



4DSAFETY®
Who CARES Wins®

An Introduction to 4D Safety



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Introduction to 4D Safety

The purpose of this booklet is to give you an initial introduction to the key concepts and thinking that 4D Safety® is based on. It is unlikely that at first read of this booklet you will develop an in depth understanding of each of these concepts and what they mean. At Safety Leaders Group we are still developing our understanding of these concepts and exploring the depth of their meaning and we have been researching and teaching this subject for more than 20 years.

So it's not necessary for you to understand everything perfectly, if you think about it that's the purpose of 4D Safety – to help you understand where you are currently on your journey to being a committed and effective safety leader. Your purpose throughout this process should be to explore your current thinking and leadership practices and identify what else you could be doing. Sustainable Safety is no accident; it is created by effective safety leadership. It must start at the top but it is delivered at the worksite by the people that are doing the work. Every person in a workplace can be and should be a safety leader.

The Current Issue with Safety Performance

Significant improvements in safety have been made since the 1980's as a result of engineering and management developments. The improvements mean that when the established systems and procedures are applied as intended our workplaces are safer than they have ever been.

However, we are now seeing industry statistics that tell us that as many as 90% of incidents that occur are happening because people are not implementing and following established systems and procedures properly. The problem here is not one of training and/or complacency; it has to do with commitment. The solution to a lack of commitment is a leadership challenge not a management one.

But there are no commonly understood and used measures of safety leadership – the 4th Dimension of Safety Performance. If we are to continue to improve safety performance, this needs to change. We need tools to measure and develop the effectiveness of safety leadership at all levels in the workplace.

Safety Leaders Group has developed an App for safety leadership called 4D Safety® which is based on our Who CARES Wins framework. Companies can use the App and its lead indicators to proactively identify and mitigate current gaps in safety leadership.

Safety Leadership is Not Safety Management

There is a gap in the way many businesses currently approach safety performance improvement.

Note that we did not say “the way many businesses currently manage safety performance improvement”.

This is because our over focus on management is at the heart of the problem. In the management world we manage and track 3 Dimensions in our business. These Dimensions are:

1. Schedule and/or production (Time /Output)
2. Cost
3. Systems and processes

It is essential that we get these 3 Dimensions right as they are enablers of performance. If any of these Dimensions are not adequately planned or managed, then performance will suffer or possibly fail all together.

However, what seems to not be understood by many business managers is that when it comes to safety getting these 3 Dimensions right is not enough, these 3 Dimensions are merely enablers of safety performance; they create compliance with a system not commitment to a value. We need to move beyond compliance to focus on a commitment to drive and create safety performance. That requires us to move beyond the realms of management and into the world of leadership.

In every successful company that we have worked for this 4th dimension, what we call safety leadership was present and was being done very effectively. Note that when we talk about a successful company we mean a company that performs in a professional manner, is cost effective and safe.

Getting 4D Working in Harmony with 3D Safety

When you get this 4th Dimension working in harmony with the other 3 Dimensions you get great operational performance. The first 3 Dimensions are about management and creating a safe workplace. There is no getting away from the fact that a business that is not managed well will fail to perform. This is why they must be understood for what they are: enablers of performance. To restate this point, fail in the planning and management of the enablers and the business will fail.

However, an over reliance on management – an overly complicated and burdensome focus on the first 3 Dimensions actually restricts performance. This is because performance in business is delivered by people, and people need to be lead not managed. This is where the conflict arises. We need to lead our people; the 4th dimension of performance. In this regard, we are talking about two things: firstly, the distinction between good management and bureaucratic managerialism and secondly achieving balance between good management and great leadership.

Getting the Right Balance between Management and Leadership

Too many businesses are getting this balance wrong. Consider in your business how much time is spent planning, implementing, doing and tracking things that are part of the first 3 Dimensions, compared to how much time is spent on the 4th dimension – Safety Leadership. Does your company even have lead indicator measures of safety leadership and are they tracked?

