



# CATERPILLAR SAFETY SERVICES

CULTURAL TRANSFORMATION.  
OPERATIONAL EXCELLENCE.

**CATERPILLAR®**

# ZERO-INCIDENT PERFORMANCE (ZIP™) PROCESS

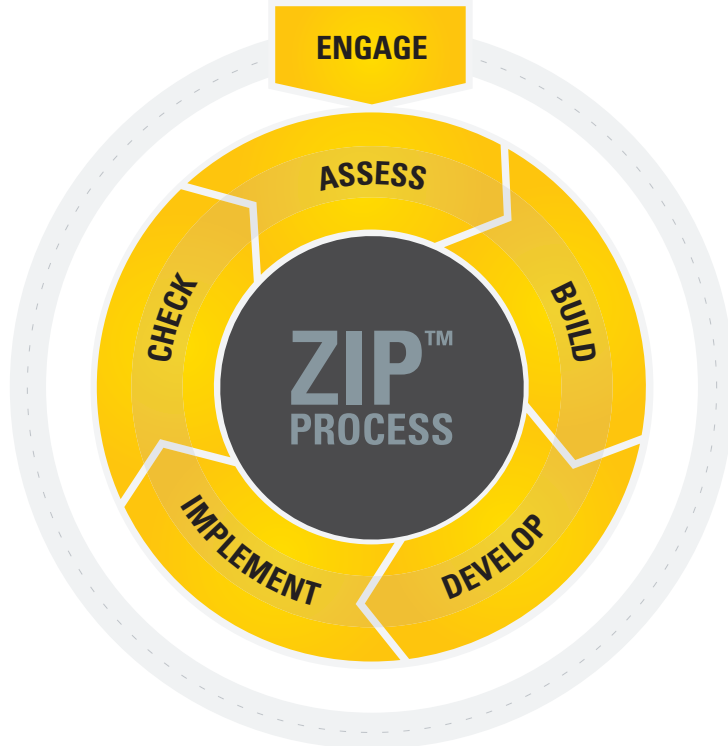
## A FORMULA FOR SUSTAINABLE CULTURE TRANSFORMATION

The Zero-Incident Performance (ZIP™) Process will help you achieve operational excellence through safety culture development.

**ENGAGE** your entire organization

In driving a measurable **ACCOUNTABILITY SYSTEM**

To **ERROR-PROOF PROCESSES** and increase the presence of safety



The ZIP Process is a continuous improvement model that can be applied to any area of opportunity across your business. Embedded in the process are change management methodologies to help your organization embrace the transition and maximize results.

*As a company we cherish who we are - our history, our culture, our future. But we knew we needed to refine our processes to achieve excellence in safety performance and stay near the top of our industry. The ZIP Process is delivering valuable resources, knowledge and guidance that is transformational. The result is engaged employees and a culture founded on safety as a core company value.*

**Rob Banks**

Manager, Roads Division  
Volker Stevin

The ZIP Process is most effective when used in its entirety, but each step can be deployed individually to help you reach specific goals.

- **Leadership Roundtable:** Get leaders to commit to cultural transformation by understanding the principles and processes needed to ensure sustainable safety excellence.
- **Safety Perception Survey (SPS):** Set a data-driven baseline for improvement by identifying the attitudes and beliefs behind your current culture.
- **Employee Interviews:** Determine the current state of your safety management system through dialog with employees at all levels of your organization. Use in conjunction with a Safety Perception Survey to capture the quantitative and qualitative factors impacting your culture.
- **Safety Steering Team Training:** Empower a team of leaders to build and support a plan for safety improvement that advances strategic business goals. This team uses assessment data to determine improvement projects and provides support to keep the journey on course.
- **Rapid Improvement Workshop (RIW):** Engage front-line employees in developing high-quality, measurable accountability systems that integrate safety activities into everyday processes.
- **Safety Culture Excellence Workshop:** Bring everyone in the organization along the journey by defining safety culture goals, explaining how to build accountability and outlining next steps in the continuous improvement process.
- **S.T.A.R.T.™ Workshop:** Supplement the ZIP Process with workshops that foster a culture of leadership development and process improvement.
- **Foundation of Communication Training:** Prepare employees to support the culture transformation by giving them tools to communicate clearly about safety.
- **Train-the-Trainer:** Prepare your own employees to facilitate ZIP Process workshops.

