

Utility Safety Culture Working Group Kick-off

Safety Policy Division

Thursday June 12, 2022, 9:00am-12:00pm



California Public
Utilities Commission

WELCOME AND INTRO

9:00am-9:05am



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D.25-01-031: Utility Safety Culture Working Group

ORDERING PARAGRAPH 7

7. Within 180 days of issuance of this decision, Safety Policy Division will and is authorized to form a Utility Safety Culture Working Group, as discussed in this decision, including developing a standard set of qualifications and selection criteria for the third-party independent evaluator(s) that will conduct the Safety Culture Comprehensive Assessments.

SESSION STRUCTURE AND AGENDA

9:05am-9:15am



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I DO ART

Intention

- Formally initiate the Utility Safety Culture Working Group

Desired Outcome

- Set expectations for Working Group engagement and effort.
- Establish common understanding to approaching safety culture.
- Foster engagement.

Agenda

- Let's take look.

Rules

- Mute when not talking.
- Type questions in chat and raise hand during discussion time – engage!
- Participate actively.
- Follow-up will be shared.
- Keep cameras on during discussion (if possible).

Time

- 3 hrs

Detailed Agenda

Time	Thursday, June 12: Safety Culture Working Group Kick-Off Meeting
9:00 AM	Intro and Welcome - SPD (5min)
9:05 AM	Session Structure and Agenda: I DO ART - SPD (10 min)
9:15 AM	Presence Exercise - Log-in - SoCalGas (10min)
9:25 AM	Safety Culture - What is it and Why is it Different - Dr. Mark Fleming (30 mins)
9:55 AM	Working Group Engagement Expectations - SPD (30 mins)
10:25 AM	Break
10:35 AM	Working Group Work Plan - SPD (15 min)
10:50 AM	Discussion - All (30 min)
11:20 AM	Topic 1: Third-Party Evaluator Qualifications and Criteria - SPD (25 min)
11:45 AM	Presence Exercise: Log-out - SoCalGas (10 min)
11:55 AM	Next Steps - SPD (5 min)

PRESENCE EXERCISE

9:15am-9:25am



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Log-in

Question: “**Why are you here?**”

1. Take a moment (30 seconds) to reflect before starting.
 2. Briefly share one-by-one.
 3. No long stories – one short sentence.
- A log in must be short.
 - It is not a dialogue.
 - It is a tool to engage.
 - Distribute the voices in the room.
 - Mentally log-in to the meeting.

SAFETY CULTURE: WHAT IT IS AND WHY IS IT DIFFERENT

Dr. Mark Fleming, St Mary's University.

9:25am-9:55am



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WORKING GROUP ENGAGEMENT EXPECTATIONS

Safety Policy Division

9:55am-10:25am



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Purpose of Working Group

- **What is the Purpose?**

- Promote collaboration among CPUC-regulated utilities, CPUC, Energy Safety, and stakeholders
- Continuously assess and refine the Safety Culture Assessment Framework (D.25-01-031)
- Support utility safety culture improvement through non-punitive, learning-based engagement

- **Achieving Purpose**

- Facilitate implementation of the Safety Culture Assessment Framework
- Build shared understanding of safety culture and improvement strategies
- Refine framework and assessment processes based on feedback
- Constructively engage on assessment outcomes
- Identify and share best practices and resources

Summary Goals and Principles to Guide CPUC Framework and Collaborative Engagement.

Goals	Principles
<ul style="list-style-type: none"> • Make safety a core organizational value, not just compliance. 	<ul style="list-style-type: none"> • Foster a shared understanding of safety culture across all stakeholders.
<ul style="list-style-type: none"> • Enable cross-entity collaboration to identify and manage risk. 	<ul style="list-style-type: none"> • Engage all parties, as necessary —IOU workforce, contractors, governments, communities, and industry groups.
<ul style="list-style-type: none"> • Embed operational safety into safety culture to prevent catastrophic events. 	<ul style="list-style-type: none"> • Ensure privacy and confidentiality of individual workers.
<ul style="list-style-type: none"> • Use a systemic approach 	<ul style="list-style-type: none"> • Open communication and reporting without worker fear of retaliation.
<ul style="list-style-type: none"> • Develop tools to monitor and improve safety culture proactively. 	<ul style="list-style-type: none"> • Emphasize learning and continuous improvement.
	<ul style="list-style-type: none"> • The Commission plays a supportive role, influencing safety culture
	<ul style="list-style-type: none"> • Non-punitive collaboration to strengthen safety culture.
	<ul style="list-style-type: none"> • IOUs have full ownership and responsibility for their organization's safety culture.

Meeting Structure, Participation, Facilitators

Meeting Structure

- Quarterly virtual meetings for the first two years
- Additional meetings as needed
- Occasional in-person sessions

Participation

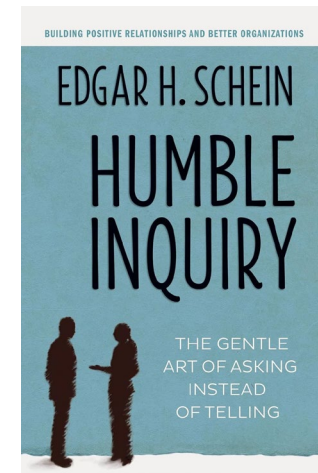
- **Required:** SPD and Joint IOUs (PG&E, SCE, SDG&E, SoCalGas)
- **Voluntary:** Energy Safety, Cal Advocates, and other stakeholders
- Entities designate a primary contact for communication
- Regular attendance expected for continuity.