So what are we missing?

Why does this gap exist? To understand the reasons for this we need to shift our focus, we need to not label things as wrong, and instead we need to focus on what's missing. We need to understand the gaps in our current thinking and therefore our approach.

“Our acts can be no wiser than our thoughts, our thinking can be no wiser than our understanding”

*George Clason,
The Richest Man in Babylon, 1926*

From our 20 years of researching leadership and performance and applying that understanding with our clients we have come to understand the gaps to be multidimensional and this in turn led us to the framing of the 4D Safety[®] approach.

The gaps in current thinking and lack of understanding of what truly drives performance has led to an imbalance between leadership and management.

Achievement needs to be driven by leaders who are aligned to a common purpose and approach which will enable them to achieve that purpose. This is where the **CARES** Framework fits in.

Who CARES Wins

4D Safety is based on the Who CARES Wins framework of safety leadership. CARES stands for:

Creating an
Achievement oriented
Relationship based
Endeavour
Sustainably

Creating a Culture of Safety

Safety Leaders create their workplace culture (safe or otherwise) by their purpose and what they focus on. Good safety leaders are steering their safety culture and they are steering themselves. They do the things they need to do, in order to make the difference they believe is needed. They are in the game, they choose to be responsible for safety and they hold themselves accountable. Of course they make these choices within the constraints and limitations of their current thinking and their paradigms. The most effective safety leaders are aware of this and are constantly exploring what else they could do that would make a difference. A good question to regularly ask yourself is:

“What is shaping my ability to contribute to the safety culture?”

As a safety leader, this question is the most powerful question you can ask yourself. The 4D Safety App and the framework that it is based on helps you answer this question and is designed to support your development and learning to become a better safety leader.

Safety culture gets created by design or by default. If you aren't steering it the way you believe it should be headed then it is like a ship without a rudder – it will go whatever way other forces, the wind and currents take it.

“The reason most people don't achieve their goals is that they never really set them in the first place.”

Understanding how we Create Performance

Everything is created twice – first in our minds and then in the physical world. To create our vision, we must truly understand what we want and have clarity about how we can achieve that purpose.

There are three decisions that we are making every moment of our lives:

1. what we make things **mean**,
2. what we choose to **focus** on, and
3. what **actions** we take.

We can be steering a path based on conscious answers to these 3 questions – designing our destiny or we can be drifting along as a victim of our past and present forces that are driving us.

Let me make this point again – it's our answers to these questions, what choices we make, that determines our destiny. If we are not clear, if we lack clarity, if we are not consciously making these decisions with a plan and a clear intent in mind then we will never end up in the place we want to be.

First it happens in the mind, we get clear about what we value, what we want and what it looks like – this is our **Relationship** to our goal – working injury free. Only then do we apply the science of **Achievement** to create a management plan for how we make that happen.

Achievement and Relationship

Relationship is the Foundation of Achievement so in this regard relationship comes first. However, in your role you are paid to achieve specific outcomes. This can leave some people feeling torn between the two options. In terms of safety how you achieve those outcomes is determined by several relationships that you are constantly making decisions about. These relationships are:

1. Your relationship with yourself
2. Your relationship with others
3. Your relationship to safety

By **Relationship Based**, we mean that effective leadership, the ability to influence others and accomplish what we want, is based in the strength and depth of our relationships.

1. Your relationship with yourself

The world is not a perfect place; we are constantly presented with situations where we need to choose between what we believe is ideal and what we think is achievable. This presents a constant challenge to apply good judgement but it is also a measure of character and values. As a safety leader being clear about what you value and will stand for is essential. Consider these questions.

- Do I know what my values are, what I stand for?
- How committed am I to my values – will I make a stand for what I value and believe in?
- Do I have the courage to make a stand for safety?
- Do I have the discipline to do what I know is right, doing things the right way, regardless of the effort and time that it may take?

