

California Underground Facilities

Safe Excavation Board

Item #6f-i

Agenda Item – Resolution

DATE: January 9, 2018

TO: Members, Underground Facilities Safe Excavation Board

FROM: Tony Marino, Executive Officer

SUBJECT: Board Policies: Organization

BACKGROUND:

Statements of mission, vision, and values have roles in providing guidance for action, expressing the organization's character to outside stakeholders, and assisting in strategic planning processes.

DISCUSSION:

Policies that express the image an organization has of itself can rally internal stakeholders around goals the organization sets for itself and sets expectations of external stakeholders in their interaction with the organization. For this reason, such statements play a fundamental role in the creation of direction and can be particularly powerful in a new organization, such as the California Underground Facilities Safe Excavation Board, which has little historical baggage to create inertia against change.

A mission statement explains an organizations reason for existence and communicates purpose to employees and other stakeholders. A vision statement describes aspirational state of the world that the organization hopes to create—or what the world will look like when the organization is no longer needed. A values statement describes how the organization will operate to achieve its goals and usually pledges to follow applicable ethics and transparency laws at minimum but also goes beyond to express the ways in which the organization expresses respect for its environment and the persons in it. It serves as a set of expectation for employees and a clear message to outside stakeholders about what types of behaviors are encouraged and what types are not acceptable.

Mission, vision, and values statements have a special purpose in strategic planning. Often implicit in strategic planning is the need for a change in direction, and mission, vision, and values statements can provide the many employees responsible for making changes (and convincing others to go along with those changes) a commonly-understood direction unified across the organization.

Developing a values-led organization can be difficult if the intent is to change an existing culture. The Board, however, is new, and making statements such as these can assist in creating the culture the Board aspires to have.

Values play an important role in organizations with a safety mission. A safety-focused organization must develop safety management processes, but such an organization must also develop a culture conducive to the promotion of safety. A poor safety culture can impede effective hazard reporting, collaborative root-cause analysis, and the development of risk mitigations. Conversely, the International Civil Aviation Organization (ICAO) attributes much of civil aviation's outstanding safety record to a continuous learning process based on the development and free exchange of safety information.¹

This free exchange cannot, however, be viewed as selective, especially if it is selective against the general public. As Peter Sandman explains, the traditional view of the public from an industry point of view had been "Ignore people if you can, mislead them if you must, lie to them in extremis, but for heaven's sake don't level with them because they will screw it up."² This view appears to be changing, as the American Petroleum Institute's Recommended Practice 1173 ("Pipeline Safety Management Requirements") requires gas and electric pipeline operators to maintain processes for two-way communication with external stakeholders.

Exclusion need not be based on the selective withholding of information, but can happen if information is not available to people not already immersed in the jargon and technical nature of an industry. As the National Research Council notes,

"citizens of a democracy expect to participate in debate about controversial political issues and about the institutional mechanisms to which they sometimes delegate decision-making power. A problem formulation that that appears to substitute technical analysis for political debate, or to disenfranchise people who lack technical training, or to treat technical analysis as more important to decision making than the clash of values and interests is bound to elicit resentment from a democratic citizenry."³

The Board's expression of such values of openness can signal to stakeholders that it is not solely the Board's responsibility to act consistent with these values, but that an idea a stakeholder provides that is unnecessarily inaccessible may not receive the weight of argument it might otherwise achieve were it understandable but other stakeholders and thus subject to the crucible of public debate.

RECOMMENDATION:

Adopt attached policies regarding the history, mission, vision, and values.

ATTACHMENTS:

1) Resolution

¹ Doc 9859, "Safety Management Manual," ICAO, Third Edition, 2013, 4-App 5-1.

² Peter Sandman, *Responding to Community Outrage: Strategies for Effective Risk Communication*. American Industrial Hygiene Association, 1993, p. 4.

³ National Research Council, *Improving Risk Communication*, National Academy Press, 1989, p. 20.

