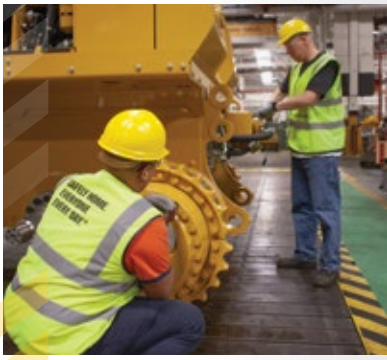
CATERPILLAR SAFETY SERVICES











CAT®



"When I was introduced to the Caterpillar Safety Services system, there was a massive "aha" moment for me. This was truly the missing link to drive a positive and sustainable safety culture: empower our people, have them lead the safety program, and give them the opportunity to be part of crafting our culture."

– President, Specialty Materials, Construction Products Group











BUILDING A MORE RESILIENT SAFETY CULTURE

Is safety proactively managed in your organization? When something goes wrong, how does the organization react? Are mistakes viewed as failures to blame people for, or as opportunities to learn and improve? Do leaders perceive employees as the key to success, or are they what is keeping them from achieving it?

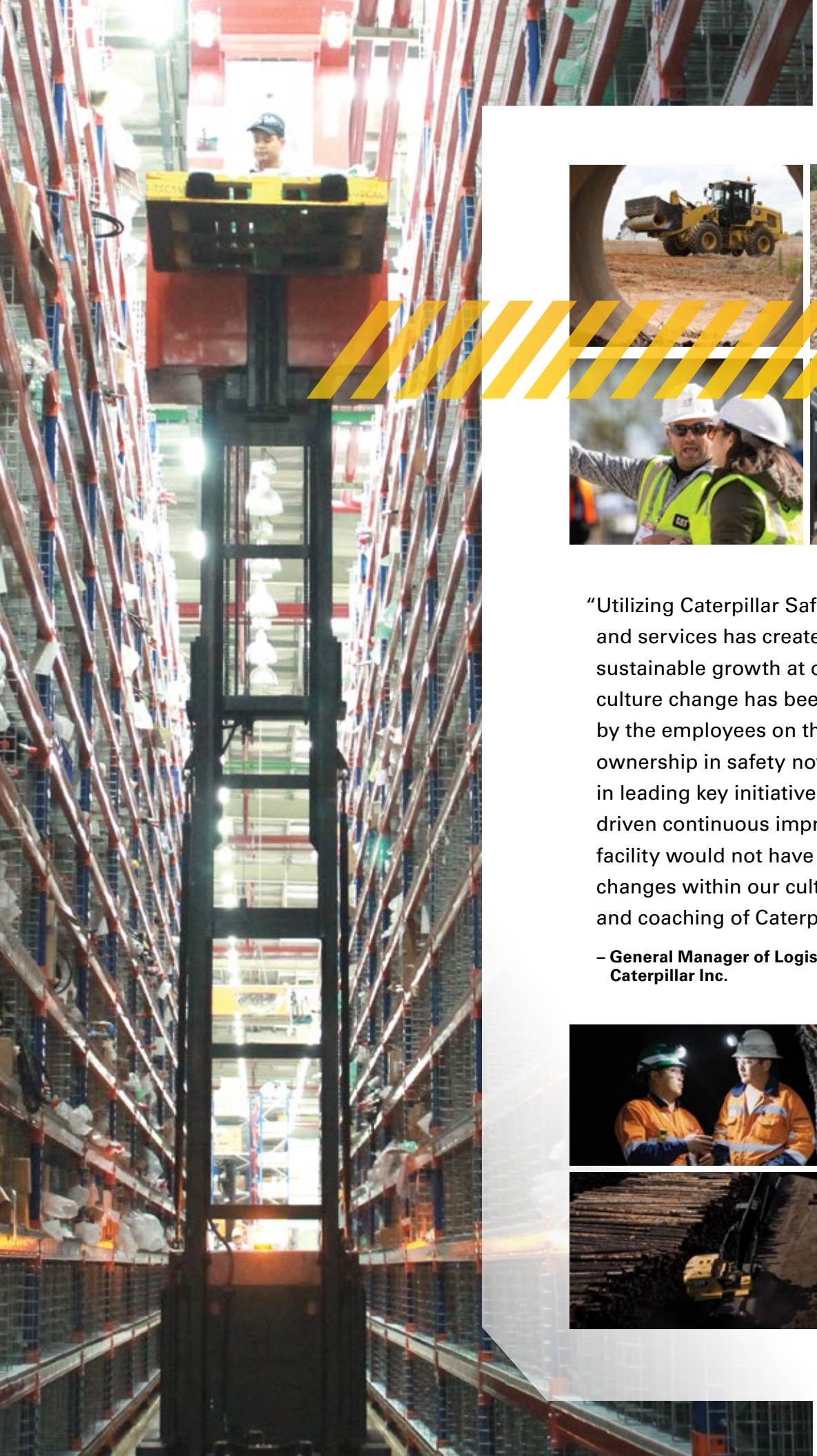
Since the 1970s, Caterpillar Safety Services has worked with hundreds of organizations worldwide striving to build the strongest safety culture possible. We've learned that the key to sustainable success is **resilience**.

