



Safety Design Consulting_{LLC}

HAI HELI-EXPO 2015 ROTOR SAFETY CHALLENGE

Just Culture: Accountability versus Responsibility

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Creating and Implementing a Just Culture

- Legal issues
- Reporting methods
- Forms
- Train the trainers
- Train the users
- **Accountability versus Responsibility**
- Collecting and analyzing data
- Assess effectiveness & make changes as needed



JUST CULTURE: WHAT DOES IT MEAN TO YOU?



Dr. Reason

- "Just Culture is an atmosphere of trust in which
 - people are encouraged to provide safety-related information,
 - but in which they are also clear about where the line must be drawn between acceptable and unacceptable behavior."



JUST CULTURE

The Roles of Individuals in the System



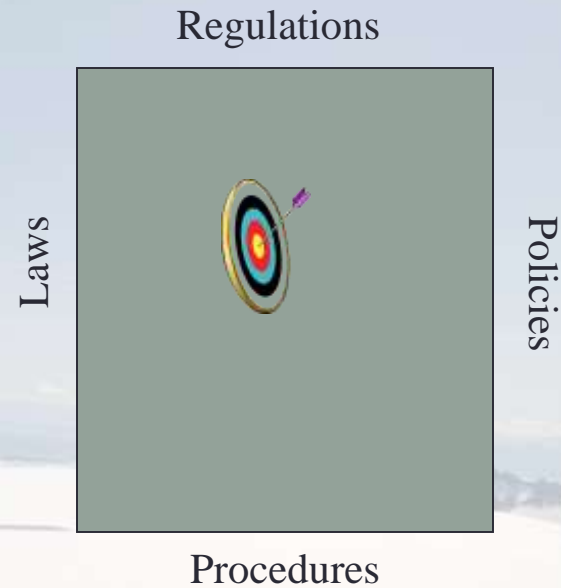
Systems & Individuals

- Accomplishment of safety-critical work
- “Discretionary Space” (Dekker)
 - Here person has a level of choice
- Systems designed to clearly define this space
- Systems incorporate motivations to carry out responsibilities conscientiously



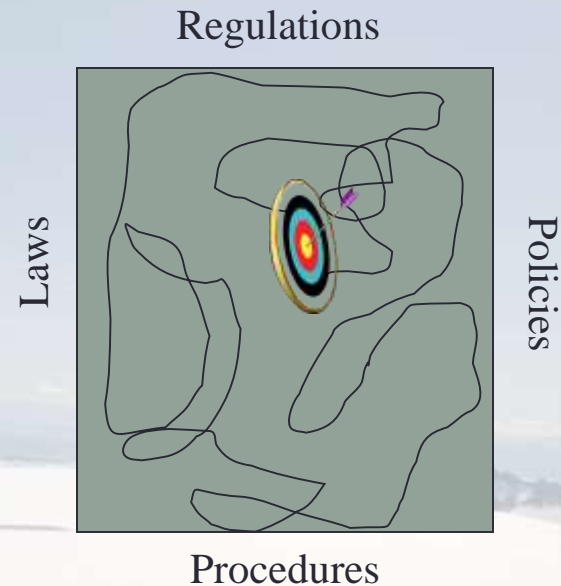
Operational Parameters & “Discretionary Space”

- To reach organizational goals:
 - Know applicable rules and regulations
 - Know company policies and procedures



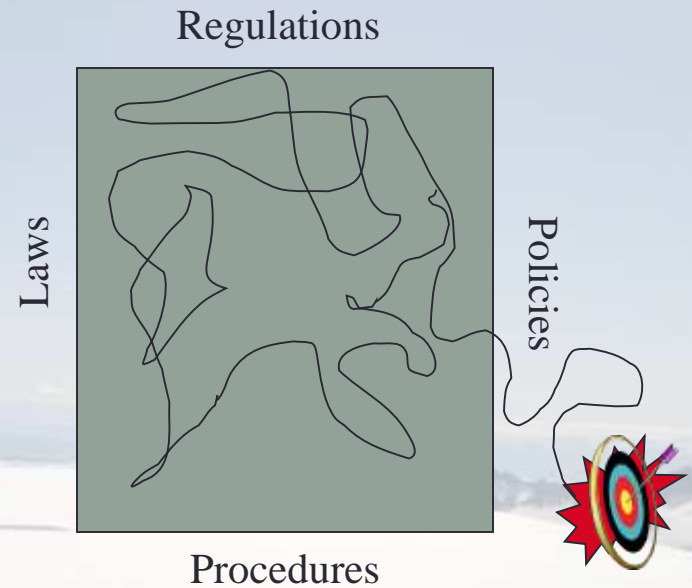
Operational Parameters & “Discretionary Space”

- Changes depending on circumstances and objective
- What happens when you reach the boundaries of the box?
- What happens when the boundaries are exceeded?