- 2) Organization B-01: History**
- 3) Organization B-02: Mission**
- 4) Organization B-03: Vision**
- 5) Organization B-04: Values**

CALIFORNIA UNDERGROUND FACILITIES SAFE EXCAVATION BOARD

RESOLUTION No. 18-01-02

A RESOLUTION OF THE CALIFORNIA UNDERGROUND FACILITIES SAFE EXCAVATION BOARD ADOPTING POLICIES REGARDING ORGANIZATIONAL STATEMENTS AND SYMBOLS OF PURPOSE

Whereas statements of purpose play a fundamental role in the creation of direction and can be particularly powerful in a new organization, such as the California Underground Facilities Safe Excavation Board; and

Whereas mission, vision, and values statements will likely play an important role in future strategic planning efforts; and

Whereas the statements explaining the Board's values of respect, inquiry, accessibility, integrity, and commitment to a culture of continuous learning will signal to stakeholders the Board's expectations for interaction with the Board;

Be it resolved that the Board adopts as policies B-01 ("History"), B-02 ("Mission"), B-03 ("Vision"), and B-04 ("Values").

I certify that this resolution was adopted by the California Underground Facilities Safe Excavation Board at its business meeting on January 9, 2018, the following Members approving it:

/s/ Anthony R Marino

ANTHONY R. MARINO
Executive Officer

Category:	Organization	Policy Number:	B-01
Title:	History		
Adopted:	DRAFT	Resolution:	
Revision:			

The California Underground Facilities Safe Excavation Board was created by the Dig Safe Act of 2016 (Chapter 809, Statutes of 2016) to investigate accidents, develop excavation safety standards, and coordinate education and outreach programs.¹

¹ Senate Floor concurrence statement of Senator Jerry Hill for SB 661, August 31, 2016, 10:35pm:

“Thank you Madame President. SB 661 revamps the state’s ‘Call-Before-You-Dig’ law for the first time since 1989 and is part of the Governor’s PUC reform package. The bill creates a stakeholder board in charge of investigating accidents, developing excavation safety standards, and coordinating education and outreach programs. SB 661 is the culmination of a multi-year stakeholder process involving gas and electric utilities, telecommunications companies, labor, agriculture, contractors, landscapers, county governments, petroleum companies, and others. I respectfully ask for your ‘aye’ vote members. Thank you.”

Monitoring Method: Board
Frequency: Biennial

Category:	Organization	Policy Number:	B-02
Title:	Mission		
Adopted:	DRAFT	Resolution:	
Revision:			

The California Underground Facilities Safe Excavation Board improves public and worker safety by facilitating communication and learning among excavators and the operators of subsurface installations and by investigating accidents to determine their causes. The California Underground Facilities Safe Excavation Board strives to be a model regulatory and investigatory board for other states to emulate.

Monitoring Method: Board
Frequency: Annual

Category:	Organization	Policy Number:	B-03
Title:	Vision		
Adopted:	DRAFT	Resolution:	
Revision:			

The California Underground Facilities Safe Excavation Board seeks to effect a California in which the state’s excavators and subsurface installation owners know and understand

- how to identify the locations of subsurface installations,
- how to protect against dangerous contact with those installations, and
- how to resolve unexpected situations that may arise, and

in which the state’s excavators and subsurface installation owners exercise that knowledge and understanding to promote a culture of mutual respect and dedication to the cause that everyone goes home safe.

Monitoring Method: Board
Frequency: Annual

Category:	Organization	Policy Number:	B-04
Title:	Values		
Adopted:	DRAFT	Resolution:	
Revision:			

The actions and decisions of the Underground Facilities Safe Excavation Board members and staff will be guided and informed by their commitments to:

- Respect for and attentiveness to the expression of differing backgrounds and perspectives of the board’s members, the public, and stakeholders, as well as for the missions of excavators, operators of subsurface installations, and other federal, state, and local agencies.
- A culture of continuous learning based on the development and free exchange of safety information.
- Inquiry into the facts of and context behind accidents, near misses, and latent safety-related conditions in the field.
- Accessibility to the public and stakeholders, within the bounds of the law, constitutional principles of due process, and ethical conduct.
- Integrity in serving in the public interest and devotion to maintaining the public’s trust.

Monitoring Method: Board
Frequency: Annual