In the most absolute terms the answers to these questions comes down to decisions about what is right and what is wrong. The contest between the two is captured very clearly in the following tale of two wolves.

*One evening, an elderly cherokee brave told his grandson
about a battle that goes on inside people.*

*He said "my son, the battle is between two 'wolves' inside us all.
One is evil. It is anger, envy, jealousy, sorrow, regret, greed, arrogance,
self-pity, guilt, resentment, inferiority, lies, false pride, superiority, and ego.*

*The other is good. It is joy, peace love, hope serenity, humility, kindness, benevolence,
empathy, generosity, truth, compassion and faith."*

The grandson thought about it for a minute and then asked his grandfather:

"Which wolf wins?..."

*The old Cherokee simply replied,
"the one that you feed"*

Source: The Nanticoke Indian Tribe
http://www.nanticokeindians.org/tale_of_two_wolves.cfm

2. Your relationship with others

- Do you know your personality style and how you prefer to relate to others?
- Are you introverted or extroverted? Your personality style can have a big impact on how you relate to others. Whether you like working with other people or would prefer to work on your own. How you communicate and share information.
- These things can affect your ability to work as part of a team.
- Do you trust people (your team) and do they trust you?
- What is the level of development of your team? We use the Forming > Storming > Norming > Performing model of team development. Where your team is on the development curve has a huge influence on the nature of the relationships in your team. As a leader you need to be aware of this and be steering these relationships and set the bar to suit where your team is currently at.

3. Your relationship to safety

- What does safety mean to you? How do you view your role? Are you employed to get a job done or are you employed to get a job done safely?
- What level of risk are you happy with?
- At what point will you stop the job? Are you confident you'll be supported by your manager when you do?
- Do you have the skills and expertise to recognize safety issues and hazards in your workplace?
- Have you been in a workplace when things go badly wrong? Do you have a sense that you could have influenced the situation?
- Have you known people who have been badly injured or killed at work?
- Have you been injured at work?
- All of these things and many more influence how you relate to safety.

Exploring your Relationship to Safety and Being a Safety Leader

Rules of the Game:

*“We often judge others by their behaviour.
We usually judge ourselves by our intentions.”*

It doesn't much matter what you were meaning to do, people judge you by what you actually do. Your role as a safety leader is important, people are influenced, motivated and inspired by what you do or don't do. The reverse is also true – people are also influenced, demotivated and become disengaged by what you do or don't do.

So what should you do – what actions?

The most important rule of performance for you to understand is that whatever the current result or score on the board you created it.

You Create the Safety Climate

Your leadership practices create the safety climate that allows workers actions to occur. Those actions will only occur within a climate that supports, enables or tolerates them. It's interesting that this statement is never challenged or debated by our clients that are creating the safety performance they want or are at least actively working at creating that performance. However, we often find that individuals, teams and organisations that are not getting the performance they want will argue that they are not responsible; at least not personally.

Here's a really important question for you. Can you be responsible for something that you don't control?

Please answer yes or no with a tick:

No Yes

If you answered no to this question, it is predictable that you are not going to be successful in your attempts to create an injury free workplace. Why do I say this? To understand my answer to that question you need to understand the difference between being accountable for something versus being responsible for it. Let me demonstrate.

Do you know who Ian Kiernan is?

In 1989 an 'average Australian bloke' had a simple idea to make a difference in his own backyard - Sydney Harbour. This simple idea has now become the nation's largest community-based environmental event, Clean Up Australia Day.

It is hard to believe that this campaign began as the inspiration of one man, Australian builder and solo yachtsman, Ian Kiernan. To read more about Ian and what has now become the Clean Up the World Foundation click the link below:



<http://www.cleanup.org.au/au/About/the-clean-up-story.html>

So was Ian Kiernan **accountable** for the cleanliness of Sydney Harbour? Was he able to control the polluters and the litterers that were damaging the harbour he loved? Definitely not – it wasn't his job and he didn't have any authority or control over the individuals that were creating the mess. When Ian initially went to speak to the people in authority they had all kinds of rational and logical excuses why it couldn't be changed. They didn't create the mess, it was a societal problem, they didn't have the budget to police it or fix it, it was just too big a task – they were living in denial and making excuses and laying blame. But Ian wasn't happy with what was happening, it confronted his values and he found that he couldn't sit by and tolerate what he saw.

