, we can develop the control measures to prevent bad things from happening. If you want to you can reproduce the above chart outside of this class, but you need to think this through. My hope is that your organization has developed “best practices” to assist in minimizing potential problems. However, it is important to note that “status quo” is not good enough and that we need to continue to look for the next best way of doing business. Additionally, it is always good to develop alternative ways of doing any given task to provide for the “just in case” scenarios that sometimes develop.

- 1. \_\_\_\_\_
- 2. \_\_\_\_\_
- 3. \_\_\_\_\_
- 4. \_\_\_\_\_

**3. Choose the method that seems best applicable to this area of concern.**

After identifying the various ways to get things done right, it is now the time to choose from among the various alternatives. Which of the choices is the best way to get the task done correctly? Circle or underline the best practices available. For example, if you listed driving a truck as a potential hazard, control measures would include seatbelts, DRL usage, and defensive driving techniques. This approach can be used in each of the above listed potential hazards. Next....

**4. Implement the chosen method.**

Implementation requires not only formalizing the “best practice” in written form but also providing adequate training, supervision and controls to assure that these best practices are being fully implemented. More on this later today.

**5. Track outcomes, and modify processes as necessary.**

This final part of the process is essential to continued success. Are the “best practices” working as planned to maximize your effectiveness in getting things done right? If not, it is time to revisit number two above and start over again.

You will be hearing a lot about this Five Step Risk Management process throughout our brief period of time today, but please remember this process as it works. Here are three statements that have guided me through most of my adult life. First is a quote, albeit paraphrased, from the great risk management guru of the 40’s, Dr. Archand Zeller.

“The Human does not change. During the period of recorded history, there is little evidence to indicate that man has changed in any major respect. Because the man does not change, the kinds of errors he commits remain constant. The errors that he will make can be predicted from the errors he has made.”

What does this mean? We have not figured out any new ways to screw things up. While there are variations on a theme, there are no new ways to get in trouble. I regularly speak about my complex profession, law enforcement, and truly if you take the time to look at our problems, it is the same stuff over and over.

The second statement important in my life thus far came from my mentor, professor and friend Chaytor Mason. He was a risk management guru in the 70’s. Here is a capsulized version of his response when I accused him of being the smartest person who ever lived.

“The smartest person in the world is the woman or man who finds the fifteenth way to hold two pieces of paper together.”

My instant response when I first heard this was confusion, but then I figured it out. While there are no new ways to screw things up (Zeller) there are always new ways to fine tune and revisit our existing systems. There is always a better way to recruit. There is always a better way to conduct a background investigation. There are better ways to build your policy manuals. There are better ways to train. We must be looking for new and improved ways of doing this most complex job, and you are the ones who can do that. Status quo (we have always done it that way – we have never done it that way) does not work. Do not

even get me started on this. There is a better way of doing business, the 15<sup>th</sup> way, and we must constantly be looking for it. My third belief is a merger of the above two thoughts.

“Things that go wrong in life are predictable and predictable is preventable.”

Proof you say? I have been preaching this for 20 years, and some of you are probably sick of hearing it. What is the top story of your newspaper today. These handouts were prepped on March 2. The top story today is the capture of the Al Queda punk and more info on the Columbia Disaster. We will wait and see on this. But there are other stories in the news. Another off-duty cop died this week with no seatbelt on. A double amputee died last month on a solo climb up Mt. Rainier. How about the surfers in Florida who had to jump over sharks in order to surf. How about the pier collapse in Philadelphia? How about the dead kids in hot cars, swimming pools and traffic accidents? The AA-587 crash in New York. Ford/Firestone? How about China’s Aids crisis? How about the Greek and African Ferryboats? I could go on and on. It is the same stuff over and over again. If you want to have some fun, go to the Darwin Awards website for a couple of laughs. And the winner this year is.... the alleged zookeeper in Germany with the constipated elephant. Without any other information, can you figure out how this is going to end? That one is just a story, but the rest..... Sad but true, these people used to be with us.

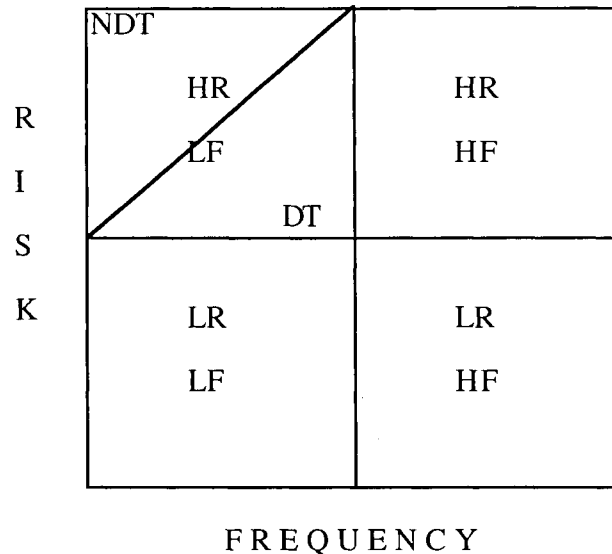
The singular goal that we all must strive for is simple. Whoever we are, whatever we are doing, whatever your specific job description is: Everything we do needs to be done right. Doing things right, achieving our goal of **PROPER CONDUCT** on each and every incident (99% is not acceptable) encountered is the first step toward maximizing the safety and security of your personnel, eliminating civil liability, maximizing personnel safety, protecting the environment and maximizing public trust. These Five Concurrent Themes, if taken seriously, will lead us to our goal of getting things done right the first time. All of these will be covered as we go through today. First things first.

## 1. Getting the Right thing done the Right Way the First Time

It is essential that the right thing be done the right<sup>way</sup> in a timely manner, without having to try again and again. Fortunately, most of the things you and your people do in your job in your specific operations are High Frequency, and your past experience will show you how to do it right the first time.

