

Dear Ladies and Gentlemen!

First of all I want to thank you for the opportunity to present this short review here. I think this contribution will enable a slightly different perspective on your core business, mine rescue. The main focus of my presentation will be a conceptual framework, by which we at RAG Aktiengesellschaft try to review our regular efforts in the prevention of post-traumatic stress disorders.

A post-traumatic stress disorder is an often observed serious and expensive aftereffect of major accidents and disasters: A serious consequence not only for the victims of the disorder themselves, but also for the business of their companies. Good employees fall out on long terms or get unable to work for the rest of their life-time. Your company has severe consequences to face: replacement staff must be employed or even substitute processes for maintaining your business are required.

But before I introduce our concept, I want to give you a short glimpse on the RAG Aktiengesellschaft with the help of a few facts and figures.

Crisis management: a conceptual framework 

RAG Aktiengesellschaft – some facts and figures

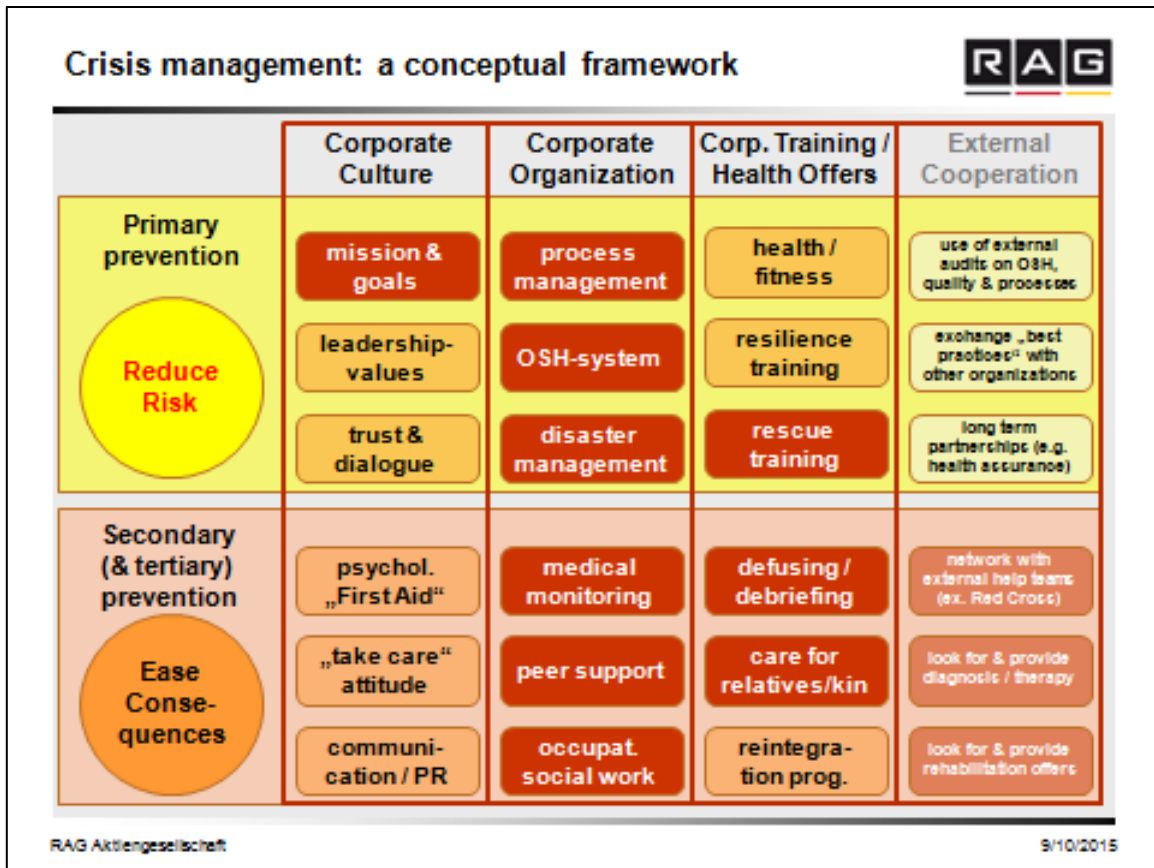
- Work force at December 2014:
 - ~12,700 total employees
 - ~12,100 employees in the mining sector
- Production:
 - 7,6 Mio. t.v.F. of hard coal in 2014 from 3 operating mines
- Total group sales:
 - 2,107 Mio. €