Operational Parameters & “Discretionary Space”

- What happens when something is out of bounds
 - Were SOPS being followed?
 - If yes, why was the outcome out of the box?
 - If no, why not?
 - Opportunity to discuss procedures



- What happens if it was a regulation or other violation?
- Consequences?



RESPONSIBILITY VS. ACCOUNTABILITY

What do these mean to you?



Dictionary meanings (www.merriam-webster.com/dictionary)

re-spon-si-bil-i-ty *noun*

\ri-, spän(t)-sə-'bi-lə-tē\

the state of being the person who caused something to happen

a duty or task that you are required or expected to do something that you should do because it is morally right, legally required, etc.

ac-count-able *adjective*

\ə-'kaʊn-tə-bəl\

required to explain actions or decisions to someone

required to be responsible **for** something

ac-count-abil-i-ty *noun*

\ə-,kaʊn-tə-'bi-lə-tē\

the quality or state of being accountable; *especially* : an obligation or willingness to accept responsibility or to account for one's actions



Definitions in the aviation context (Stolzer)

- Responsibility
 - A specific job function, duty, task or actions assigned
 - With power and resources to perform those activities
- Accountability
 - An obligation of the employee to answer for the outcomes of assigned operational work activities
- The difference?
 - Responsibility is an obligation to act
 - Accountability is the obligation to answer for an action, with consequences for failure to meet assigned responsibilities.

- Stolzer, A.J. 2011. Implementing Safety Management Systems in Aviation. Ashgate Publishing.



Definitions in the aviation context (Dekker)

- In fulfilling your job duties
 - You are **accountable to**, but *responsible for...*
- In the organizational context
 - You are **accountable up**, but *responsible down*

• Dekker, S. 2012. Just Culture: Balancing Safety and Accountability. Ashgate Publishing.



Forward-Looking Accountability (Dekker)

- Taking responsibility in acquiring and using information to avoid errors
- When errors occur
 - Being forthright about mistakes
 - Reporting mistakes
- Taking action to continuously improve
 - Dekker (2012). Just Culture: Balancing Safety and Accountability. Ashgate Publishing
 - *Not rearward-looking with blame and sanctions*
 - *Can lead to hiding information*



Establishing Clear Guidelines

- For what actions is one responsible?
- Who is the person to whom a responsible person is accountable?
 - RACI matrix
- How are acceptable and unacceptable actions defined?
- Is the organization forward-looking?
- Elimination of the blame/sanctions approach



HOW DOES YOUR COMPANY DRAW THE LINE BETWEEN ACCEPTABLE AND UNACCEPTABLE BEHAVIOR?



Drawing the line: absolute rules

- Substance abuse on the job = firing offense
- Intentional violation of regulations or SOPs = firing offense
- Do the rules need to change?



Drawing the line: assess circumstances

- Compare conduct to a reasonableness standard
- Would someone else in the same situation with equal qualifications have done the same thing?
- Taking the opportunity to learn from the event



Safety Accountability to Whom?

- Level of subject matter knowledge?
- Understanding of responsibilities?
- Consequences



RACI Matrix

Responsible

- The person who actually carries out the process or task assignment
- Responsible to get the job done

Accountable

- The person who is ultimately accountable for process or task being completed appropriately
- Responsible person(s) are accountable to this person

Consulted

- People who are not directly involved with carrying out the task, but who are consulted
- May be stakeholder or subject matter expert

Informed

- Those who receive output from the process or task, or who have a need to stay informed



Responsible	Accountable	Consulted	Informed
“the doer”	“the buck stops here”	“In the loop”	“keep in the picture”
Person who completes a particular process step or leads the people who do	Person who is held accountable by top management for implementation	Person whose advice is sought before a final decision is made and/or implementation takes place	Person(s) who are notified once a final decision has been made or after implementation takes place
Position working on the activity & responsible for implementation	Position with Yes/No authority	Position involved prior to decisions or action	Position that needs to know the decision or action
Responsibility level determined by person who is accountable	Only one accountable person per function	Two-way communication	Informed after and only one-way communication