Ian **chose** to be **responsible** for making a difference and as a result of that stand he is changing the world. Being responsible for something is a choice that any of us can make and at any time. It's an internal decision that you make, which results in you taking action. You don't need to have formal authority i.e. someone saying you are accountable for this – that's external. There are many people who have formal authority and are accountable to achieve a result and don't act, or don't act in a way that has any impact. They also typically have a bag full of excuses as to why they weren't able to make a difference; just like the Sydney Council did when Ian Kiernan first went to speak to them.

How do you think Ian Kiernan would answer the question: Can you be responsible for something that you don't control? What would he say? ...

Stephen Covey in his book *"The Seven Habits of Highly Effective People"* talked about Circle of Concern and Circle of Influence.

Circle of Concern: these are the things that we think about. It's where we focus our attention and energy, i.e. our health, finances, children, work, national debt, etc.

Circle of Influence: these are the concerns that we choose to act on. These are the concerns we have control over either directly (problems involving our own behaviour) or indirectly (problems involving the behaviour of others).

Now please understand that I'm not saying that you are going to have control over everything in your Circle of Influence. Note that Covey didn't call it the Circle of Control. Life isn't predictable or perfect; we are not saying that we expect to control every situation and every outcome. The other factor to bear in mind is that your time and energy is limited, you are never going to be able to bring everything that you are concerned about into your Circle of Influence.

You get to make a choice regarding what you will focus on. But here's the powerful thing that Covey noted: by being proactive and being positive and working on things that you can do something about you can increase your Circle of Influence and this is what a leadership focused approach is all about.

So now let's come back to safety and being injury free. Like Ian's situation with pollution in Sydney Harbour this is also a values based question. If you try to answer it from the rational left brain and develop a logic based plan to manage every risk, control every situation you'll die of exhaustion before you succeed. In the same way that Ian would have, if he started racing around Sydney harbour trying to catch and control every polluter. That is not the answer. We would call that a management approach to a leadership issue, but we discuss this more later. For now, let's come back to our earlier question. Why would we say?

If you answered no to the question about being responsible for something that you don't control, it is predictable that you are not going to be successful in your attempts to create an injury free workplace.