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In 2014 the RAG Aktiengesellschaft produced around 7,6 million metric tons of marketable hard coal with 3 operating mines. For this purpose, approximately 12.100 employees worked in the mining business of RAG Aktiengesellschaft. Here is a little note I have to give: currently there are only 8.500 people working in this sector. But you have already experienced yesterday from the words of our member of the board and chief human resources officer, Mr. Peter Schrimpf that we are on our way to end German hard coal mining in 2018. Since at least 2005 we are in a continuous shutdown process for which such words as Downsizing or Restructuring with all their well known negative consequences and dangers are no adequate description.

But now to the core of my presentation: I will present to you a conceptual framework for the prevention of post-traumatic stress disorders from the perspective of an organizational psychologist or even from a broader management point of view. And to your warning: this framework is not a complete guideline that you can copy 1 to 1 into your companies mine rescue plans or occupational safety and health measures. It is still a concept to fill.

In the regular review of our efforts in the prevention of mining accidents as well as in the prevention of post-traumatic stress disorders this classification scheme or framework describes our key areas of action.



Here you can see the main playing ground or structure of the framework: on the left side you see a classical separation of prevention areas often used in Germany. Primary prevention focuses on the reduction of risks, secondary (or third level) prevention focuses on the avoidance of negative consequences if risks materialize.

In the following columns you will find the action fields, that are essential from our point of view and must be treated well by the company`s management from the top to the persons in charge “on the spot”. From the left to the right the action fields are corporate culture, corporate organization, corporate training (or human resources development) and health offers, and last – but not least – the action field of external cooperation with others.

After I presented to you the whole play ground, I will introduce some major topics or action items on this play ground.

First, for us a vibrant culture of feedback, based on clear mission statements and objectives, is a crucial point. Good leadership values and leadership performance as well as a strong focus on dialogue and an atmosphere of trust are also major points to look at.

At the level of organizational efforts you have to implement a continuous improvement process in your company – and to our beliefs it does not matter, which system you use. To name a few: TQM, Six Sigma or Lean Processing. And from our point of view you have to engage in an occupational safety and health management system as well as in an efficient

emergency service. The both last mentioned organizational action points are often already required by law.

However, all these management systems or organizational means are of little use if they are not supported by health and fitness offers to your employees. And from the perspective of the actual research on stress you should also establish programs for mental health in your companies. We actually think here of special resilience trainings for executives and core staff members which are often exposed to high levels of stress anyway without any mine accident or disaster. And last but not least you have to proof the concepts of your trainings for your mine rescue brigades as well. You will not prevent stress disorders only if your rescuers are physically well trained and technically well equipped but suffer from a severe lack in mental fitness.

But you cannot do it all alone, not even if you are a very large company. Therefore, it is important to find good partners from the start on and maintain these partnerships. If available, we recommend a heavy use of external audits, the sharing of best or successful practices with other companies and a continuous dialogue for example with your health assurance partners, professional associations and legal administrations.

Now let us take a look on the second half of the play ground.

From our experience it belongs to a good company culture for the prevention of stress disorders that every employee – but at least every rescue women and men – know, what is to do in “psychological first aid”. And “psychological first aid” is not difficult to do: listening, showing compassion, and help spontaneously when help is needed. Here, as a rule of thumb, is not much effort to do. You only have to encourage your employees to act like a normal human being. But be aware: if your measures in the first field of organizational culture failed – especially in the field of trust – you will fail.