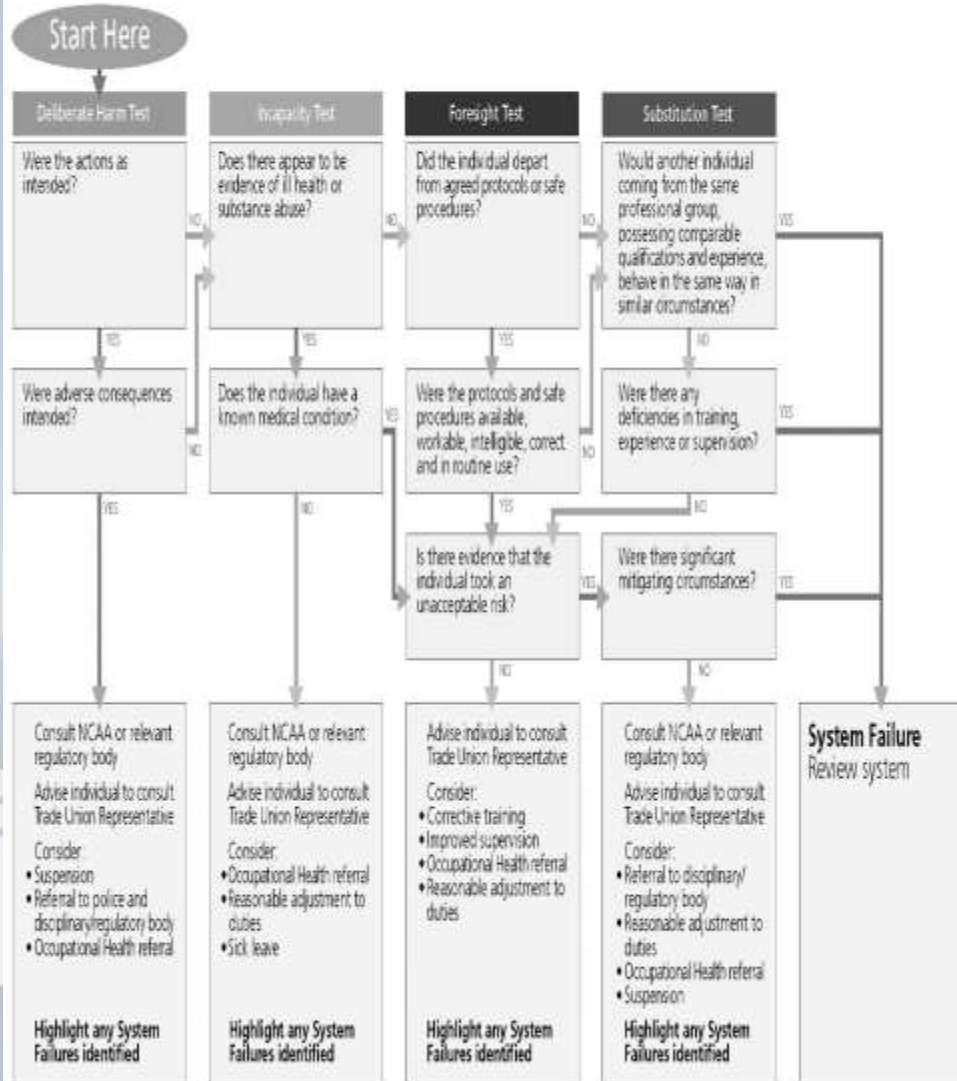
“Who’s involved”

“What needs to get done”

	Role A	Role B	Role C	Role D
Function / task 1	R	A	C	I
Function / task 2	A	R	C	I
Function / task 3	C	R		A
Function / task 4	R	C	I	A
Function / task 5	I	A	R	