We need to Think & Act Above the Line

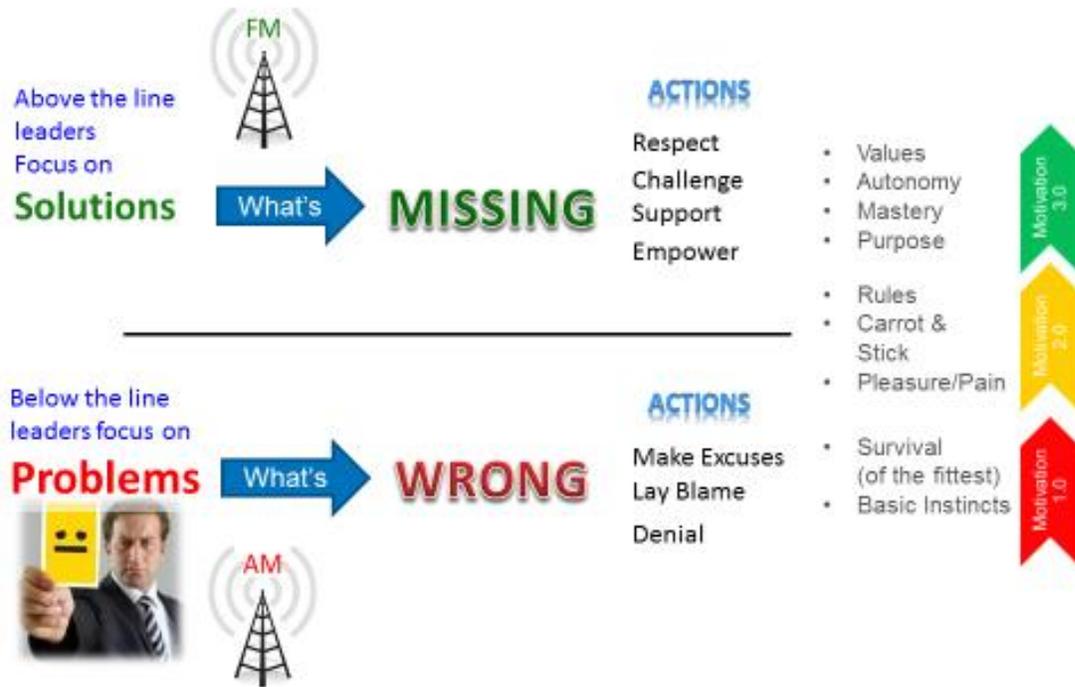


Figure 1. Above the Line – Below the Line

Consider your leadership style and what you focus on, are you consistently acting above the line?

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Effective leaders understand that the best way to influence behaviour is by aligning values and purpose, making sure that we all want the same thing and then asking ourselves: how do we create it? The fact that we don't have the complete answer to that question now is not the problem.

“Most of the things worth doing in the world have been declared impossible before they were attempted.”
Earl Nightingale

The question of how we get there can be answered while we are on the journey. However, as a leader before you act you should know what you want and why. The first step is to get clear about your values.

Consider

Do you accept that it's OK for you to be injured as a result of working and earning a living?

No Yes

Do you accept that it's OK for one of your colleagues to be injured as a result of working and earning a living?

No Yes

So clearly, it's not OK for you or anyone else to be injured earning a living. However, for the majority of us this is not the world that we are working in at present. Why is that? Well, while the vast majority of businesses also agree that it's not OK to injure people, the plan that many have been following is flawed. It's based on managing not leading, compliance with rules and procedures versus a commitment to working safely.

So here is the all-important question for you as a safety leader:

Would you be prepared to do or try something different to create an injury free work place?

No Yes

That is what 4D Safety is all about. It's about collectively working together to create engagement and a commitment to working injury free.

Leaders Know Their Purpose

When you are clear about your purpose, you do and say things on purpose. You can review your performance and achievements and assess whether you are on-purpose or off-purpose.

Acting with Purpose

It all starts with Meaning. Effective leaders have clarity – they know what they want. Skilled and capable leaders also know what they need to do to get there. They know where their focus needs to be and what actions will achieve their goals and objectives.

Meaning gets created at multiple levels:

At the highest level it's about vision and mission. We're often asked, "What's the difference between vision and mission?"

- A mission is a statement about what the organization is all about.
- A vision is a statement of what the organization wants to become.

A mission is a statement about purpose. Whereas a vision describes what the future will look like if we achieve our mission. Consider these questions:

- Have you stopped to think what your vision and mission are?
- Do they align with your company's vision and mission?
- Do your values align with your company's values?
- Are you living your values?

It's much easier to act with purpose if you can answer yes to each of these questions.

Once you have clarity of purpose and what it will take to achieve that purpose you can put it into action. Remember, everything is created twice – first in our minds as a vision and a purpose and then in the real world by what we focus on and the actions we take.

Meaning	⇒	Clarity
Focus	⇒	Understanding
Taking Action	⇒	Commitment

Safety Leadership is all about Action

In summary, as a safety leader you get to decide what an outcome or an event means and what action you will take. As we said above, what we make something mean is a factor of our character – our values, our beliefs, our tolerance, our tenacity, our patience and understanding are a few measures of character. It's important to understand that each of us gets to decide what something means to us – e.g. is it important, what emotion we bring to a situation, what this means for the present and the future. Those decisions, what we think and how we feel about something is what motivates us and drives our endeavour.



