



THE COMPONENTS OF A RESILIENT SAFETY CULTURE

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Caterpillar Safety Services



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OUR SAFETY JOURNEY 2003-2024

**93% RIF
IMPROVEMENT**



RECORDABLE INJURY FREQUENCY (RIF)

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RESILIENT SAFETY CULTURE

**COMPONENTS
OF A RESILIENT
SAFETY
CULTURE**



MINDSET
MEETING
CHALLENGES
WITH CARE AND
CURIOSITY

OWNERSHIP
A FULLY ENGAGED
ORGANIZATION FOCUSED
ON CONTINUOUS
IMPROVEMENT

LEADERSHIP
CONSISTENT
BEHAVIORS THAT
POSITIVELY INFLUENCE
OTHERS

SYSTEM
APPROPRIATE
CONTROLS WITH
CLEAR EXPECTATIONS



SYSTEM

Appropriate Controls with
Clear Expectations



98%

of managers believe **safety is important** in their organization

99%

of managers believe their organizations **actively encourage employees to work safely**



52%
of employees say
risks are overlooked
to get the job done

DIFFERENTIATORS OF SERIOUS INCIDENTS AND FATALITIES (SIF)

Absent direct controls to prevent the
unexpected release of high energy hazards.

Absent or not followed work plan.

Construction Safety Research Alliance study, 2024

DOES YOUR SAFETY
SYSTEM EFFECTIVELY
**IDENTIFY HAZARDS,
MITIGATE AND
MANAGE RISKS?**

RESILIENT SAFETY SYSTEMS ASSESS



FOCUS



EFFECTIVENESS



SUPPORT



PERCEPTION



WHAT DOES YOUR SYSTEM **FOCUS** ON?

Put the biggest focus on the biggest risks

Resist spreading safety efforts too thin

Avoid the temptation to achieve perfection



HOW **EFFECTIVE** IS YOUR SYSTEM?

Compare to recognized industry standards

Assess in-field awareness and application

Inquire about what is not working and why

Incorporate feedback, communicate and train



HOW IS THE SYSTEM **SUPPORTED?**

Top leader commitment

Resources aligned with overall business objectives

Safety has a seat at the leadership table



HOW IS THE SYSTEM PERCEIVED?

Perceptions shape behavior

Ask, then listen and suspend judgement

Build improvement strategy on what people care about

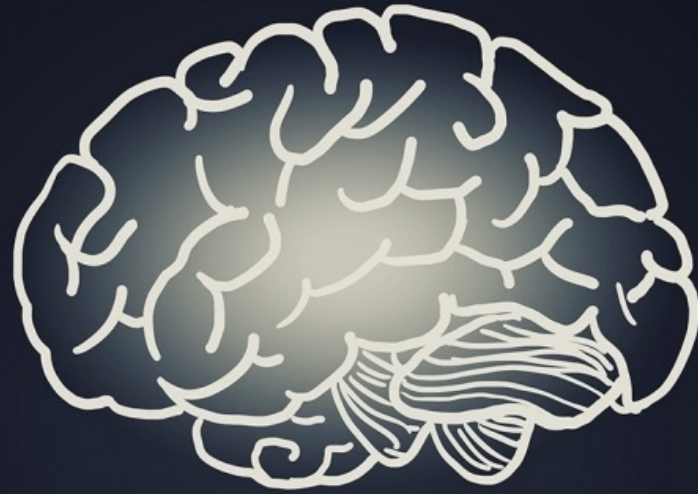




MINDSET

Meeting Challenges with
Care and Curiosity

WHY DON'T PEOPLE DO
**WHAT WE EXPECT
THEM TO DO?**



ASSUMPTIONS ABOUT HOW OUR BRAINS WORK...