If you get bored tonight, go to your internet search engine and run NLP. Neural Linguistic Programming is a fascinating area of study. How does the brain gather information, store it, retrieve it, archive it, and ultimately use this accumulated information. Part of NLP is the concept of **RPDM**, or Recognition Primed Decision-Making. Here is how the brain works (in a quick nutshell). The brain does not encounter a task and then attempt how to do this task. There is a constant searching of your “hard drive” as you do things. This process involves studying past behaviors that ended successfully and directing current behaviors so that this task will get done right. The end result is simple. Give me a good woman or man and put them in a high frequency event, and there is a darn high probability that they will do the task right this time. Take away the quality of people, or put a good person in a low frequency event, and you are headed for problems. Take a quick look at this chart. Many of you have been around for a while, yet few in government have seen it. This is the classic “risk/frequency” analysis developed decades ago by people focusing on Risk Management. By EOW today, I want to convince you to have this chart indelibly imprinted over your left eye, and have you go through life, both your personal and

professional life, looking at things through these four boxes. When you are in the HF area, no problems. When you are in the LR area, no problems. However...



when you or your people get involved in a low frequency event (particularly one HR in nature) bad things have a higher chance of happening. This top left box scares me a lot as it has the highest chance for problems. Now that you know this, what can be done? Please note the top left box has been bifurcated. Some tasks need to be done immediately, with little or no time to think. These are represented in the upper portion of the top left box, and I refer to these as NDT events. These can be identified through a risk assessment (the purpose of the earlier exercise), or by a study of past consequences. Once identified, these need to be addressed through serious regular training. Later on today I will recommend a daily training approach for these tasks. Having said this, very little of your actual life in the workplace will be spent in this NDT area. Most of the events you will encounter that fall in the HR/LF box are in reality total discretionary time(DT).

When you get involved in one of these, it is essential that you slow down to think it through before you commit yourself to action. Part of thinking it through may involve asking someone who does the task at a higher frequency (and that may mean only once more than you) how to do it so it gets done right. USFS and contract operations can be very complex. However, **most** of the incidents you get involved in are **total discretionary time**. Here is a great quote for you, and I hope you will practice it.

**“He who hesitates is often much better off”**

To be sure, some things need to be done right now, and those need to be addressed with the aforementioned aggressive daily training program. But most things give us some time to think. Step back before you jump in and start acting without a plan. Slow down and take the time to think things through. From what I have learned about Admiral Rickover, he was a big fan of this concept. There are plenty of people in your profession who have done the involved task before, and they know how to do it correctly. Remember, there are no new ways to screw things up. Asking questions up front is not a sign of stupidity or weakness. Failure to slow down and ask questions when time allows on a low frequency event is a sign of stupidity. I have been preaching this for the last 20 years. Ask me any question. Any question at all in any discipline. Give me 5 hours and 5 phone calls, and I

will give you the answer. Individually, you know a lot about your job. Collectively, this group present today knows a lot more than any one individual. Slow down and think before you act. If no one knows how to handle a situation (this is doubtful), then fall back on your organizational mission statement and follow the guidance therein.

Throughout our day together, I will be making reference to the above chart. In a nutshell, anyone with “frequency” can do the HF stuff (the right two boxes). The lower two boxes do not get us in trouble. It is the top left box where problems most often occur. Most of those have DT. The top left corner (HR/LF/NDT) must be the focus of our training efforts. More on this later in the day.

We all want things done right. Good decisions are an essential component of getting things done right. Every incident encountered by you and the other personnel in your organization requires the making of a decision. You make thousands of decisions a day. So how many of your people have had a class on how to make a decision? If 5% of the hands go up in any given class I am speaking to, I am surprised. Some people think this is not an issue because most decisions we make are good ones. Very true, primarily because most decisions you make you make on a regular basis, meaning you do the underlying event at “high frequency”. In this situation, you can use the **RPDM** approach. Recognition Primed Decision Making, as discussed earlier.

I am not worried about how you make high frequency decisions, as you do so all the time and if you were not doing it correctly, you would know about it by now. I am very concerned about how you make “low frequency” decisions. While some are straightforward and simple, others are so complex that the made decision will be second-guessed for many years. Look at your operations. Bad decisions can have tragic consequences. How do you make decisions? Do you have a systematic approach to this process, or do you use the “whatever sounds right” at the time approach. Hastily made or poorly thought out decisions can have dramatic and permanent consequences. Unfortunately, very few organizations provide guidance in this critical area, with many believing that OJT will suffice. Wrong! OJT by itself is a ticket to lawyerville. When facing a *low frequency* task, please analyze as follows:

- #1. Identify and clarify the issue. What is this incident all about, and what am I being asked to do? You cannot make the right decision if you are addressing the wrong problem. Listen to what is being communicated to you. Don't let RPDM get in the way. Study after study has demonstrated that the more time you spend on #1, the higher the probability you will ultimately make the right call.
- #2. Am I able to address this issue? Does my job description allow me to handle this issue. If yes, then handle it now. If no, then get the issue to someone who can handle it now, and follow up to make sure it got handled. This is called closing the loop in the customer service world.
- #3. Is there discretionary time or not? This is so, so important. If you have it on a low frequency event, then use it to think the issue through using the next

four steps of this process. If you have the time, you are the luckiest person going, as there is no reason for a poor decision when there is time to think things through. Failure to utilize DT when available is over represented in subsequent problems.

- #4. \* What is our current policy regarding this issue? If no specific policy, then how does the Mission Statement of your organization apply in this situation?
- #5. \* What is our past practice regarding this issue? Take the DT to ask someone who has done this incident before and find out how this type of incident has been handled before. If you are going to deviate from the norm, you should have a very good reason for doing so.
- #6. \* Is it the right thing to do under the circumstances? What are the ethical considerations of this event? This is a generational specific issue. It is essential that you consider the consequences of your actions including long term, short term, intended and unintended (More on this later).
- #7. \* What are the potential consequences of my decision? Consequences include intended, unintended, long term, short term and immediate. This is a generational specific concept but it is critical that you analyze the impact on the public, your facility, your co-workers, your organization, and your profession.
- #8. Make and implement your decision. And it is not too late to go back to #1 to assure that you are still headed in the right direction. It is not too late to start over again and get it done right.
- #9. Document as necessary (this is the lawyer in me – Every written record and report is subject to discovery downstream, so get it done right the first time. It is total DT)
- #10. Learn from and share your experiences (this is the Risk Manager in me)

With respect to #6 above, “is it the right thing to do under the circumstances”, this query raises the ethics issue. More and more people, both inside and outside of the your operations are looking at your profession and raising the “ethics” question. What is “ethics” all about?