Creating Endeavour

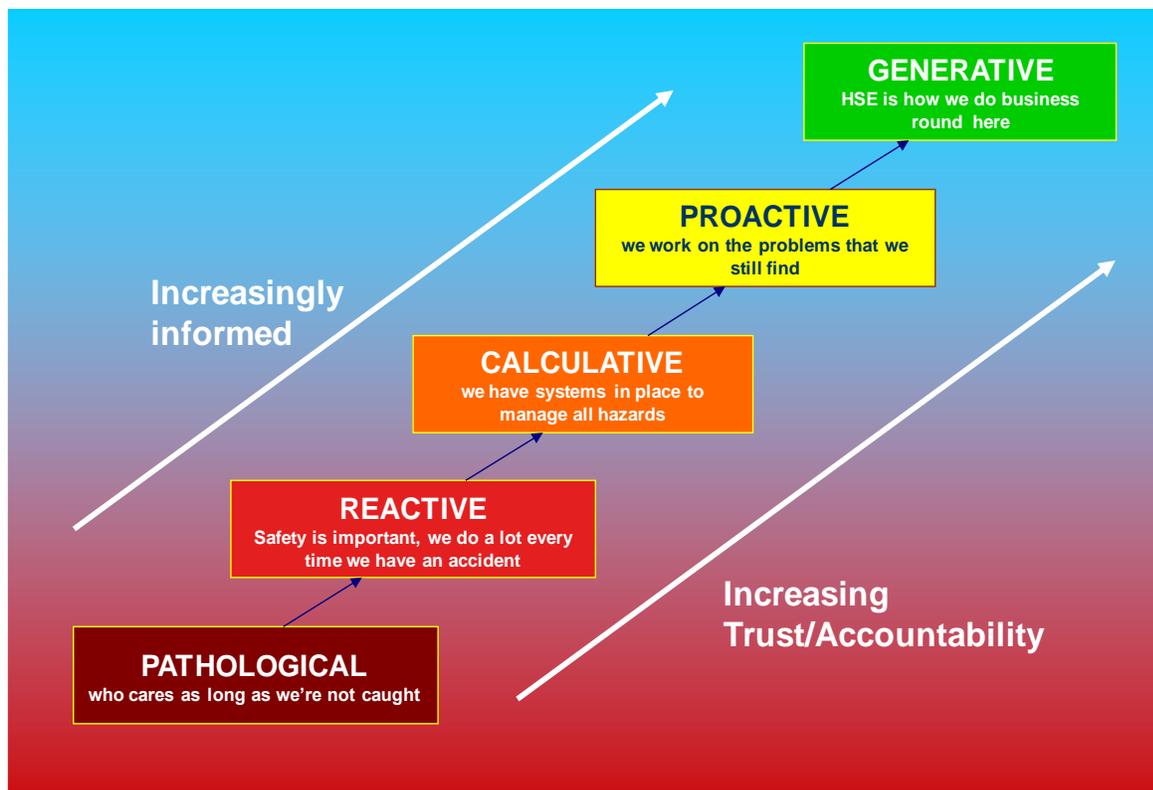
The fourth element of the Who CARES Wins framework is about endeavour. Endeavour has two parts, the first is about you and your level of endeavour, the second part is about how you as a leader motivate your team/workmates to be truly committed to achieving an injury free workplace.

Endeavour

Even companies that have experienced catastrophic accidents have the opportunity to change; their past does not have to be their future – they have choices.

Where a company sits on the culture ladder is a factor of the meaning that their safety leaders give to things (See Figure 2). A company that is at the reactive level will have a high potential near miss incident (HPI) and not think of this as having an important meaning. The only meaning they give to the incident is likely to be “we got lucky” or “we dodged a bullet” and as a result they don't take any action. Whereas a company that is at the top of the ladder pays very close attention to every near miss and the HPI's have a very significant meaning. They think of them in the same way as an actual hit and they act accordingly.