A resilient culture:

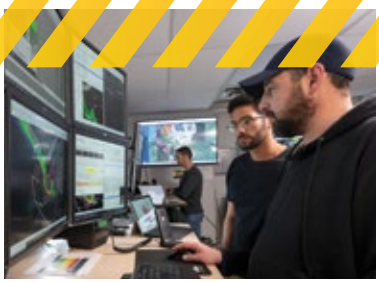
+ Resists both internal and external pressures—like production rates, schedule, customer demands, environmental factors and organizational restructuring—that could cause people to compromise their commitment to safety.
+ Is adaptable and has an ability to "bounce forward" from challenges by continuously improving instead of blaming and shaming those who make mistakes.
+ Is proactive in anticipating challenges—learning from expert employees in the field and putting safeguards in place to prevent serious incidents before things go wrong.

A resilient safety culture takes time to develop and embed, but organizations that succeed are rewarded with:

- Improved engagement
- Reduced incident rates
- Increased productivity
- Attracting and retaining the best talent
- Competitive advantage







"Utilizing Caterpillar Safety Services' products and services has created tremendous sustainable growth at our facility. The positive culture change has been primarily driven by the employees on the floor who have ownership in safety now through their efforts in leading key initiatives through employee-driven continuous improvement teams. Our facility would not have made these types of changes within our culture without the support and coaching of Caterpillar Safety Services."

– General Manager of Logistics Operations, Caterpillar Inc.





WHAT'S STANDING IN THE WAY OF CREATING A RESILIENT SAFETY CULTURE?

ARE YOU EXPERIENCING ANY OF THESE SYMPTOMS?

- REPEAT INCIDENTS
- PLATEAUED RESULTS
- SERIOUS INCIDENTS
- EQUIPMENT DAMAGE
- UNDERREPORTING EVENTS
- COMPLACENCY
- STAFFING CHALLENGES
- ACCOUNTABILITY GAPS

HAVE YOU CONSIDERED WHAT'S CAUSING THESE ISSUES?

- INEFFECTIVE TRAINING
- PRODUCTION-OVER-SAFETY MENTALITY
- LACK OF EMPLOYEE INVOLVEMENT
- "CHECK-THE-BOX" MEASUREMENT
- UNCLEAR EXPECTATIONS
- COMMUNICATION GAPS
- CULTURE OF FEAR

The inability to achieve resilience is not likely due to lack of intent or effort. It may be the result of an incomplete or imbalanced approach to changing the culture of the organization.



THE COMPONENTS OF A RESILIENT

SAFETY CULTURE

Working with countless organizations in a variety of industries has revealed resilience is attained through a constant focus on four components: System, Mindset, Leadership and Ownership. These components interact with and impact one another. They also continue to change and develop over time. You must consider the current state of each to build a strategy for improvement.

MINDSET

A resilient safety culture requires a people-first mindset that starts at the top and is reflected at every level below. It requires knowing oneself, understanding how people work, and functioning as a team. A team demonstrates care for each other, drives accountability, communicates effectively, responds well, and learns as much when things go right as they do when things go wrong.

OWNERSHIP

True ownership of safety occurs when all levels of an organization fully engage in the creation and continuous improvement of safety activities to promote and elevate the culture. With the collective mindset established and demonstrated leadership behaviors embedded, employees' engagement in the safety system will build lasting resilience.

COMPONENTS OF A RESILIENT

SAFETY CULTURE



SYSTEM

An organization with an effective safety management system has a strong foundation to build resilience. It includes clearly defined expectations embedded in its policies and procedures, as well as appropriate controls to manage risk and prevent serious incidents. The best safety systems include regular assessments of their effectiveness as well as training for employees and leaders, with accessible and useful tools and technologies. But a safety management system isn't enough to build resilience if it's not supported by the other components.