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**RATIONAL
CONSCIOUS
OBJECTIVE
REASONABLE**

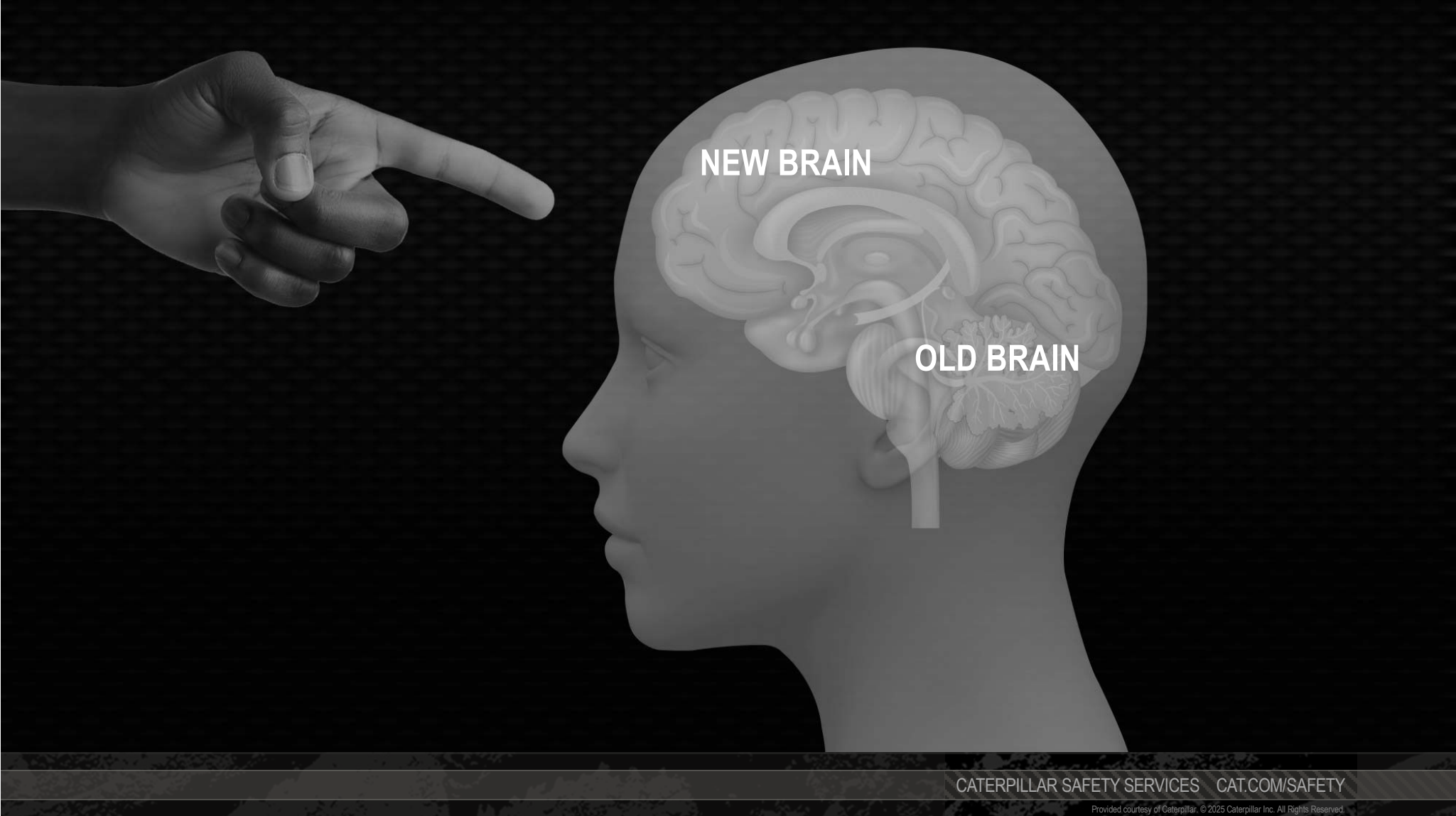
**ALL
OF THE TIME**

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HAVE YOU
EVER . . .