The companies at the top of the ladder actually manage risk in a different way to those lower down the ladder. They understand the risk and are clear about the disciplines they must maintain to safely work with that level of risk.



Source: IOGP Report No. 435

Figure 2. Safety Culture Ladder

Understanding the Safety Culture Ladder allows us to understand what is motivating that Endeavour at an organizational level. However, to understand what is driving that endeavour at an individual level we need to look at the leadership practices in the organization. Leadership practices create the Climate in the organization. Think of Culture as being a by-product of many things that are going on in the organisation, whereas Climate is directly driven by leadership practices. In this regard Culture takes a long time to change and is difficult for an individual leader change (even if you're the CEO), but Climate is directly influenced by your leadership practices. There are three distinct levels of leadership:

1. Fear based leadership practices
2. Incentive/Disincentive (carrot and stick) based leadership practices, and
3. Values based leadership practices.

These leadership practices work on different human needs as show in Figure 3 below. A note of caution here, there is academic debate about the theory of different levels of the brain. As a leader I'm not concerned about the academic debate. If you have worked for different leaders, you know what the 3 levels are about and what they feel like. Whether or not the researchers have got it right is not highly relevant to our understanding of leadership and motivation.

Fear based leadership practices target the lowest level of our thinking and are what we refer to as Motivation 1.0. A typical example of leadership at this level is threatening to sack someone if they don't do what you want. Of course it's generally more subtle than that but we all know what this leadership climate feels like. You start to get a feeling in your gut that if you speak up you may not be around too long. This

type of leadership motivates people to not get caught. It leads to game playing and many people becoming very good at playing the game. People are not focused on following the rules they are just focused on not getting caught. Sound like a traffic cop doesn't it?

The product of effective leadership is engaged people and teams. So in reality, we shouldn't actually be calling fear based leadership a form of leadership because it creates zero engagement; in fact it leads to disengagement.

Carrot and stick based leadership is a transactional based leadership practice – if you do this then you'll get that. It works for motivating people to produce more widgets on a production line (at least for a short while). It gets compliance but it stifles creativity. It does very little for engagement and commitment.