INCIDENT DECISION TREE*

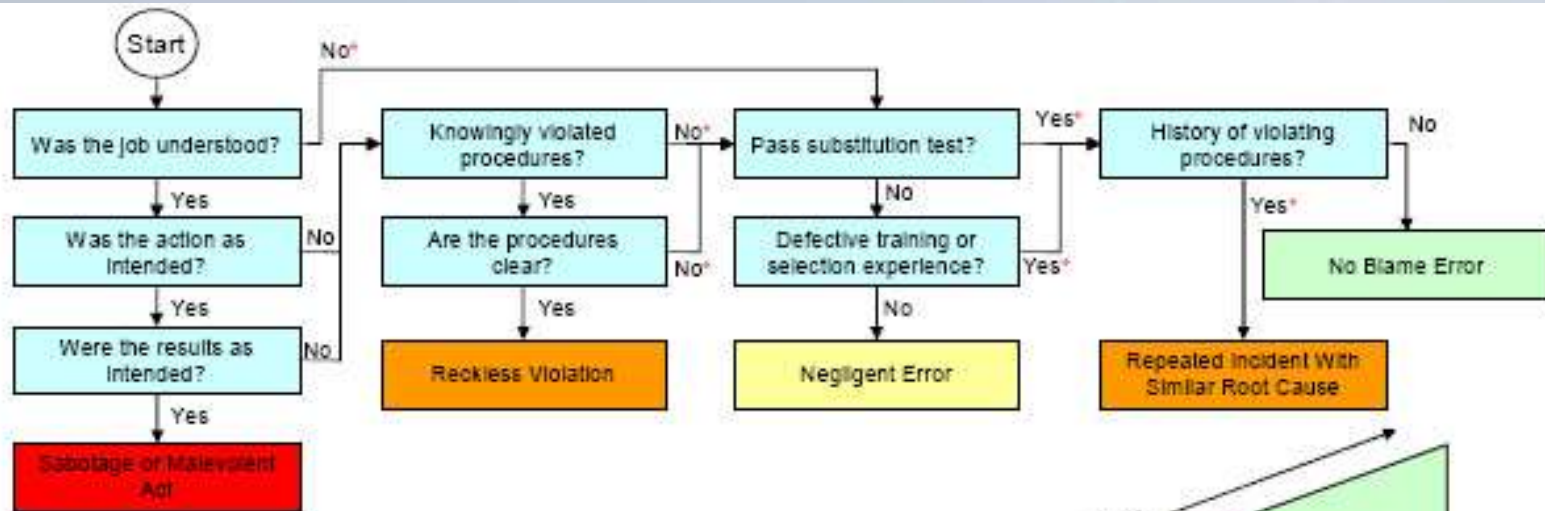
Work through the tree separately for each individual involved



* Based on James Reason's Culpability Model



Just Culture Process



* Indicates a 'System' induced error. Manager/supervisor must evaluate what part of the system failed and what corrective and preventative action is required. Corrective and preventative action shall be documented for management review.



NON-PUNITIVE REPORTING SYSTEMS

How does your company do this?
Do you allow for anonymity? How?



ASRS

- Exceptional example
- Detached from FAA
- Transactional Immunity
- AC00-46E
 - 5. PROHIBITION AGAINST THE USE OF REPORTS FOR ENFORCEMENT PURPOSES.



ASRS – clearly defined limitations

- Event cannot be intentional
- Event cannot involve criminal activity
- Event cannot involve an accident





Just Culture & Your Organization

- SMS?
- Defined Accountability and Responsibility?
- Protection of data and/or identity?
- Non-punitive reporting system?
- Data collection



Up Next

1:00 pm – 3:00 pm	<u>Autorotations: Reality Exposed</u>			
	Industry Professionals & Government Agencies (NTSB & FAA)			
1:00 pm – 3:00 pm	<u>Seeing Better Than 20/20: Proposed Helicopter Operational Safety Improvements Using Advanced Vision Systems</u>			
2:15 pm – 3:15 pm	<u>Aviation Human Factors: Protecting Us from Ourselves</u> 	<u>Forced Landings</u>	<u>Just Culture: Not as Simple as It May Seem</u> 	<u>Procedural Intentional Noncompliance (PiNC): Rule Breaking</u>
	Jason Quisling, Air Methods & USHST	Michael Becker, Becker Helicopters Pilot Academy	Sunshine McCarthy, Baldwin Aviation	Don Lambert, Air Methods
	<u>Safety Culture and Social Media</u> 	<u>Safety Data Analysis: Make It Actionable</u> 	<u>Updates in FAA Medical Certification</u>	
	Elan Head, <i>Vertical Magazine</i>	Jeff Currin, Air Methods	Charles Mathers, MD, MPH, Aerospace Medicine Center, UTMB	





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THANK YOU FOR YOUR TIME!

Fly Safe!



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