NEW BRAIN

OLD BRAIN



**OLD BRAIN
= FAST BRAIN**

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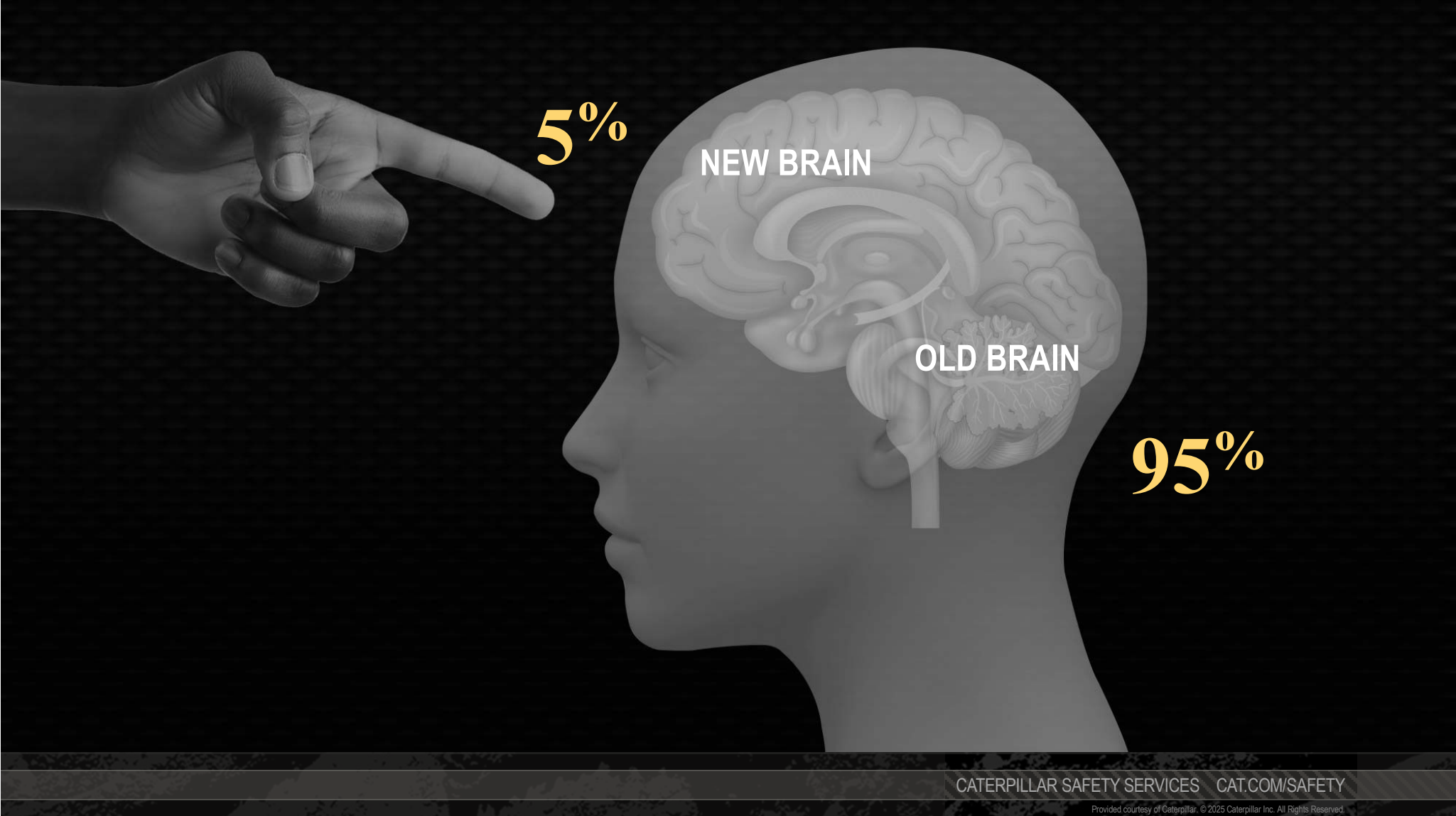
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NEW BRAIN
= SLOW BRAIN



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AND YET WE EXPECT EMPLOYEES
TO PERFORM PERFECTLY
100% OF THE TIME

WHY DO WE BLAME?