LEADERSHIP

The mindset above will be sustained only with specific, consistent leadership behaviors that positively influence people. Leaders must drive accountability, create connectivity, demonstrate credible consciousness and build trust. When leaders create an environment where people feel safe speaking up, employees will be more likely to share their struggles, mistakes and uncertainties so issues get addressed before an incident occurs.

SOLUTIONS TO BUILD A RESILIENT SAFETY CULTURE

Wherever you are on your safety journey, Caterpillar Safety Services can help—guiding your organization toward resilience by uncovering cultural realities, building short- and long-term improvement strategies that engage employees, and embedding accountability and positive mindsets in your culture. We work with you at every stage, helping make your workplace safer, your employees feel more valued, and your operations more effective.

Our solutions, updated with current research and concepts, are used by organizations of all sizes and industries. They're delivered in various formats—assessments, workshops, eLearning, in-person and virtual—specifically designed to achieve the most effective results.



TOOLS TO IMPROVE YOUR SAFETY SYSTEM

APPROPRIATE CONTROLS WITH CLEAR EXPECTATIONS

Worksite Assessment
Determine the completeness and effectiveness of the existing safety management system. Compares the organization's system to an internationally accepted standard and gathers feedback from users through interviews and field observations. Includes a report to leadership and strategic planning session.

Managing Fatigue Around the Clock
Increase the knowledge of fatigue science and its impact on safety, and promote personal fatigue management strategies for leaders and employees in all industries.

Job Hazard Analysis Workshop
Enable participants to reduce risks with a proven hazard analysis process for any type of task, equipment or job, and apply controls to reduce incidents and injuries.

Root Cause Analysis Workshop
Accurately identify the underlying causes of incidents with a dynamic problem-solving process so that the most effective solutions can be defined and implemented, preventing future recurrences and injuries.

TOOLS TO IMPROVE YOUR SAFETY MINDSET

MEETING CHALLENGES WITH CARE AND CURIOSITY

Safety Perception Survey
Identify perception gaps, strengths and areas for improvement across 11 cultural indicators to establish a data-driven safety strategy. Typically paired with interviews and on-site observations for qualitative input. Concludes with a report to leadership and a strategic planning session.

MindShift for Leaders
Introduce human and organizational performance principles as a framework for shifting organizations' mindset to building more error-tolerant systems.

Enneagram & Team Blend
Personality assessment identifies each person's unique motivators and perspectives. Includes one-on-one coaching and a Team Blend workshop to unify the team around their identity and purpose.

Speak Up! Listen Up! Workshop
Equip all levels of your organization with the tools and a practical process for delivering and receiving safety-related feedback, so all employees can confidently speak up and listen up about safety.

Recognize It! Workshop
Reinforce safe behaviors by providing tools to help leaders acknowledge what employees do right and set clear expectations.

TOOLS TO IMPROVE YOUR SAFETY LEADERSHIP

CONSISTENT BEHAVIORS THAT POSITIVELY INFLUENCE OTHERS

Supervisor Training in Accountability and Recognition Techniques (S.T.A.R.T.) Workshop
Explain why safety accountability works, how a positive safety culture impacts the bottom line, and what supervisors can do on a daily basis to inspire strong performance utilizing an engaging storyline and timeless message.

Leadership Strategies for Safety Accountability
Set the foundation for a resilient safety culture through a self-driven e-learning course that provides proven leadership strategies with a focus on safety accountability.

Pipeline Safety Leadership Training
Build and enhance safety culture on your pipeline spread with this full suite of leadership training, including modules on accountability, communication, hazard identification and correction, and risk tolerance.

Safety Leadership in Action for the ET&D industry
Provide leaders in the electrical transmission and distribution industry with this full suite of safety leadership training covering a wide range of topics with industry-specific examples and scenarios. Training includes culture, accountability, communication, decreasing risk and hazard awareness.

LEADERSHIP DEVELOPMENT AND COACHING PROCESS

Leadership Development and Coaching is a data-driven process based on observable safety leadership behaviors. Employees rate their leaders on Accountability, Connectedness, Credible Consciousness and Trust. The data can be benchmarked on the individual and organizational levels to show progress over time.

Safety Leadership Assessment
Assess how effective your leaders are through the eyes of their team members, enabling them to identify gaps and develop a plan for improvement that generates quantified results. Typically includes employee interviews and a report to leadership with follow-up strategic checkpoints to sustain improvements.

Safety Leadership Excellence Workshop
Equip leaders with knowledge of the Four Domains of Safety Leadership after they have completed the Safety Leadership Assessment.