A second action item in the field of secondary prevention in this column is creating a positive atmosphere that the company will take care. Therefore – but not only for this purpose – you will also need a well prepared communication branch for internal and external public relation work.

And also in the secondary prevention field, there is still a lot to organize. You will need a medical monitoring system to identify persons with much too high stress loads. You may need additional well trained peer supporters for critical stress incident measures and an offer of professional social workers or other mental health professionals for the victims of stress disorders and their family and relatives.

And in the action field of corporate training and / or health offers you may have to provide a special defusing / debriefing program for the victims and rescuers at mine accidents as well as an immediate care program for the families and relatives of the victims of a mine accident or disaster.

Last but not least we recommend also a reintegration program for the persons that willing to get back to work as soon as possible.

And from our point of view again, you should not undertake all these efforts alone. Ensure a good network with external help and crisis intervention teams (like the teams of the Red Cross). And you will have to look for external resources in the field of diagnosis and therapy as well as in the field of rehabilitation services. Even in Germany a victim of a post-traumatic stress disorder often has to wait for adequate therapy longer than nine month because of shortage of physicians and psychologist in this field.

Crisis management: a conceptual framework

Occupational safety and health of our employees as well as production and economic efficiency are equally important goals in our company.

Excerpt from the "Corporate Mission Statement" of the Ruhrkohle AG, now part of Occupational Safety Manual of the RAG Aktiengesellschaft

We monitor and influence Corporate Culture e.g. via...

Feedback via regular **Employee Surveys** and annual **Multi-Source-Feedback** Surveys (top-down & bottom-up) for non-pay-scale employees

Annual **Appraisal Interviews** between supervisors and employees

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After this long explanation of our framework I want to name a few more concrete examples of measures taken by the RAG Aktiengesellschaft in this field.

First of all, I show to you our published core mission statement and belief: "Occupational safety and health of our employees as well as production and economic efficiency are equally important goals in our company."

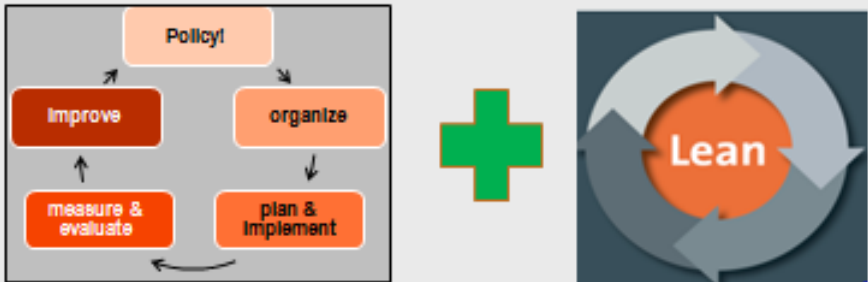
In the field of corporate culture we monitor and take actions through a widespread system of feedback surveys. So we have a regular employee survey for all employees about all three

years and every year we provide a multi-source feedback for all of our non-pay-scale employees.

And we implement an annual appraisal interview between supervisors and employees to look on their needs and wishes on an individual basis. The main focus of the interview lies on a dialogue between a supervisor and his employee concerning the individual development process (including career steps) of the employee.

Crisis management: a conceptual framework 

We connect our Occupational Safety & Health Management with Lean Processing:



Our aim: "High Efficiency" & "Zero Accidents" & "Healthy Workforce"!


Expand the "classic" Disaster Management Plans in the German Mining Industry:

- **Mine Rescue Plan** => **Define clear responsibilities for trauma management!**
+ **only 1 new element:** => **Schedule for Anti-Trauma measures!**
- **Medical Organization** => **Integration of experts for trauma management!**

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In the organizational action field we connected our occupational safety and health system with our production system (Lean Processing) to achieve three major aims: High efficient production processes, zero accidents and a healthy workforce.

In the classical field of mine rescue service and disaster management we implemented clear responsibilities for trauma management, a schedule for anti-trauma measures and in the medical organization experts for trauma management.