Blaming helps to **discharge our pain** and makes us feel as though we have some control.



Blame helps to **assign meaning** to a negative event – resolving uncertainty and finding peace of mind.



Blame can be a **defense mechanism**, helping us to preserve our self-esteem.

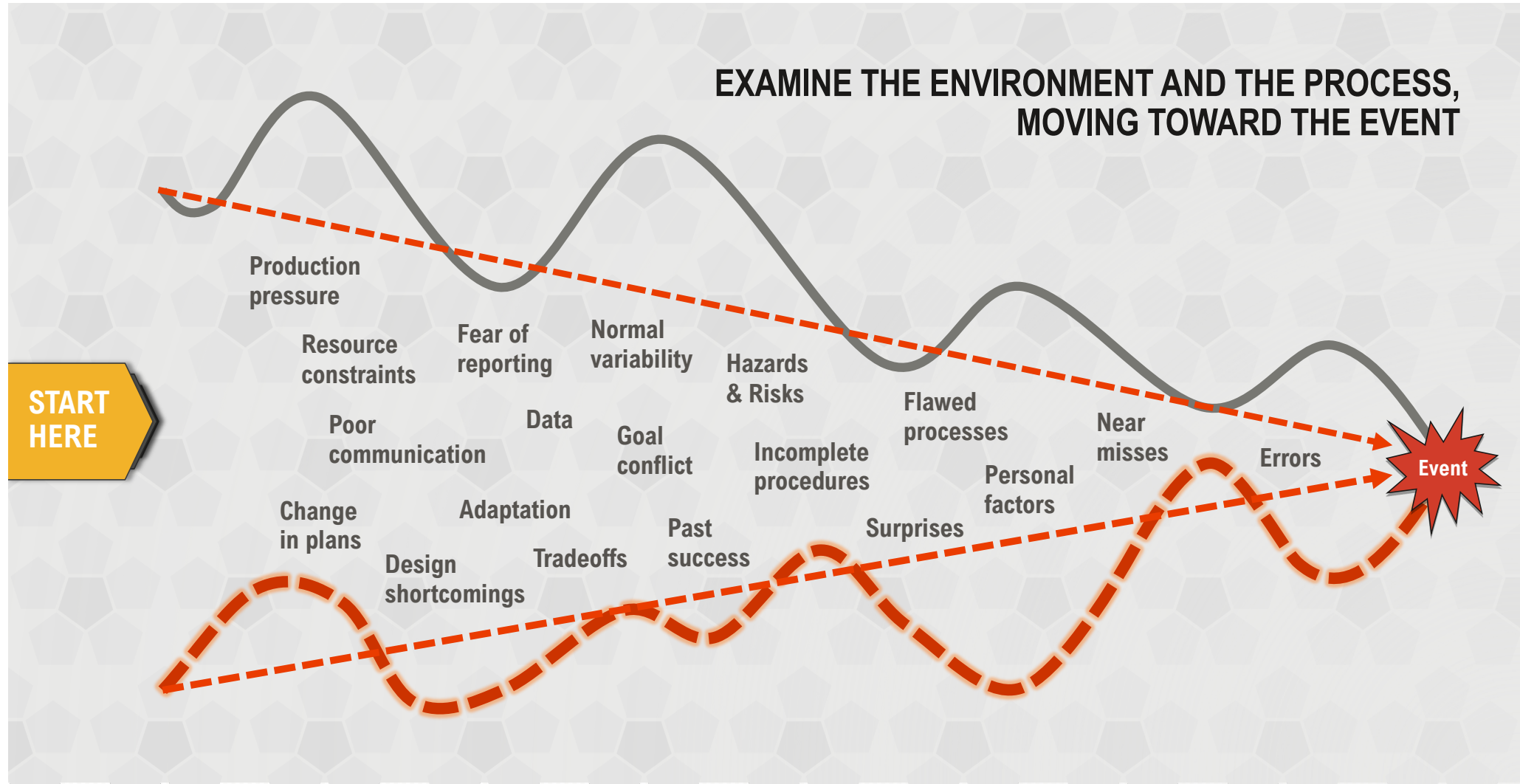


We use blame to **avoid punishment**.