Facilitators

- Independent expert facilitator supports objectives
- SPD leads USCWG in collaboration with facilitator

Overview of Ground Rules for Engagement

- Commit to active and consistent participation
- Safe space principles
 - Assume positive intent
 - Listen actively,
 - Encourage inclusive, judgment-free dialogue.
 - Be judicious with the information shared in the group.
- Practice Humble Inquiry
 - Ask before telling
 - Be curious, not judgmental
 - Acknowledge other's contribution and expertise



Rules for Engagement: Role of Participants

Role of Participants

- Collaborate constructively
- Learn and apply shared safety culture concepts
- Stay impartial and focused on improvement
- Remain informed and prepared
- No recording or AI summarizing (unless expressly agreed to ahead of time).

Communication

- Connect and collaborate between meetings
- Use distribution lists for updates and materials
- Participants may suggest new topics for consideration.

BREAK – 10 MINS

WORKING GROUP PRELIMINARY WORK PLAN

Safety Policy Division

10:35am-10:50am



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Priorities and Preliminary Work Plan

Near-term – within 1 year of USCWG formation	Mid-term – within 2 years of USCWG formation	Long-term – starting 3 rd year of USCWG formation
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Key Responsibilities	Actions	Priority	Lead	Timeline
1. Comprehensive Assessments	a) Standardize Third-Party Evaluator Qualifications	Near-Term	SPD	2 nd quarter, 2025
	b) Industry specific examples of the safety culture framework traits;	Near-Term	IOUs/CalP A	4 th Quarter, 2025
	c) Reviewing Results	Long-Term	SPD/IOUs	3 rd Year; annually thereafter
2. Annual Public Workshop	a) Plan and conduct an annual public workshop	Mid-Term	SPD/IOUs	2 nd Quarter, 2026; annually thereafter.
3. Mechanisms supportive of open-information flow within the IOUs, across the industry, and between the IOUs	a) Confidentiality and non-punitive mechanisms used by INPO, and other mechanisms.	Near-Term	IOUs	3 rd Quarter, 2025
	b) Nonpunitive reporting	Mid-Term	CalPA	1 st Quarter, 2027
4. Improvement Self-Evaluation.	a) Process and Method	Mid-Term	SPD	1 st and 2 nd Quarter, 2026.
	b) Focus areas and indicators for the annual improvement Self-Evaluation.	Mid-Term	SPD/IOUs	3 rd and 4 th Quarter, 2026
	c) Review of Results	Long-Term	SPD/IOUs	est. 2028; annually thereafter
5. Identify improvements to Framework.			ALL	On-going

Discussion and Participant Questions

Please use chat or Q&A feature



TOPIC 1: THIRD PARTY EVALUATOR QUALIFICATIONS AND SELECTION CRITERIA

Safety Policy Division

11:20am-11:45am



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Features of CPUC Safety Culture Assessments

- Covers all risks presented by the IOU (not just wildfire safety).
- Applies to both large electric and gas investor-owned utilities.
- Multi-method comprehensive assessment - deep and rich picture of safety culture, including underlying values, beliefs, and norms.
- Frequency (every 4 yrs) permits a deeper dive into the culture.
- Utilizes a normative framework against which to evaluate.
- Performed by a third-party evaluator.

Envisioned Approach for Assessments

- Focus on **identifying underlying basic assumptions** (i.e. what's “below the surface” or can't be seen) based on the safety culture assessment framework adopted by the CPUC.
- Comprehensive assessment: multi-method approach that involves going beyond **employee perceptions, performed in a systematic manner**; NOT perception based or led.
- Extraction of cultural themes and triangulation of related signals across the multiple data collection sources.
- Rooted in the International Atomic Energy Agency (IAEA) assessment approach and methodology (see [STI/PUB/1682](#) and [SVS-32 web.pdf](#)).