Webster defines ethics as follows:

1. the discipline of dealing with what is good and bad and with moral duty and obligation.
2. a set of moral principles or values

Further, "ethical" is defined as "conforming to accepted professional standards of conduct".

We have an ethics crisis in America. Tyco, Enron, Global Crossing, K-Mart, and your favorite Martha Stewart have all demonstrated a lack of ethics. Local Governments in my State including South Gate, Compton, Carson and my city Huntington Beach all have municipal leaders in trouble. Military operations have some ongoing issues in this regard. My profession of law enforcement has some major ongoing issues.

So what have we done? We historically rely on lawyers to give us advice, and the classic lawyer response is to provide training. Not to beat the old dead horse, but having a piece of paper saying that someone has been to a class is not the total answer. Many organizations use it as a crutch to show that they care and that they have a piece of paper saying that someone went to a class. This is a problem. What we should do regarding ethics training is to employ the principals of Risk Management. Am I boring you with this yet? It all gets down to risk management.

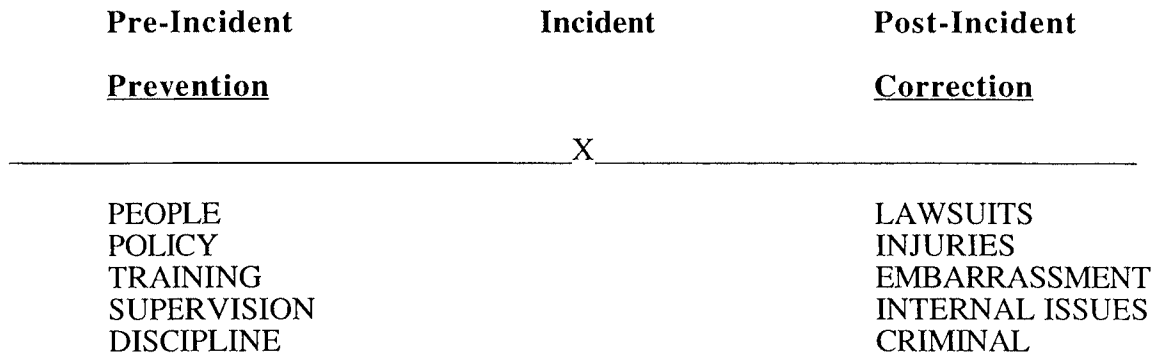
With this in mind, if we truly want to maximize ethical behavior, we have to start by hiring people who have integrity. I have this silly idea that the public has the right to think that everybody in government and related operations possesses integrity. Integrity (the word) derives from the Latin "integer" meaning "whole". You cannot train the immoral to be moral. The core ingredient for future ethical behavior is hiring people who are "whole", meaning those who possess integrity. Secondly, after hiring, we have to train them regarding ethics. Classes on ethics during initial training are essential, but again not the total answer. Every incident encountered by your women and men has ethical considerations. There are ethics involved in budgeting, contracting, report writing, computer operations, vehicle operations, travel expense reports, testimony, CPR incidents and every other task that you and your personnel do. With this in mind, each class we instruct needs to have a discussion regarding the ethical considerations of this particular task or incident. This is another way in which risk management can benefit you and your organization. Daily training bulletins regarding specific tasks and incorporating the decision-making process, including ethical considerations, into the training. More on this later.

It is not the intent of this class to give the "right thing to do" in any given situation, for your job is complex, and the number of permutations of possible incidents is innumerable. It is the intent of this class to maximize the level of interest in the concept of ethics and to instill in each attendee that ethics plays a role in each decision you make. Every incident, whether it be in field ops, on the training ground, in the office or in any other situation. Building ethics into the decision making process is an important part of the system. Here are some considerations which must be remembered.

1. Always obey the law and follow the policy. If you have the law and policy on your side, you are probably in good shape. If no specific law or policy, take a look at the mission statement of your organization and ask if your planned behavior is consistent with the mission of the organization.

2. If it smells bad, it probably is bad. Even if your planned behavior is consistent with law and policy, it might not be the right thing to do. It is essential that we give it the smell test, both personally and externally. How will it read in the paper tomorrow is a necessary consideration. However, this only applies if you have “discretion” in what you are doing. In the world of government operations, some of your functions are “ministerial” meaning mandatory and further meaning you have to perform the task correctly. If you are involved in such a matter, follow the letter of the law or policy regardless of the smell. Don’t forget to use your DT if you have it!
3. When questioned after the fact, always be up front and honest. America and Americans are very forgiving, but only if you are up front and honest about what really happened. This is an extremely complex job, and mistakes are going to happen. Don’t compound the mistake with a cover up.
4. Ethical actions speak louder than ethical words. This is the noblest profession in the world. Take it seriously. We all need to act like the professionals we are even when no one is looking and there is no chance our behavior will be noticed.

In summary, encountering our assigned incidents and tasks, getting the right thing done right the first time and treating all involved with dignity and respect is the key on each and every thing we do in person, on line, or on the phone. Each of your jobs is a series of incidents. Your operations are complex, with literally thousands of different permutations of incidents that you are asked to handle. Every incident encountered by the your people, regardless of assignment, has some potential for going wrong. The good news is that most incidents end up going right, and this is important to remember. In spite of what perceptions people draw from the media and other sources of baggage, most things you do you do right. Unfortunately, some incidents don’t go right. And when things don’t go right, we have problems. The potential for problems occurring is higher in some incidents than in others. This all goes back to that risk/frequency analysis I showed you earlier. Also, there are three phases to any incident. A quick look at a graphic is necessary to easily grasp this timeline.