“ You can **blame** and **punish**
or
you can **learn** and **improve**,
but you **can't** do both! ”
[at the same time]

*Todd Conklin, Ph.D. Organizational Behavior
The 5 Principles of Human Performance*

EXAMINE THE ENVIRONMENT AND THE PROCESS, MOVING TOWARD THE EVENT





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MINDSET MOVERS

Uncover cultural realities within the organization

Understand how people work to continuously learn and improve

Know oneself to create trust, collaboration and understanding of team dynamics

Empower people to have effective conversations when they see unsafe behaviors

Provide regular positive recognition

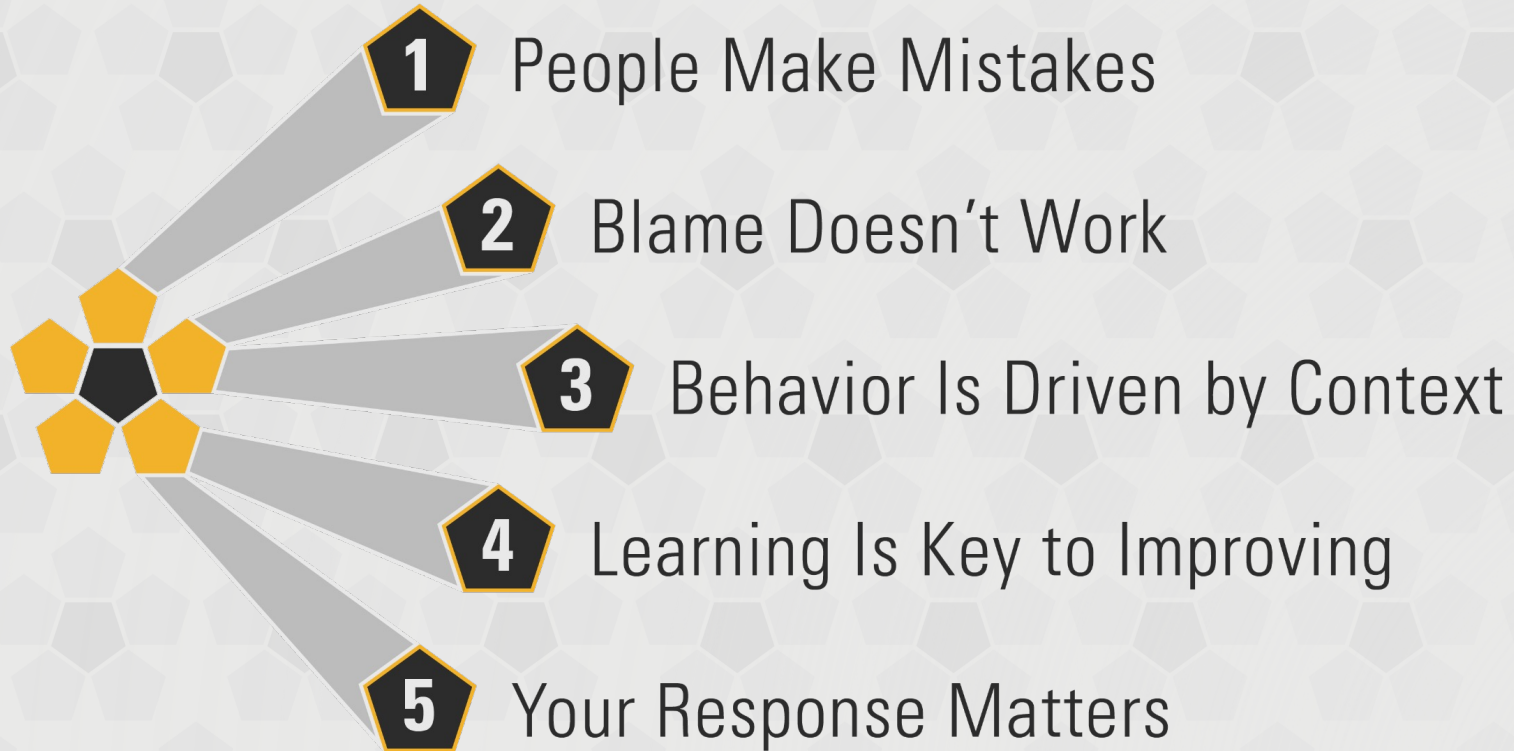
HOW SHOULD YOU RESPOND WHEN . . .