# CULTURAL ASSESSMENT

## ESTABLISH A BASELINE FOR IMPROVEMENT

To get where you want to be, begin by understanding where you are. With qualitative evidence gathered in employee interviews and quantitative data from the Safety Perception Survey, Caterpillar will provide a global assessment of your current state and recommendations for your journey. Our experts will analyze data from each indicator and provide insight into key findings during a leadership report-out to your management team.

Gather data for a **STRATEGIC IMPROVEMENT PLAN**  
By revealing **PERCEPTION GAPS** in the attitudes and beliefs  
That impact your **SAFETY CULTURE** and overall business performance

## Interviews

Onsite interviews with your employees will help Caterpillar’s safety culture experts gain insight into your culture at the individual level. Whether used as a tool to complement the Safety Perception Survey or as a stand-alone process, the interviews and follow-up analysis identify focal points for change.

### *Sample Questions*

MANAGERS	<i>How are the safety activities that you perform visible to your direct reports?</i>
FRONT-LINE EMPLOYEES & SUPERVISORS	<i>How do employees actively participate in safety?</i>



*Sometimes as a leader you wonder if your efforts are being applied to the right areas. The assessment results showed us without a doubt what we were doing well and where we needed to focus on improvement. We found through the responses that employees across our locations and in every job level were eager to see us raise the bar in safety.*

**Greg Driscoll**  
CEO  
Blaschak Coal Corporation

## Safety Perception Survey

- **73 Questions.** Every employee in the organization is given a voice in the journey by providing yes/no responses to the survey questions. The survey can be administered online or through pencil-to-scan forms.
- **20 Indicators.** Each survey question links to one of 20 safety culture indicators, indicators such as “Recognition for Performance,” which are proven to influence an organization’s safety performance.
- **3 Levels.** Survey results are segmented into three specified groups – employees, supervisors and managers – in order to reveal perception gaps. The areas of greatest perception disparity typically become the first focal points in a continuous improvement strategy.

Category	Percent Positive			Perception Gap		
	Employees	Supervisors	Managers	Emp./Sup.	Emp./Mgr.	Sup./Mgr.
Recognition for Performance	70.4	81.5	76.1	15.8	8.1	6.6
Substance Abuse	70.7	80.7	74.9	14.1	5.9	7.2
Operating Procedures	71.4	76.6	76.4	7.2	7.0	0.2
Employee Training	73.5	82.0	83.9	11.7	14.2	2.2
Inspections	75.2	83.0	85.1	10.3	13.1	2.5
Supervisor Training	75.7	93.5	84.3	23.5	11.4	0.5
Hazard Correction	89.2	93.7	93.3	5.0	4.6	0.5
Combined Score	80.0	86.6	85.2	8.4	6.6	3.2
Respondents	356	32	67			

Needs immediate attention ( < 75%)  
 Needs improvement (75% - 89%)  
 Strong performance ( ≥ 90%)  
 Needs attention ( ≥ 14% perception gap)



# CASE STUDY:

## Reaching Zero with ZIP

In his 37-year career at Lane Electric Cooperative, Rick Crinklaw has marked many significant moments, but one day in particular changed him forever – the one in which two employees were seriously injured on his watch. “To see the damage, the fear and the concern of the employees and their families in a moment like that, it takes a personal toll and it’s one of those things that you never ever want to have to do in your career,” said Crinklaw, general manager for the Eugene, Oregon cooperative.