Crisis management: a conceptual framework 

Core elements of our primary prevention of stress disorders...


- We offer **special instruction sessions for our Mine Rescue Brigades** during their regular trainings.
 - topics: information about stress & stress disorders, how to provide psychological „first aid“, leadership behavior during search & rescue operations
 - time required during the regular training sessions: 3 – 3 ½ hour
- We provide **checklists, information materials, guidelines and briefing events concerning stress and stress disorders** for helpers / rescuers / managers...
- We train **“peer-helper” for defusing- / debriefing-actions** together with an external partner...

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In the primary prevention of stress disorders we concentrated first on our mine rescue brigades: here we offer a special instruction session during their regular trainings.

Then in a second wave we provide checklist and information materials, guidelines and briefing events for all helpers, rescuers and managers in our company.

As a special program we trained “peer-helpers” for our defusing- and debriefing measures after an accident or disaster.

Crisis management: a conceptual framework 

Core elements of our secondary and tertiary prevention...


- We offer an **initial „defusing“**- discourse immediately after a severe accident.
 - at least with a psychosocial expert (physician, psychologist, minister, priest), 2-3 trained “peer-helper”
- We offer an **“debriefing”-meeting** 3-5 days after a severe accident.
 - at least with a psychosocial expert (physician, psychologist, minister, priest), 2-3 trained “peer-helper”
- We implemented a **special care program** for employees suffering from acute or post-traumatic stress disorders.
 - Mediated by our occupational physicians or occupational social work experts employees probably suffering from stress disorders get privileged access to diagnostic or therapeutic resources of BG RCI (Employers Liability Insurance for Raw Materials and Chemical Industries) as well as to resources from Bundesknappschaft (health assurance and pension insurance fund).

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Consequently we took also measures in the field of secondary prevention of stress disorders. There we have three steps:

First after an accident we offer an initial defusing-discourse and second – if still needed – a longer debriefing-meeting some days later.

And third we maintain a special care program to help the victims suffering from acute or post-traumatic stress disorders together with our external partners.

Crisis management: a conceptual framework 

Lessons learned...

- **On the first sight...**
Effective measures for crisis management at mine accidents are normally already introduced - a defense program against acute and / or post-traumatic stress disorders can be easily integrated!
- **On second sight...**
To our opinion you have to take a closer look on the whole scene: the OSH-management system, the production or quality management process and not at least the corporate training / education - at all components and levels you can do much to the prevention of acute and / or post-traumatic stress disorders without expensive additional effort.
- **On third sight...**
There are still things to do – and the framework helps us to do the right things in the right way.

Maybe this framework can help you, too.

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What are the lessons learned in the last about twelve years with our prevention program?

On the first sight: Effective measures for crisis management at mine accidents are normally already introduced - a defense program against acute and / or post-traumatic stress disorders can be easily integrated!

On second sight: To our opinion you have to take a closer look on the whole scene: the OSH-management system, the production or quality management process and not at least the corporate training / education - at all components and levels you can do much to the prevention of acute and / or post-traumatic stress disorders without expensive additional effort.

On third sight: There are still things to do – and the framework helps us to do the right things in the right way.

Maybe this framework can help you, too.

Crisis management: a conceptual framework 

To end with...

„You cannot prevent a major catastrophe, but you can build an organization that is battle-ready, that has high morale, that knows how to behave, that trusts itself, and where people trust one another. In military training, the first rule is to instill soldiers with trust in their officers, because without trust they won't fight.“

Peter Ferdinand Drucker, 1990

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Let me close my presentation with a short quote from Peter Ferdinand Drucker, a well known American business scientist and Professor of Management, born in Austria:

„You cannot prevent a major catastrophe,
but you can build an organization that is battle-ready,
that has high morale, that knows how to behave,
that trusts itself, and where people trust one another.
In military training, the first rule is to instill soldiers with trust in their officers,
because without trust they won't fight.“

For you – this will be the end of my presentation. For me, these words were the starting point to formulate the presented framework.

Glück Auf!

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