Leading for Safety Workshop
Build the attributes and behaviors of a transformational safety leader and help participants develop the skills and a personal action plan to become one.

Leadership Coaching
Mentor leaders and help organizations integrate and sustain the continuous improvement of safety leadership skills through personalized coaching that will deliver your wider organizational safety goals.

TOOLS TO IMPROVE YOUR SAFETY OWNERSHIP

A FULLY ENGAGED ORGANIZATION FOCUSED ON CONTINUOUS IMPROVEMENT

OWNERSHIFT PROCESS

The OwnerShift process uses a continuous improvement methodology that is rooted in engaging employees from all levels of the organization in a data-driven approach. Outcomes are increased feelings of ownership, accountability and measurable culture improvement.

Safety Perception Survey
Identify perception gaps, strengths and areas for improvement across 11 cultural indicators to establish a data-driven safety strategy. Typically includes employee interviews and observations.

Data Report and Leadership Strategy Session
Sets the stage for the continuous improvement process utilizing data to guide commitments and accountability throughout the process. The top leader and their direct reports create a strategic plan of action and commission a cross-functional Steering Team to coordinate tactical action.

Steering Team
This team of employees and leaders drives strategic priorities with tactical planning by taking ownership of goals and outcomes identified in the Leadership Strategy Session.

Skills Building and Communication
Continuous improvement requires knowledge-building in specific aspects of the safety system, and a constant flow of effective communication. The Safety Steering Team determines when and where to apply learning and communication of progress.

Rapid Improvement Workshops
Build engagement and ownership of safety processes across the organization with this continuous improvement process. Uses cross-functional tactical teams to create proactive accountability for lasting positive change.



"This is the first time we've gone to the hourly workers and said, 'You've got to be the ones to help us bring about this change.' The most persuasive groups are those peer groups that are together."

– CHIEF FINANCIAL OFFICER, DOLESE BROS. CO.



REAL RESULTS





ORGANIZATION

GRANT COUNTY PUBLIC UTILITY DISTRICT

INDUSTRY

Electric Utility (Generation, Transmission & Distribution)

SITUATION

The Grant County Public Utility District is a hydro-electric power generation, transmission and distribution organization in the Pacific Northwest with 720 employees. After a serious incident injured six electricians, the district embarked on a journey to improve their culture — creating one where everyone was empowered to speak up when they saw something unsafe, and where the employees became the guiding coalition for improvement alongside their leaders and safety professionals.

SOLUTION

+ Safety Perception Surveys
+ Speak Up!/Listen Up! For Electric Utilities
+ Continuous Improvement Initiatives

RESULTS

The company successfully conducted three Rapid Improvement Workshops over the course of two years, developing a more engaging and impactful safety meeting process, a new employee onboarding program, and leadership development curriculum. Data indicated this work resonated, as positive employee perception of their culture increased 14.1%. This work also impacted the bottom line, as the district experienced a 57.8% reduction in incident rate in the same period.

14.1% IMPROVEMENT IN POSITIVE PERCEPTION

57.8% REDUCTON IN INCIDENT RATE

ORGANIZATION
STACY WITBECK

INDUSTRY

Heavy Construction (focused on rail and transit work)

SITUATION

Since the early 1980s, Stacy Witbeck has been a leading end-to-end infrastructure builder, specializing in transit. While safety has always been important to the organization, the activities intended to mitigate risk, address hazards and prevent incidents on the front line were initially created at the management level and pushed down through the organization with no input from frontline employees. This led to a more reactive safety culture, versus a proactive approach where craft employees are empowered to participate in the development or improvement of safety processes.

In 2020, the company attended a safety summit hosted by Caterpillar Safety Services focused on safety leadership and how to effectively involve an entire organization in ownership of its safety system. That was the beginning of a relationship that helped Stacy Witbeck improve its safety outcomes by focusing first on its safety culture.

SOLUTION

+ Safety Perception Surveys
+ Safety Steering Team
+ Continuous Improvement Initiatives
+ Safety Culture Excellence Workshops

RESULTS

The initiatives have helped improve various safety practices in the organization. The routine cultural surveys provide periodic measurement to gauge the effectiveness of new and improved processes and ensure consistent, ongoing engagement throughout all levels of the organization.

0.8 RECORDABLE INCIDENT RATE IN 2023

- **» Lowest in company history**
- **» 67% lower than industry average**
- **» 41% improvement in average incident rate**



"We're looking at observations, safety conversations and all forward-looking indicators. We can report our best-ever safety lagging indicators in 2023; the BEST in our company's history."