## **PROPER CONDUCT**

THIS IS OUR GOAL ON EACH AND EVERY INCIDENT WE ENCOUNTER,  
REGARDLESS OF JOB DESCRIPTION OR RANK

Post incident is where most organizations analyze why things went wrong. While we can learn from the mistakes of others, if your analysis is done post incident, the benefits of such analysis do not benefit the people involved in that incident. Prevention is better than correction. Anyone can fix something after it goes bad. Post incident analysis and critique is a relatively simple task. Pre Incident analysis and prediction is the domain of a qualified risk manager. As I look at the consequences, I look for root causal factors, or RCF's. What really caused this consequence? When you study these consequences, you will see the same RCF's over and over again. The five most common RCF's are a lack of quality people, no policy, or policy not being followed in this instance, a lack of training, a lack of supervision or a lack of organizational discipline.

As we enter this 21st century, and look at all of the external issues facing government, we must get away from post incident correction and move into pre incident prevention, the expertise of Risk Managers. With this in mind, I have taken the five RCF's and created the "Five Pillars of Success", a.k.a. the foundation of my **ORGANIZATIONAL RISK MANAGEMENT** program. You have a role in each of these "Five Pillars". Here are some fine-tuning hints for you.

**PEOPLE**                      **Recruitment efforts - This is an obligation for all of us**  
   **It is critical for your continued success**  
**Comprehensive Background Investigations**  
   **Policy Considerations**  
   **Farming out the process may be wise**  
   **Consequences for not taking this seriously**  
**Core Ingredient of hiring process is integrity**  
**Not everyone is qualified to be in your operations.**  
**Weed out the unfit up front!**  
**Understanding the probationary process**  
**Meaningful Performance Evaluations**  
   **If you are not committed to taking the process**  
   **seriously, you may be better off without them.**

**Ethical Mandate #1:        All employees have an obligation to constantly be on the lookout for the next generation of your employees.**

**Ethical Mandate #2:        Management has an obligation to hire people who have the intelligence, fitness, desire and integrity to do this most complex job. Recognize that the key to ethical behavior is hiring people who possess that core ingredient of integrity. You cannot train the immoral to be moral. For Government personnel here today, the worst chain of command ever devised will not compel a person of integrity to violate the promises they made at the start of their career.**

**Ethical Mandate #3:        Management has an obligation to get rid of those who are unwilling or unable to do this most complex job while they are still on probation. Management also has the obligation to have a system in place to honestly and accurately assess the performance of all personnel and to fix or get rid of those who do not meet the standards of their job description.**

I am confident you have good people in your organization. To be sure, each organization has some losers, but most of your people are darn fine people, the top of American Society. Having good people is not enough. Good people need direction on how to do their job, and that is the role of Pillar Two, policy. Give me your best ten people in any job

description. Give them a LF task, particularly one HR in nature. Without a policy, you will have ten good people approaching the task ten different ways with ten different results. Good People need good policy. Here are some Risk Management thoughts on organizational policy.

As I travel around America, I see the same policy issues over and over again. Out of date, non-existent, written by people who have never performed the task in their life, inconsistent with other policies etc. etc. Remember, they are your “system” and it needs to be done right. Want a threat? They are all subject to discovery, both in formal court, and the court of public opinion. Anyone in the organization can be cross-examined right out of the policy manual either by a judge, attorney or investigator. And if your behavior is inconsistent with the policy, you have got a ton of grief. What to do, What to do???

Once again, here is the way I look at life, and how I want you to look at life by EOW today. I would prefer to see the policy manual broken down into separate and distinct job descriptions. Rather than having one (or a series of) large book(s) in which someplace therein is this job description, break the books down into each job description. Now:

**POLICY Identification of the HR tasks in each (your) Job Description**

R I S K	NDT	
	HR LF	HR HF
	DT	
	LR LF	LR HF

FREQUENCY

**Don't focus on low risk tasks  
 Properly derived, including review by competent  
 counsel, not just once but annually  
 What was that about the Golden Gate Bridge?  
 Color Coded within manual as to level of risk  
 (HR/LF/NDT) and those that are ministerial.  
 Make sure you and your people know the HR policies**

**Ethical Mandate #4: Management has an obligation to develop and maintain policies and procedures that maximize the efficiency of personnel encountering incidents in this most complex job. These policies have to be consistent with applicable law. Employees have an obligation to know the policies that apply to their specific job description.**

## **TRAINING**

**Initial and Ongoing (SROVT)**  
**You are responsible for training.**  
**Every day must be a training day focusing on HR/LF**  
**And HR/LF/NDT's – Play the "what if" game.**  
**Consistent with your good organizational policy**  
**Provided by people who care about training**  
**Pre Incident verification of Level of Knowledge**  
**Properly documented**  
**HR/LF/NDT Considerations in Decision Making**  
**More on this in a bit.**

**Ethical Mandate #5: YOU are responsible for training. If you are a supervisor or manager, you are the one responsible to ensure that you are providing adequate training to your personnel so that they can encounter their assigned incidents and get them done right the first time. Also, if you are a supervisor or manager, don't forget your personal training also. You have HR/LF tasks in your job description.**

## **SUPERVISION**

**Supervisors must enforce organizational policy**  
**It all gets down to implementing systems!**  
**Not some of the policies, but all of the policies**  
**Not some of the time, but all of the time**  
**Not with some people, but with all the people**  
**Not one or two supervisors, but all supervisors**  
**Do you have a "Bud" working for or with you?**  
**Auditing, Inspections and Complaint investigation**  
**MBWA leads to SBWA leads to Proper Conduct**  
**Catch your people doing something right, and take the time to document it.**

**Ethical Mandate #6: Supervisors have to enforce the rules consistently, fairly and impartially. Management has an obligation to conduct audits and inspections as necessary to ensure things are being done right. This is not micro-management – it is doing your job.**

## **DISCIPLINE**

**Prompt fair and impartial**  
**Not dependent on consequences**  
**Relations with Civil Service and Human Resources**  
**There must be a 'bright line' for ethics issues**

**Ethical Mandate #7: Supervisors have an obligation to initiate the discipline process when they observe a deviation from established organizational policy. Management has the obligation to either fix or get rid of people who are either unwilling or unable to do this job.**

In order to be successful, you must first get and keep good **PEOPLE**, derive and maintain good **POLICY**, make sure there is adequate **TRAINING** regarding the policies, have appropriate **SUPERVISION** of workers to make sure policies are being followed and take appropriate **DISCIPLINE** when there is deviation from established policy. Here are some quick questions that sum up the learning goals for our brief period of time together today.

