Document Analysis

Why document analysis?

- Documents communicate management values and expectations

- Reveal approaches/beliefs related to ensuring compliance, e.g. how positional power authority is distributed, degree of formality, approaches to corrective actions, etc.

- May reveal actual work practices, e.g. event reports.

- Can show how the organization thinks, e.g. in documents with analytical content.

- A document says a lot about how the organization presents itself – to itself.

What a document analysis is not

- A quality review of individual documents

- An 'audit' of documents against national or international management system requirements

- About saying if documents are good or bad, right or wrong

- Exhaustive

What a document analysis is

- A high level analysis to gain insights

- A way of understanding *what* the organization pays attention to and *how* it pays attention to it

- Understanding how various aspects of the organization are reflected in documents

- Understanding the "machinery of fact production"

The role of document analysis

- Safety culture cannot be assessed by only analysing documentation

- However the evidence gained can reinforce information gained from other assessment methods

- It can provide insights into actual events, e.g. through event reports

Which documents
and what to look for?

Which documents?

Internal:

- Safety policy, objectives and business plans
- Performance indicators
- Key management system processes
- Investigation reports
- Licensing documents
- Training records
- Reward and recognition programmes
- Overtime policy and statistics
- Results from previous internal audits and assessments
- Media releases
- Meeting minutes

Which documents?

External documents:

- IAEA missions, other External reviews, etc.

- Periodic safety reviews

- External operating experience

Remember – look at a sample of documents to gain insights, not an exhaustive review

What can this tell us?

Document analysis

Analyse Results
- Insights gained
- Themes or Issues

Important:
- Clearly identify the source documents to enable follow-up and validation

So what kinds of things can this tell us?

1) Value and priority given to safety, e.g.:

- Quality of documentation - up to date, accurate, easy to find and use?

- Clear, consistent messages?

- Evidence of long term safety goals, strategies and plans?

So what kinds of things can this tell us?

2) Safety leadership:

- Clearly documented standards and expectations of performance for managers and personnel?

- Intolerance to deficiencies and situations adverse to safety?

  - e.g. low number of workarounds, problems and deficiencies addressed in timely manner

So what kinds of things can this tell us?

3) Level of involvement and engagement of all personnel

- Are people raising concerns and making suggestions for improvement?

- Evidence of changes made in response to suggestions/concerns?

- Involvement in decision-making and other activities (e.g. procedure development, organisational change)?

So what kinds of things can this tell us?

4) Clarity of roles, responsibilities and accountabilities

- Clearly defined roles and responsibilities?

- High level of compliance with rules and procedures?

- Clear expectations for use of procedures

- Evidence of improvement of processes and procedures based on feedback from staff?

- Clear individual goals and targets for safety for managers and all personnel?

So what kinds of things can this tell us?

5) Approach to rewards and recognition

- Is the reward system aligned with desired safety behaviours and outcomes?

- Evidence of people being rewarded for positive safety behaviour? E.g. ownership and accountability, conservative decision making

- Does the reward system address:

  - Nuclear/process as well as industrial/personnel safety?

  - Teamwork as well as individual performance?

6) Reporting culture

– Are internal and external assessments conducted frequently and results addressed expeditiously?

– Effectiveness of processes to gather and use experience from a wide variety of sources?

So what kinds of things can this tell us?

7) How the organization thinks and learns

- Which types of conclusions are drawn in e.g. event reports?

- What types of follow-up actions are deemed important?

- Which kinds of learning points are picked up from events or analysis?

- How does the organization respond to critique from external agents?

- How does the organization respond to critical incidents?

- What kind of pre-emptive/proactive work is undertaken?

Final thoughts

- How do people think in the organization?

- What kinds of information are persuasive?

- What patterns appear across the different documents?

- What solutions are commonly used?

- What kinds of reasoning are used to justify decisions?

- What is the quality or tone of messages between stakeholders, with Licensees?

- What have you learned about how the organization represents itself to itself?

Summary

- Document reviews can provide insight into how the organization thinks and how it intends to behave

- Not a review of the management system

- Important to code and tag information systematically

- Sample many different types of documents over a period of time to see patterns of issues and responses, shifts in thinking

- Can suggest cultural issues that warrant additional exploration

Thank you!