– PRESIDENT, STACY WITBECK

"Today, we actually ask the crews to push safety back up through the organization. With support from the top, we have seen greater buy-in from our front line and an increase in safety on all our work."

– REGIONAL MANAGER, STACY WITBECK





ORGANIZATION
DOLESE BROS. CO.

INDUSTRY

Construction Supply & Materials

SITUATION

Dolese Bros. Co. has been a leading construction materials company since the early 1900s and is one of the largest suppliers of ready-mixed concrete, crushed stone, sand and gravel in the area it serves. As the company began to expand, safety became a priority focus for its facilities. The executive leader heard about the success of another Caterpillar Safety Services customer and sought to learn more about how it was achieved. At the time, Dolese Bros. primarily managed safety by enforcing policies and regulatory requirements. In learning more about the employee engagement, recognition, and accountability the other organization experienced, the company called upon Caterpillar Safety Services culture consultants to help them on their journey.

SOLUTION

+ Safety Perception Surveys
+ Safety Steering Team
+ Continuous Improvement Initiatives
+ Supervisor Training in Accountability and Recognition Techniques (START)
+ Leading for Safety

RESULTS

After implementing these initiatives over the course of three years, the organization saw significant change in leading indicator activities that directly impacted their bottom line. The organization saw a 12.6% increase in employee perception scores, a $1.6 million decrease in worker compensation costs and a 25% decrease in incident rates.

12.6% HIGHER PERCEPTION SCORES

25% REDUCTON IN INCIDENT RATE

$1.6M DECREASE IN WORKER COMPENSATION COSTS

ORGANIZATION

LEHMAN-ROBERTS, A GRANITE COMPANY

INDUSTRY

Construction Supply & Materials

SITUATION

Lehman-Roberts, a Granite Company, has been a leader in the highway paving and asphalt industry for more than 85 years. In 2019, the company recognized opportunities to further strengthen its safety program to ensure the well-being of every team member and maintain its reputation for operational excellence. As a small- to mid-sized organization, and before being acquired by Granite in 2023, Lehman-Roberts sought external coaching to enhance its safety culture and build sustainable processes for improvement. This led to a partnership with Caterpillar Safety Services to drive measurable results on its safety journey.

SOLUTION

+ Safety Perception Surveys
+ Continuous Improvement Initiatives
+ Safety Steering Team

RESULTS

Since embarking on this journey in 2019, Lehman-Roberts has implemented significant safety advancements, including:

+ Enhanced "huddle-up" processes to improve daily communication and hazard awareness.
+ Improved near-miss reporting practices to proactively address risks.
+ Formalized mentoring programs to strengthen onboarding and safety training for new team members.

The impact of these initiatives has been transformative, with a 54.5% reduction in recordable injuries and a 45% year-over-year reduction in Total Recordable Incident Rate (TRIR). The team continues to measure and refine its efforts to ensure consistent, ongoing attention to safety across all operations.

54.5% REDUCTON IN RECORDABLE INJURIES

45% YEAR-OVER-YEAR REDUCTION IN TOTAL RECORDABLE INCIDENT RATE (TRIR)





CATERPILLAR SAFETY SERVICES

As a manufacturing company, safety has always been important to Caterpillar. When we launched a journey to continually improve our safety culture, we recognized that the safety challenges we've faced—and continue to overcome—are common to many organizations.

Caterpillar Safety Services was a catalyst for improvement at Caterpillar. And today, those solutions enable companies of all sizes and industries to achieve and sustain resilient safety cultures.

Wherever you are in your safety journey, we're here to help you establish a strong foundation and guide you toward a more resilient safety culture.

As Caterpillar has locations across the globe, Caterpillar Safety Services offers its solutions to customers all around the world.

Find out how we can help your organization. Contact us today.

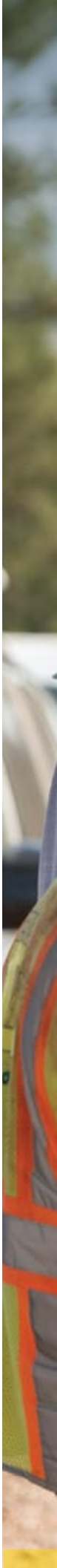
www.cat.com/safety
1-866-963-3551



"We brought together people from all eight of our companies to put together our first national strategy to take us from average to excellent. But something was missing. We didn't have the safety culture to drive toward excellence. We started to meet with Caterpillar to hear their views and we realized that maybe having an expert coach could bring those experiences and help us see where our weaknesses were — and help us get there."

– Director of Risk Management, Colas Inc.





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