## **1. Why do things generally go right?**

Things usually go right, notwithstanding the complex nature of the job, because our good people think quickly, and rely on their experience to do the job right. This is **RPDM** in action. Give me a good person with a loaded hard drive, and things will get done right. However, if you have not experienced the task you have encountered, or do not experience it on a regular basis, then you lack frequency.

## **2. Why do things go wrong?**

To be sure, some things go wrong because of intentional misconduct. We have some bad people in our profession, and sooner or later they get caught, fired and prosecuted. I believe this is an area ripe for risk management. Identifying and evaluating risks, and developing, selecting, and implementing control measures up front to reduce the probability of a harmful consequence. Systems like comprehensive background investigations and good supervision and discipline can minimize this. However, the vast majority of incidents that end up in a government professional getting in trouble, being injured, or sued in State or Federal Civil Court, are not generally because the person started off his/her shift with the intent to do something wrong. Things generally go wrong because well meaning people get involved in very complex incidents that develop and change very rapidly and the involved person makes a mistake. Things go wrong, not because we have bad people, but because our good people occasionally get involved in low frequency events where if not done right, there are major consequences. Take away frequency, you have taken away experience. Take away experience, and all you have to rely on is training.

## **3. How are your personnel trained currently?**

Virtually all Government personnel start and end their career training. We are forever training our personnel on how to do the job right. Your career started in formal training on the job, and throughout your life as a Government or other professional you receive ongoing training. Your hard drive has been partially loaded through training. However, after you graduate the initial training, when is the next time you have to take a serious test that you have to study for? For many of you, the only test you ever take is the "incident" itself. That is the first time you are posed with a situation posing a very specific question requiring a very specific answer. Where is the verification of level of knowledge on your department? How do you know what your people know about the HR/LF/NDT tasks prior to their involvement in the incident? When posed with the question, your people only have training and experience on which to rely. If you don't have the experience, all you have to rely on is your training. And if your training was one time in time some time ago, the likelihood of achieving your goal of proper conduct is substantially diminished. A final evil in the world of training is that too many of our personnel view the training responsibility as a responsibility of the Chief Officer the training officer or their supervisor. To the contrary, training is the responsibility of everyone. No one loses with highly trained, highly qualified professionals responding to and handling assigned tasks and incidents. By the way, it is the right thing to do.

## **4. What is the answer?**

The key to achieving your goal of "PROPER CONDUCT" is identifying and training for the low frequency, high-risk tasks. Repetitive training after the fact is not the answer. The answer is again in Risk Management in the form of repetitive training pre incident. We know where our personnel are going to get in trouble, and we can develop a system to prevent bad things from happening. One such systematic approach is a risk management tool known as **SROVT**. Solid, Realistic, Ongoing, Verifiable, Training. Your personnel

start off their career with Solid and Realistic Training. Where many organizations fail is in providing Ongoing and Verifiable Training. Ongoing means regularly in bite size portions. Verifiable means making sure you know the law (if any), the organizational policy and appropriate technique prior to your involvement in the incident.

## **5. How is a program of SROVT implemented? - The Four Step Approach to success.**

**First**, you must identify the **CRITICAL TASKS** on each particular Job Performance Loop. This is done by utilizing the following formula:

**TOTAL TASKS**  
**- EXPERIENCE**                    HR/LF/NDT  
**- DON'T COUNT**  
**- DISCRETIONARY TIME**  
**CRITICAL TASKS**

Remember that every job description in your organization has different critical tasks. The job description of an electrician is completely different than the job description of a IT (management information) professional or a safety officer or records keeper or a planner or a quality control inspector or security officer or maintenance worker. Supervisors are responsible for their job description and the job description of their subordinates. Managers are responsible for their job description and those of their subordinates, and up the chain. The best time to determine "Critical Tasks" of any employee, supervisor or manager is during the preparation of the annual performance evaluation. This is the opportunity of the rater to find out what the employee truly knows through experience and training, and what needs to be emphasized for the upcoming rating period. Private sector (those who pay losses from the bottom line) knows the value of making sure employees know the rules prior to involvement in an incident.

Second, after identifying these critical tasks, find and learn the law, policy and technique for each of these critical tasks. The key word here is **POLICY**. Well-written policies fully incorporate any applicable law, and speak of technique as necessary. Sometimes, the development of an **SROVT** program will find critical tasks, which have no policy.

Third, after identifying these tasks and finding the right way to do the task (following Law, Policy and Technique) make sure your people have the **S** and the **R**. (Solid and Realistic - Do they really know how to do this task? In our State, this is usually achieved during initial training. Please make sure this is happening.

Fourth, after they really know it, follow up with the **O** and the **V**. (Ongoing and Verifiable). Once or twice a month per task is adequate, the more the better. Ideally, each government professional should receive a 6 minute training session per day focusing on the HR/LF tasks in general and the NDT tasks in particular. Why six minutes?? Do the math. 6 minutes times a 5-day workweek is one half hour per week, 2 hours per month and 24 hours per year. That is a lot of training hours and how much did it cost you to provide it....nothing!! Why 6 minutes a day? Adults learn better by repetition than they do immersion. Have you ever had a training day after working night shift? Did you really leave that training day with any real learning? Why 6 minutes a day? Have you ever attended a four-hour class that could have been covered in 6 minutes, or did you already forget about the blood borne pathogen class? 6 minutes a day works, and it works well, particularly if it focuses on the things that really count, the HR/LF's and in particular the NDT's. Pre incident verification of level of knowledge is the goal. Random audits and

inspections will assist you in this regard. At this point, you have the **SROVT** and you are in route to your goal of Proper Conduct, which is the goal for each of us on every incident we encounter.