An employee reports they damaged an expensive piece of equipment?

WHAT CAN YOU DO TO . . .

Get people to speak up about what's not working in the System?

5 PRINCIPLES OF HUMAN & ORGANIZATIONAL PERFORMANCE



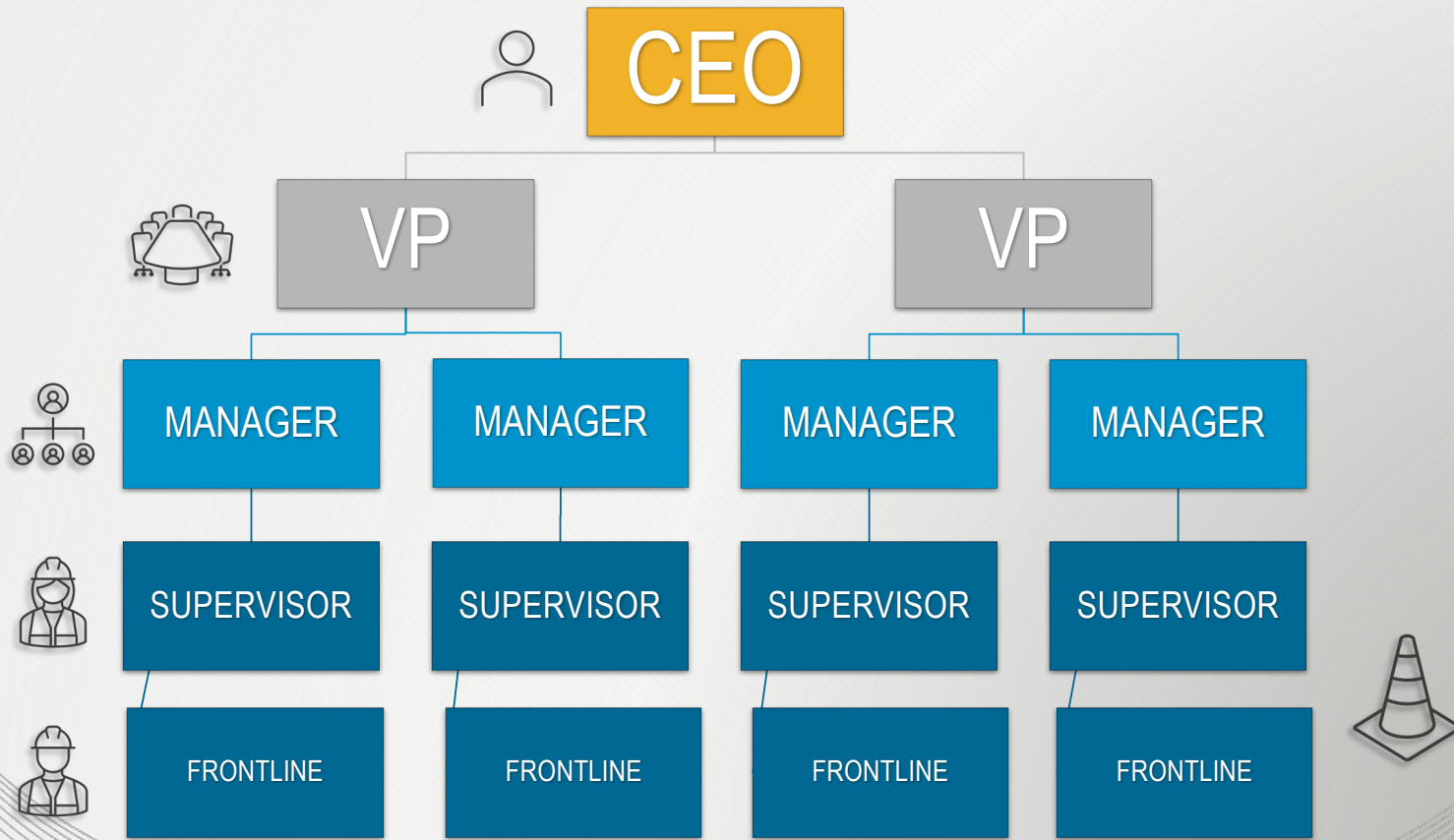




LEADERSHIP

Consistent Behaviors that
Positively Influence Others

SAFETY IS A GAME OF FOLLOW THE LEADER



**HOW
PROACTIVE
CULTURE
WORKS**



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THE DOMAINS OF SAFETY LEADERSHIP

DOMAIN 1



**DRIVE
ACCOUNTABILITY**

5 ELEMENTS

DEFINE | TRAIN | RESOURCES
MEASURE | FEEDBACK

DOMAIN 2



**CREATE
CONNECTIVITY**

3 ELEMENTS

INVOLVE | INFORM
INTEGRATE

DOMAIN 3



**DEMONSTRATE
CREDIBLE
CONSCIOUSNESS**

2 ELEMENTS

KNOWLEDGE
REASONING

DOMAIN 4



**BUILD
TRUST**

4 ELEMENTS

CARE | VALUES
OPENNESS | INTERACTION

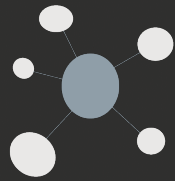


DOMAIN 1

DRIVE ACCOUNTABILITY

WHAT KIND OF ACCOUNTABILITY BUILDS RESILIENCE?

Define
Train
Resources
Measure
Feedback



DOMAIN 2

CREATE CONNECTIVITY

HOW SHOULD LEADERS CREATE CONNECTIVITY?