The accident was a wakeup call to Lane’s board of directors and Crinklaw, who admits he had become complacent about safety because his organization had avoided major injuries for many years. “You may not be concerned about minor injuries or accidents, but if you’re having a lot of those they build up to something big. Even though we felt we were doing well, we weren’t,” he said. “We had been lucky.”



*“We realized we weren’t good, we were lucky.”*

### Engage and Assess

Crinklaw vowed to personally take control of safety, to fix the problems that were leading to incidents. He decided to “bear his throat,” and engage with Caterpillar Safety Services to assess Lane Electric’s safety culture and map a plan for improvement through the **Zero-Incident Performance (ZIP) Process**.

Through a company-wide **Safety Perception Survey (SPS)**, which measures employees’ attitudes and beliefs about how safety is managed within their organization, Lane Electric employees shared their true feelings about how safety stacks up against other business priorities. Through the survey data, the employees communicated a collective plea for greater involvement. Crinklaw quickly learned that improving the culture couldn’t be a one-man job.

## Build | Develop | Implement

“What I found from the survey was that the approach I was taking in response to those injuries was counterproductive,” Crinklaw said. “The employees wanted to be contributors to the solution.”

So he enlisted employee volunteers to turn low-scoring survey indicators into improvement projects. Employees representing all areas of the organization joined small continuous improvement (CI) teams and participated in **Rapid Improvement Workshops** to build measurable processes for more effective safety meetings, office/ jobsite inspections and operating procedures. Each new or improved process included measurable accountabilities for everyone in the organization, all the way up to Crinklaw.

“I gave them control, but I’m involved at the right times,” Crinklaw said. “They own it, and through their expectations, the accountabilities they set, I own it too. They’ve absolutely knocked my socks off with their commitment to this journey.”

The first three workshops were facilitated by a Caterpillar safety culture consultant, then some of Lane’s own employees completed Caterpillar’s **Train-the-Trainer** process to learn how to guide future CI teams through improvement projects to address safety and other areas critical to business success.

## Check

Two years into the journey, employees at Lane Electric took another **Safety Perception Survey**, a follow-up assessment to compare with their baseline metrics. The improvement was incredible. Employees’ positive responses increased by nearly 20 percent over the previous survey results.

Prior to engaging in Caterpillar’s improvement process, Lane Electric routinely experienced annual lost time incident rates of 6.0 or higher. Its annual Days Away, Restricted and Transferred (DART) rate regularly topped 8.0. Both of those figures improved steadily after engaging with Caterpillar, reaching zero within two years. What’s more, the cooperative’s experience modification rate, a figure insurance companies use to calculate policy premiums, is at its lowest in Lane Electric’s history.

“With the commitment our employees have made, I don’t think for a second that this performance is thanks to luck,” Crinklaw said. “This is real achievement.”

Shortly after the benchmark SPS results were communicated, attention turned to the next round of improvement projects, supervisor training to better prepare employees for safety leadership and a continued pursuit of safety excellence.

Through the journey, Crinklaw discovered there was no need for his initial hesitation to pursue cultural assessment and change. He found the survey data conveys action items, not personal attacks, and has helped him lead his employees to create a culture that identifies and mitigates risks that could lead to another serious incident. ■

# SAFETY CULTURE PROGRAMS

## TRAINING TO DEVELOP LEADERSHIP & COMMUNICATION SKILLS

Caterpillar training programs build safety champions by giving frontline leadership and employees skills to actively participate in building a culture of excellence.

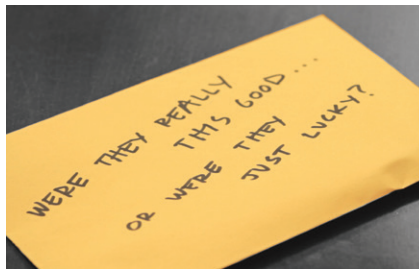
Foster a culture of **CONTINUOUS IMPROVEMENT**