Start with the **CORE CRITICAL TASKS** for all of your personnel. These are the tasks that apply to everyone in the organization. A partial listing would include the Mission Statement, the Ethics statement, the building evacuation policy, the harassment policy, the “challenge of an unknown person” policy, and other such issues. A proper analysis of every **JOB DESCRIPTION** will allow you to further identify other critical tasks. These are the ones that require the **SROVT** approach. This is the best way to achieve your goal of doing the job right on each and every occasion. You can use pre-shift operational briefings to achieve this goal, or you can use the screen saver on your computer, or other electronic tools. The goal is to bring training as close as we can pre incident. And the future holds even better ways to do this, but let us get started on this now.

## **6. What are the benefits of having a program of SROVT?**

There are three potential benefits to having this type of program in place. First, your personnel are more likely to encounter incidents and do the job right. Second, if something does go wrong, you will better be able to demonstrate to a jury that you as an agency were not “deliberately indifferent” with respect to your training activities. And finally, and probably most important - **SROVT** will give your personnel confidence. Confidence is the key element in the concept of Professionalism, and professionalism is the key to Proper Conduct. Finally, Proper Conduct is the key to everything we do including maximizing your safety and customer service, and eliminating civil liability.

All of the above focused on the continued goal of getting things done right. However, doing things right is not good enough. Documentation of actions, events and results is also so complicated. Please do not think that you can possibly remember all that transpires. Here is a great quote from a childhood classic, *Through the Looking Glass*, by Lewis Carroll.

*“The horror of that moment,” the King went on,  
“I shall never, never forget”  
“You will, though,” the Queen said, “if you  
don’t make a memorandum of it.”*

Allow me to give you some thoughts on record keeping and incident documentation. Failure to properly document events as they transpire can cause you a ton of grief, and if you look at this through the eyes of a Risk Manager, there are no new ways to screw this up. Here is **GRIID**, my rules for improving incident documentation.

### **GRIID #1 - Incident Documentation is an essential component of your job. If you can’t write, you are in the wrong line of work.**

And, like any other component of your job, if it is not done right, there are problems. The basic rule of Risk Management is that most things that end up causing grief are predictable, and if predictable, it is preventable. If things are going to be done right, we need to focus on up front preparation for the incident involved. With respect to Incident Documentation, once again the Five Pillars of success are present. First, we need to hire good people who have the ability to learn how to write good documentation and keep good records. Second, we need to have policies (systems) in place to show what the necessary components of

good documentation and record keeping are. This also requires that we provide the forms and electronic templates to get this done in the most efficient manner. Third, training on how to prepare incident documentation and keep good records is essential. Fourth, there needs to be supervisory involvement in the process, including review of documentation, and audits and controls as necessary. Fifth, and finally, when something is not done right, it needs to be addressed appropriately. With all of that in mind, let us take a look at some of the regular failures that occur within the task of incident documentation.

## **GRIID #2 – Keep good records, and take timely notes as things occur.**

It does not matter what type of task you are involved in, certain things need to be documented or otherwise recorded. This documentation may be required by your organizational policy, or it may be required by law. Some things need to be documented because you know while the incident is occurring, that the documentation will be necessary downstream. It is essential that all documentation be accurate, including small details such as specificity of statements, times, exact locations and similar items. Since much documentation is prepared over a period of time, or is prepared well after the incident is completed, you may find it helpful to keep notes during the incident. The image of the detective with the notebook should serve as a reminder that those who do this every day keep notes. Your detailed notes should be fully included in your final report. Many jurisdictions and organizations allow you to get rid of your notes after they are fully incorporated into your final report, but please check your local rules and policies prior to destroying notes.

## **GRIID #3 - Remember why documentation is essential and what it will be used for. Don't write reports for anybody, write reports that are factual in nature.**

Things are documented for many reasons. Regardless of what type of organization you work for, management needs incident documentation to find out what is going on with line personnel, what happened during any given incident, learn about mistakes so that policies and training can be updated and as a recordation tool. We all just witnessed the Columbia disaster, and a tragic as it was, there were a lot of recordation tools in place to reconstruct the event after the fact. Additionally, in many organizations, incident documentation is used as a defense in civil court should the organization or involved employee be sued, and documentation can be used to prosecute wrong doers. If you work for a law enforcement or other public safety agency, your incident documentation may be used in a criminal prosecution, or in civil court by and between other parties. When you document an incident, you must remember that the paperwork you generate will live forever, and will be reviewed by many both within and outside your organization. If the primary reason you are documenting the incident is for your organizational internal usage, focus on the things that are necessary for that reader. If the primary reason for the report is prosecution, you may want to focus on the “corpus delicti” of the crime. But never forget that the same report may be used for other purposes also, including defense of the organization in a liability lawsuit. Regardless of whom you are writing for, remember to include all the factual elements so that the reader will have a good working knowledge of what happened, even five years after the event transpired. Write every word knowing that you may have to defend that word downstream either internally or externally. For those of you who write documents that will be reviewed by lawyers opposing you, remember they are taught to never attack facts, but rather attack the deliverer of the facts (that's you) or the method of delivery (your incident documentation).

## **GRID #4 - Before you put pencil to paper, think.**

You have total discretionary time in the report writing process. Take the time to do it right, as it can not be done better later. Major liability losses and embarrassments have occurred because someone turned a discretionary time task into a non discretionary time task. There are two types of incident documentation. One type is the “fill in the blank” where you check a box or insert a word or phrase. The other type is the free flow narrative, which requires you to construct a series of words, sentences and paragraphs to paint a word picture to the reader. Too many report writers start writing such a free flow report without a plan of action. Generally speaking, reports should be outlined either in your mind or on paper prior to putting the pen in your hand or your fingers on the keys with a blank screen. Since we live chronologically, it is easiest to read an event in chronological order.