Unique features of the IAEA Methodology

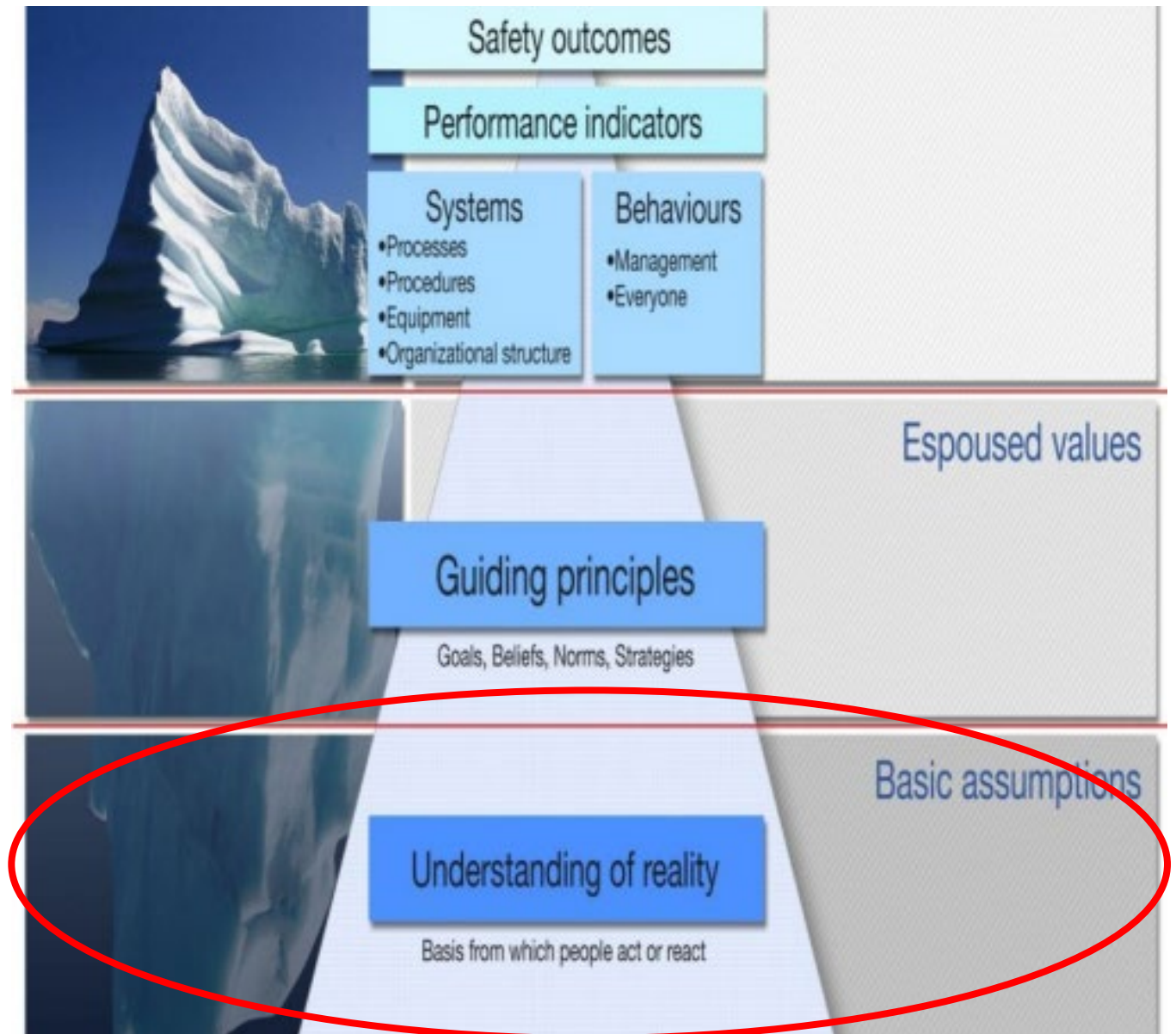
Approach: Qualitative and quantitative methods (qualitative are predominant), emphasizes continuous improvement and organizational learning, promotes system thinking, focus on understanding “Basic Assumptions”.

Tools: Multimethod to triangulate data across methods .

Culture View: Dynamic and evolving

Assessment focus: context-sensitive understanding

End Goal: Insight for improvement



Lenses to apply in analysis

Include, but are not limited to (from [Canadian Energy Regulator Assessment Guidance](#)):

- identification of common themes across data collection methods;
- identification of thematic differences across data collection methods;
- identification of data that serve to illustrate the noted cultural themes (e.g., participant quotations, stories or observations);
- disparities between what is said and/or written (i.e., espoused values by leaders and those found in documentation) and what is actually done in practice;
- differences and similarities between sub-groups (e.g., teams, business units, regional offices) and hierarchical levels; and
- identification of any significant observations of patterns of behavior related to safety commitment and tolerance of risk.

Feedback Qualifications and Selection Criteria

- Working Group participants send written comments on **third-party evaluator qualifications and selection** criteria to:

Richard White, Safety Policy Division, at
Richard.White@cpuc.ca.gov **by July 15, 2025.**

*Please copy Working Group's distribution list to
be shared by SPD*

Questions?

Please use chat, Q&A feature, or “raise hand”



PRESENCE EXERCISE

11:45am - 9:25am



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Log-out

Question: **“What do you want to get out of this Working Group?”**

1. Take a moment (30 seconds) to reflect before starting.
 2. Briefly share one-by-one.
 3. No long stories – one short sentence.
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NEXT STEPS

11:55am - 12:00pm



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Action Items

- **Participants:** Comments on Third-Party Evaluator Qualifications and Selection Criteria due July 15, 2025.
- **SPD:** Finalize dates for upcoming quarterly meetings.
- **Joint IOUs:** 3rd Quarter Meeting: Confidentiality and non-punitive mechanisms used by INPO, and other industries.



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<https://www.cpuc.ca.gov/about-cpuc/divisions/Safety-Policy-Division/Safety-Culture-and-Governance>