By developing **CHANGE DRIVERS**

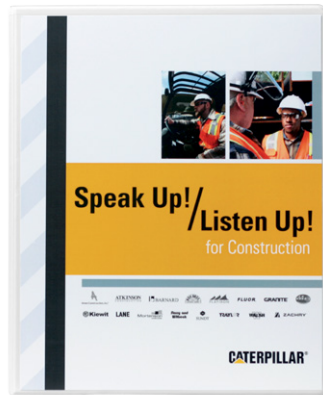
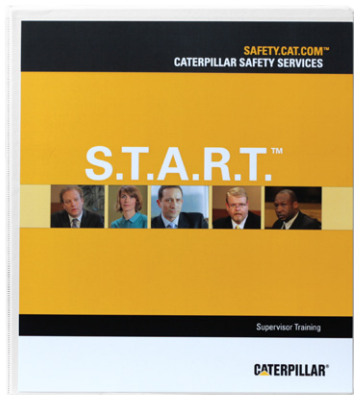
Empowered to build **SOLUTIONS** across your business

*Over a 2.5 year period, we saw a dramatic improvement in our lost time incident rate by using the cultural improvement methods in S.T.A.R.T. It's about accident prevention through accountability and communicating expectations.*

**Thomas Fullove**  
Corporate Safety Team  
Green Bay Packaging







Program workshops can be facilitated by your own trainers or by a Caterpillar safety culture expert. Each of the programs listed below can be used within the Zero-Incident Performance (ZIP) Process.

## ***S.T.A.R.T.™***

Supervisor Training in Accountability and Recognition Techniques

Explore the benefits of improving safety culture, learn the components of an effective safety culture and how to positively engage employees in a system of accountability.

## ***SPEAK UP!/ LISTEN UP! FOR CONSTRUCTION***

Give employees skills to communicate about safety openly and effectively with peers and supervisors.

## ***RECOGNIZE IT!***

Help supervisors and managers deliver positive feedback for what employees do well.

# SAFETY.CAT.COM™

## FREE RESOURCES TO SUPPORT YOUR SAFETY CULTURE JOURNEY

From equipment to jobsite, operator and culture, safety.cat.com provides around-the-clock support to help you build and maintain a culture of safety excellence. Caterpillar University offers more than 115 interactive, web-based courses.

Utilize resources for **EQUIPMENT, JOBSITE** and **CULTURE**

That leverage **PEOPLE, PROCESS** and **TECHNOLOGY**

To deliver a **COMPETITIVE ADVANTAGE**

*Safety Culture World webinars have been a great asset in shifting our corporate safety culture from traditional to transitional, engaging people at all levels in meaningful ways. Without fail I leave each webinar with new information or perspective to help me lead our national safety improvement effort.*

**Julie Havel**  
Corporate Safety Manager  
AlliedBarton Security Services



## Equipment

Safety-related excerpts from the Operations & Maintenance Manuals for current and former Cat® machine models and Virtual Walk Around videos will help you get the most out of your investment.

## Industry

Videos, checklists and Toolbox Talks to address industry-specific safety topics. Use these resources to develop informative, interactive safety conversations specific to your line of work.

## Culture

Safety Culture World is an online community where Caterpillar's safety culture experts and safety champions from around the world share success stories, best practices and industry-specific solutions.

### /WEBINARS

Monthly presentations on safety culture topics. Sign up for our next event at [safety.cat.com/webinars](https://safety.cat.com/webinars)

### /BLOG

An open forum for dialog about a variety of topics related to safety improvement. Join the discussion at [safety.cat.com/blog](https://safety.cat.com/blog)

### /PODCAST

Safety culture experts share safety management stories and advice for developing a culture of continuous improvement. Listen at [safety.cat.com/podcast](https://safety.cat.com/podcast)

# CATERPILLAR SAFETY SERVICES

Wherever you are on your journey to zero, we have tools to help you build engagement, accountability and operational excellence.

**BUILT FOR IT.™**

1 866 963 3551 United States  
1 800 000 228 Australia  
+1 309 494 2751 (outside US/AU)

**SAFETY.CAT.COM™**

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