Headings on paragraphs may assist the reader in understanding the substance of what is contained in the paragraph prior to reading it. Use the “active” voice throughout your documentation. This will allow you to bring your writing “alive” so that the reader understands what is going on. If the report is being prepared for a reader who needs an opinion or conclusion, your opinion or conclusion should be the last item, and it should be fully supported by the elements of the above paragraphs in your documentation. Opinions and conclusions that are not properly thought out and/or supported will never survive.

## **GRID #5 - Remember the importance of clarity.**

You would think that being brief and concise would be natural. Instead, it has to be learned. Don’t write like you talk, or you will be writing forever. You speak considerably faster than you can write, so work on clarity. Use short, simple words. Never use “gihugic” words when simple words will do. If you don’t know what a word means, don’t use it. Avoid using slang or jargon, unless it is a quote. Use short, simple sentences. Use short, simple paragraphs that are restricted to one thought or action. Readers of documentation are more impressed with clarity and thoroughness rather than a massive vocabulary and complex sentence structure. Save the big words for people you want to impress socially, or your first novel.

## **GRID #6 - Don’t forget the 5 W’s and the 2 H’s.**

One of the basic principles of all incident recordation is documenting the Who, What, Why, When, Where, How and How Many. While this seems basic, so many writers forget one or more of these items. Starting with who was involved (co-workers, involved parties, witnesses) what happened (sequencing events that transpired including those prior to your involvement), why you were there and why you did what you did or why something happened, when did it happen or occur, where the event or events transpired, how it occurred if you know and how many. This approach will include much of the information you will need for your documentation. Successful report writers recognize that “winning” (having a good report that survives attack) is in the details including reference to witnesses, evidence, photos and tapes if they are available.

## **GRID #7 - Remember the importance of accuracy.**

Minor errors in incident documentation may be interpreted as a sign of incompetence on your part (this is not good) or worse, dishonesty. It is critical that your documentation of any incident is accurate. Times, dates, locations, statements and other factual data has to be accurate. A good technique is to pretend that each document you submit is going to be closely scrutinized by someone who does not like you and would love to point out all of your errors. Accuracy can be enhanced by following the **CCP** rule: Complete, Consistent

and within Policy. Remember to include all necessary elements in your documentation, including apparently insignificant facts. Make sure your document(s) are internally and externally consistent, and that if your organization or profession has a policy, make sure your report meets the requirements of that standard. Once it is written down, it cannot be changed without a lot of explanation.

### **GRIID #8 - Always proofread your documentation.**

Proofreading will help assure the needs of #7 above. Read your incident documentation after you prepare it. Take the time to review your writing (and fill in the blanks) word by word and line by line. Does it read well? Does it say what you want to say? Does it look professional with good grammar and precise spelling (just kidding, but it caught your attention), Small things make the difference in the long run, so spend the time to critically review what you have written prior to submitting it. If you don't think you will treat yourself honestly and fairly in reviewing your own writings, have someone else do it, but never a significant other. It puts a strain on relationships when people point out simple errors. Also, remember that a single incident may generate multiple reports. I guarantee you that lawyers with opposing interests will get every piece of paper generated on an incident (including other organizations) and nit pick them apart looking for inconsistencies. Report review by supervisors is essential. Let your people know up front that you spend the time to fully review documentation, and they will rise to your level of expectation.

### **GRIID #9 - Be accurate, and if you're right, don't change it.**

Most of your incident documentation will be turned in, be reviewed, used as necessary and filed. Sometimes, the reader is not pleased with your efforts, and they may ask you to make changes. Changes regarding format and style should be made to meet the needs and desires of the reviewer or reader. Changes regarding substance should only be made when that change is necessary to more accurately reflect what happened. Never make substantive changes in your incident documentation if you believe the substantive change is incorrect, inaccurate or an outright misstatement of facts. Any supervisor or report reviewer who asks you to sign your name to a report which is wrong is in the wrong line of work. If they order you to make a substantive change, which you know is wrong, request to speak to their supervisor or manager. The consequences of submitting reports you know to be inaccurate can be substantial, including criminal liability and punitive damages in civil court.

### **GRIID #10 - Learn from your experiences.**

As with any other task you encounter in your particular job, there is no substitute for experience. If you do not have experience, all you have to rely on is your training. With respect to incident documentation, get as much experience, either personally or vicariously, as you can. Reading reports generated by people you respect and admire is an excellent way to get ready to write your own. If you are ever taken on regarding a report, either in court or otherwise, learn from any mistakes you may have made, and don't make them again. Over the years, you will hear the expression "You are what you write" and that expression is very true. Take the time to do your job right, and fully document the incident and your involvement in the incident. It is the right thing to do.

At this point in the talk today, I hope to have given you information on getting things done right, and reinforce the value of record keeping and documentation. As I close up with you today, I remain very concerned with the safety of all of your personnel, regardless of job description. Here are my rules that summarize my thoughts in this regard.

**GREWS 1.** People are the most critical element of the safety process. Without good people, all of your subsequent efforts are for naught. Safety problems are directly caused by the actions of your people. Our people provide the solutions to safety problems and challenges. Therefore, before you hire someone, check them out as much as your laws allow. The best predictor of future behavior is past behavior, and if you hire those who are unwilling or unable to work safely, you will pay for it downstream.

**GREWS 2.** Management has leadership responsibility for preventing injuries. After hiring good people who are ready, willing and able to work safely, you must give them guidance on how to do so. Developing and maintaining a policy manual consistent with worker safety is essential. The rules and protocols must be kept up to date. Good policies give different people on different shifts in different locations with different supervisors the ability to encounter a task and do it safely. Color coding the policy manual regarding HR/LF tasks is a good idea as it identifies those incidents that have a higher probability of causing the greatest problems.