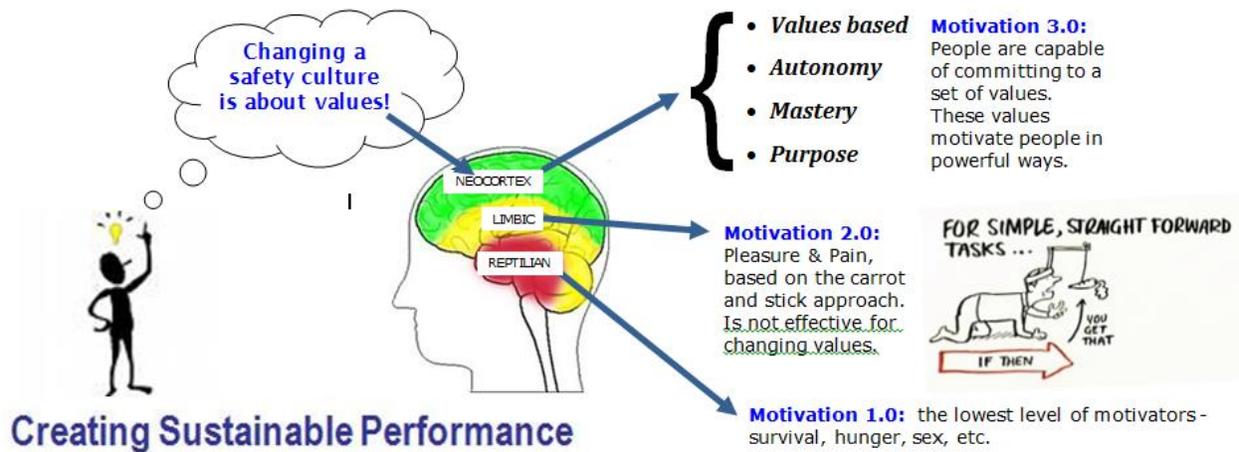


Figure 3. What Motivates Us

Values based leadership is about leadership practices that are focused on Motivation 3.0. To understand more about this level of motivation and leadership that taps into this level of human thinking there is an excellent video on YouTube which is based on the work of Daniel Pink. Watch the video at <http://www.youtube.com/watch?v=u6XAPnuFjJc>

Safety is a values based proposition and it is by its very nature subjective. What we mean by this is that it is an art not a science. You can't create a formula that will determine the outcome i.e. it's not a cause and effect relationship. However, there are fundamental principles that govern how influential a leader is likely to be; and these can be measured. To expand on this a bit more it is important to understand that leadership is context related, i.e. what might be an appropriate leadership style in one context may be inappropriate in another. Furthermore, you can overlay this with the fact that safety is context related. What may be safe in one context may be very unsafe in a different context.

To create sustainable safety, we need engaged people who are committed to creating safety for themselves and their workmates. This only happens at this values based level of leadership. When you have the right relationships happening in your workplace and are using level 3 motivation (Autonomy, Mastery and Purpose) you see a completely different level of ownership and engagement around safety and performance. At that point you start to RAMP Up safety performance to levels that few organisations achieve.



Figure 4. RAMP Up Safety Performance

Meanings of Terms used in the 4D Safety Tools

CARES: CARES is an acronym for Creating an Achievement Oriented, Relationship Based, Endeavour Sustainably.

Clarity:

Clarity creates consistent performance. If you are not clear about what you value and what you are committed to you will not take consistent actions. It is important to note that there is a difference between clarity and understanding. It's possible to be clear what is expected of you but not have the understanding or experience to achieve that outcome. Meaning creates clarity, focus and doing creates understanding.

Committed to Safety: Commitment is an absolute term. You can't be partly committed or really committed. You either are committed or you are not. The moment you take an action that shows that you are prepared to compromise on safety you have just flagged to anyone who is watching that for you – safety is a priority and not a commitment. Priorities change commitments don't, commitments either get delivered on or not delivered on.

Safety Climate: See Culture of safety.

Culture of Safety: A culture of safety is the outcome or the target, but it should not be the focus of safety leaders. Culture is a by-product of many factors and some of those are external to the organisation. But leadership practices directly influence and create the climate and it is the climate that drives behaviour.



Sustainable Performance Model © Safety Leaders Group

Motivation Level 3: This is a values based approach that seeks to engage workers through Autonomy, Mastery and Purpose

RAMP Up Safety: RAMP is an acronym for Relationship, Autonomy, Mastery and Purpose.

Site: Refers to worksite in general. It includes the environment that the worksite is located in.

Understanding: See Clarity.

About the Author

Brett Read

Brett Read, BBus. & Grad. Cert. (Mgmt), Grad. Dip. (Survival & Rescue Management), is the Managing Director of Safety Leaders Group, Australia. His passion is for safety performance improvement through leadership, team culture and organisational development strategies.

He has twenty years global consulting and coaching experience specializing in safety leadership and the development of high performance teams in the oil & gas, mining and construction industries. He has pioneered new thinking and approaches in safety which has enabled clients to achieve consecutive years of Lost Time Injury (LTI) free operations.



Brett has held leadership roles in a range of high risk workplaces and has developed a detailed understanding of what it takes to create a culture of safety in hazardous work environments. Prior to consulting Brett had 15 years' experience in management in the corporate sector working for multi-national Corporations and in the Australian Army where he served in the SAS Regiment as a Troop Commander and a Major.

Brett is the author of several articles and SPE conference papers and is a regular conference speaker in the areas of Safety Culture Change and Safety Leadership.

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