Involve
Inform
Integrate



DOMAIN 3

**DEMONSTRATE CREDIBLE
CONSCIOUSNESS**

**WHAT DOES IT TAKE
TO BE A CREDIBLE
SAFETY LEADER?**

Knowledge
Reasoning

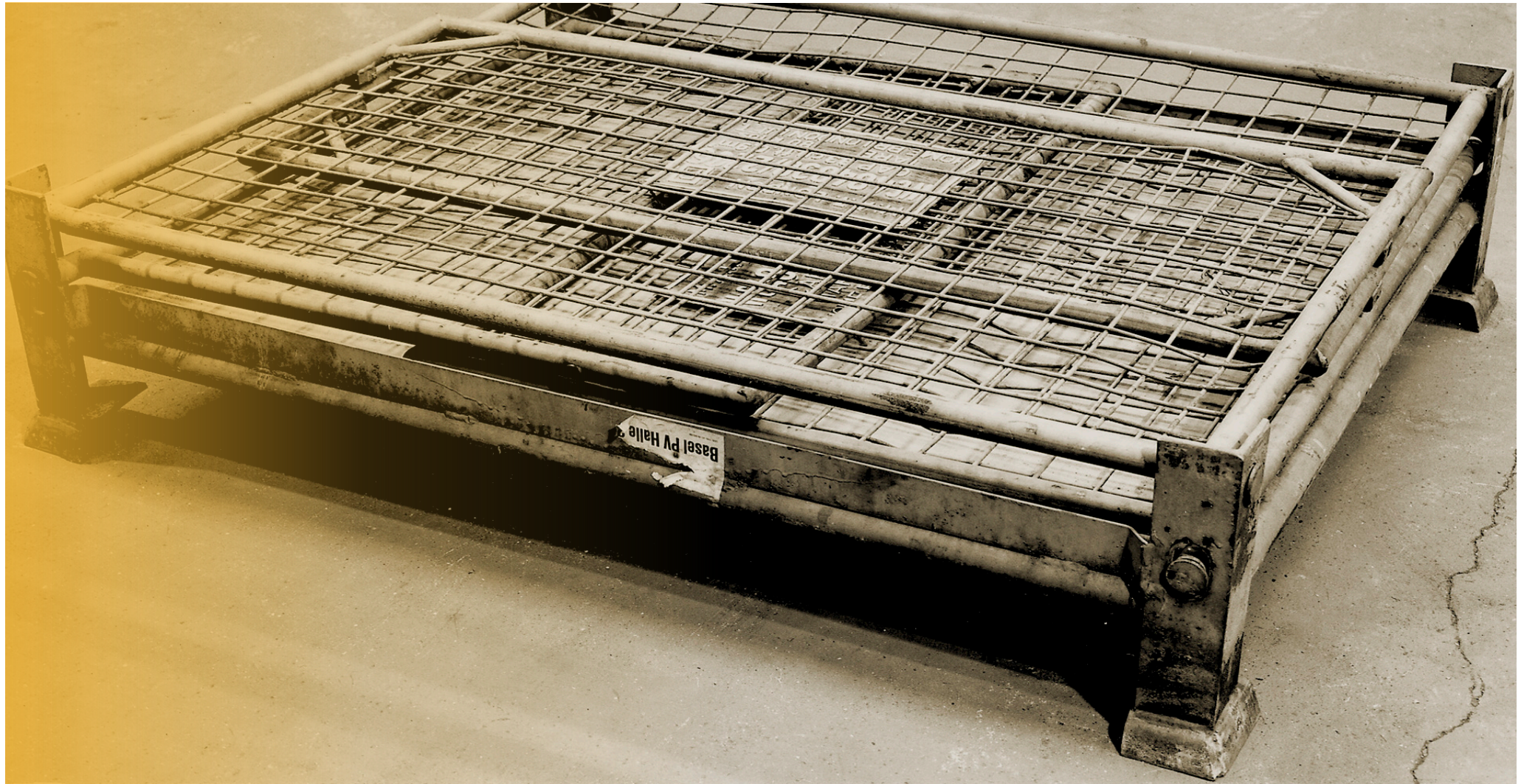


DOMAIN 4

BUILD TRUST

HOW CAN LEADERS BUILD TRUST?

Care
Value
Openness
Interaction





OWNERSHIP

A Fully Engaged
Organization Focused on
Continuous Improvement

**WHAT WOULD IT LOOK LIKE IF
EVERY EMPLOYEE WAS TRULY
ENGAGED IN SAFETY?**

WHAT EMPLOYEES REQUIRE TO FEEL OWNERSHIP ...



**OPPORTUNITIES
TO SHINE**



**DECISION-
MAKING POWER**



**TRANSPARENT
COMMUNICATION**



**TRAINING AND
DEVELOPMENT**



**RECOGNITION
AND
APPRECIATION**



**POSITIVE WORK
ENVIRONMENT**

Use cross-functional teams to embed **positive, proactive accountability**

Continuous Improvement Process:

Assess the existing realities using quantitative and qualitative data from all levels of the organization

Build a strategic plan based on the data & engaging a cross-functional team to lead strategic improvements

Involve frontline employees to **develop** / improve safety processes, building in accountability at each level of organization

Implement the newly developed safety processes

Check the processes to seek ongoing continuous improvement



EMBEDDING ACCOUNTABILITY FOR SAFETY AT EVERY LEVEL



DEFINE

CLEAR EXPECTATIONS
for EVERY ROLE



EQUIP

PEOPLE to EXECUTE
ACCURATELY



MEASURE

PERFORMANCE



RESPOND

with APPROPRIATE
FEEDBACK

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

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POINTS TO PONDER

1. What are the biggest challenges to making the System work? How can they be addressed?
2. Where does Mindset need to change to influence the culture?
3. What are the greatest needs in establishing safety Leadership? What can we do about it?
4. Where is Ownership of safety the most critical? How can we bolster engagement there?



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