**GREWS 3.** Employees must be continuously trained to work safely. Awareness of safety issues does not come naturally. After initial hiring, there must be immediate training regarding safety in the new employees job description. This is essential, but it is not enough. Real training is more than having a piece of paper saying they went to a safety seminar some time ago. Every day must be a training day. The principles of risk management apply here. Develop an **SROVT** program so that every worker gets an update everyday on how to continue to work safely. Emphasis should be placed on those behaviors that regularly cause injury, and HR/LF tasks in each job description. **NPCCR** is an excellent tool in this regard. Learning from mistakes prior to disaster is a great idea.

**GREWS 4.** Safety is a condition of employment. Every employee has to recognize they have an ongoing obligation to work safely. Regular oversight and monitoring of safety performance in the workplace is essential. Supervisors must be doing their job, whether in a factory, office setting or in the street. **MBWA** and **SBWA** are essential components in this process. Walk around and look for deviations from the rules. The good news is that most of what you see will be people doing their job right on a regular basis. When you make these observations, document good performance. Good men and women will rise and fall to your level of expectations. Set the high standards, and you will get a higher level of performance. Finally, supervisors and managers must set the proper example. Personnel will never follow safety rules unless and until they are being followed by supervisory and management personnel.

**GREWS 5.** When safety rules are not followed, someone must step up to the plate and address the issue involved with prompt fair and impartial discipline. That someone is management or supervision who must take action as described in **GREWS 4**. Discipline is not a function of consequence, but rather a function of behavior. Things can end up perfect, and yet behaviors throughout the incident may have been inappropriate or otherwise deficient. If you notice a deviation from established safety policy and procedure, that deviation must be addressed. Failure to discipline when aware of inappropriate actions or behaviors ratifies inappropriate behaviors which encourages future inappropriate behaviors. Ultimately, you will have a tragedy and the post-incident investigation will disclose that the poor behaviors have been occurring for quite a long while. Level of discipline may well be a function of consequence, but the initiation of discipline is dependent on deviation from the rules.

**GREWS 6.** Most operating exposures that could result in injuries or occupational illnesses can be controlled. Again, **MBWA** and **SBWA** are essential. Not only do we need to be watching the performance of our people, but also the continuing changing work environment in which our good people work. If you see a condition that needs fixing, shut down the operation and fix it now. This behavior will send a very powerful message to all your employees. Safety deficiencies that are identified must be promptly corrected.

**GREWS 7.** There is a link between worker safety and productivity. Women and men who work safe are more likely to be productive. Go back to all of those early management studies in the 50's. When workers know you are concerned about their well being, you will be rewarded with a higher level of performance.

**GREWS 8.** Safety extends beyond the job to be part of every person's life. It does not click on and off at the threshold of the workplace. Develop programs for your good people that they can take home with them, again focusing on the HR/LF incidents that occur outside of working hours. Recreational activities, natural disasters, vehicle operations and third party violence all need to be addressed on a regular basis. Again, **SROVT** is an excellent tool for getting this information out to your good people.

**GREWS 9.** Safety is a business responsibility. Ethically, all management teams have an affirmative obligation to make sure that worker safety is being taken seriously. You have an obligation to your "shareholders" whoever they might be. This applies to both public and private sector organizations. We cannot achieve our goals if worker safety is given the bum's rush and is a paperwork exercise only. Finally, taking this all seriously will lessen the chance of getting hit with a serious and willful issue downstream in Court. Take it seriously.

**GREWS 10.** Finally, most things that go wrong in life are highly predictable. This is also true with workplace safety incidents. All injuries and accidents are preventable. Do the job today. Recognize the five pillars of a good organization. People, Policy, Training, Supervision and Discipline. Take one of these away, and disaster is sure to result. Preventing problems is easy. It all starts with you!!!!

Well that wraps it up for the day. Thanks for coming back after the breaks and for your attention. A couple of closing thoughts that will wrap up my thoughts for our day together. You and your employees have complex jobs. It takes a good person to be a good professional! I am confident you are a good person and you have good people working with you, for you and throughout your organization. But being a good person is not enough. In order to be thoroughly ethical and professional, all of your professionals have got to be given good policy manuals that clearly describe what their specific job is all about. Fine-tune your policy manual to separate the chafe from the grain and make it easily understood. Additionally, all of our women and men have got to be fully trained to perform every aspect of their rightful work. Every day must be a training day. Supervisors and managers need to be actively involved assuring that policies are followed, and things are getting done right. When policies are not being followed, that deviation from policy needs to be addressed notwithstanding consequences. Encountering assigned incidents, getting the right thing done right the first time while treating all with dignity and respect should be the goal for each of our employees. Dignity and Respect in external operations will never be achieved unless and until Dignity and Respect is practiced internally.

Hopefully, the Five Concurrent Themes will be something you will use in your daily operations. I like to look at every task encountered and consider the elements of Risk Management, analyze the involved system, maximize the customer service element, check to assure accountability, and ensure integrity throughout the process. Hopefully, this will work for you also.

And finally, let me utilize this opportunity to give you the Seven Rules of Rickover, modified slightly for use in your operations.

1. You must have a rising standard of quality over time, and well beyond what is required by any minimum standard.
2. People running systems should be highly capable.
3. Supervisors have to face bad news when it comes, and take problems to a level high enough to fix those problems.
4. You must have a healthy respect for the dangers and risks of your particular job.

5. Training must be constant and rigorous, and should focus on the HR/LF events you may encounter, particularly the NDT events.
6. All the functions of repair, quality control and technical support must fit together. Again, the value of audits, control and inspections by managers who understand the systems.
7. And finally, the organization and members thereof must have the ability and willingness to learn from mistakes of the past.

Bad things do not have to happen. We can do something up front to prevent disasters. This something is called Risk Management. Taking this all seriously will allow us to maximize internal and external customer service, minimize civil liability, maximize the safety of our personnel, and it is the right thing to do. On a final note, all too often America and Americans forget the value of a strong military. The war we are currently involved in should serve as a reminder to each and every American how valuable our military is, and why it needs support even in times of peace. A strong military is good Risk Management. It was indeed a pleasure to address you today, and I look forward to seeing you again. I thank you for your attention today, and please take the time to work safely.

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