

**WASHINGTON RIVER PROTECTION SOLUTIONS**  
**INTEGRATED SAFETY MANAGEMENT SYSTEM**  
***SAFETY CONSCIOUS WORK ENVIRONMENT***  
***SELF-ASSESSMENT REPORT***




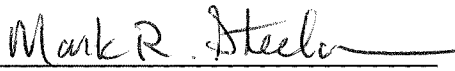
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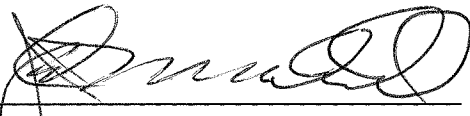


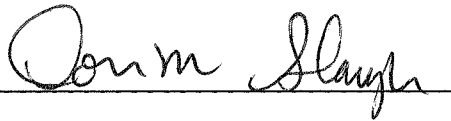
**REPORT OF A SELF-ASSESSMENT AT WASHINGTON RIVER PROTECTION SOLUTIONS, LLC TO EXAMINE THE SAFETY CONSCIOUS WORK ENVIRONMENT IN SUPPORT OF THE INTEGRATED SAFETY MANAGEMENT SYSTEM ANNUAL DECLARATION REPORT FOR 2012**


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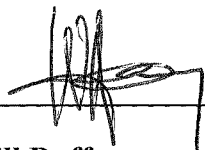
  
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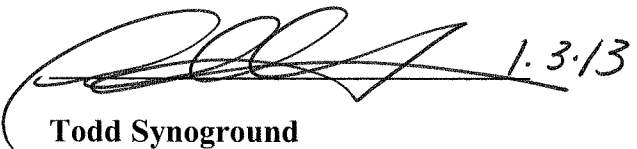
  
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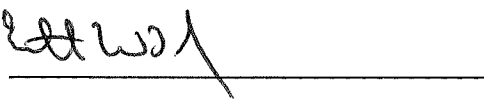
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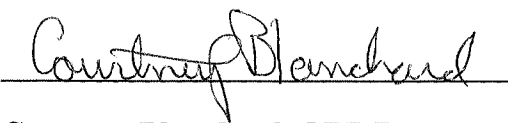
  
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## EXECUTIVE SUMMARY

Washington River Protection Solutions (WRPS) performed a Safety Conscious Work Environment (SCWE) Self-Assessment as part of their annual Integrated Safety Management System (ISMS) declaration report for fiscal year (FY) 2012, as directed in the Department of Energy (DOE) Office of River Protection (ORP).

The WRPS SCWE Self-Assessment was conducted from November 5 through November 16, 2012. The WRPS SCWE Self-Assessment team benchmarked their evaluation of WRPS' SCWE against the level of excellence defined by the characteristics associated with the ISMS Focus Areas, Attributes, and Lines of Inquiry (LOIs) prescribed in DOE's SCWE Assessment Guidance<sup>1</sup>. Through the use of LOIs, assessment team members assessed the effectiveness of SCWE-related programs and the manager/supervisor role in nurturing a SCWE by demonstrating behaviors such as listening to employees, including their issues and recommendations for resolution, and not allowing safety issues to languish.

The assessment team found all four (4) of the DOE ISMS Safety Culture Focus Areas and their associated Attributes to be "implemented and effective" within WRPS. Based on the results of the information gathered for this self-assessment, the interviews, field work associated activity observations, and documentary evidence, the WRPS Safety Conscious Work Environment can be described as effectively implemented (see Attachment 1 - WRPS SCWE Self-Assessment – Summary Table). Numerous noteworthy practices were identified, as well as potential opportunities for improvement.

While each of these Focus Areas and Attributes were rated as "implemented and effective," that does not mean that WRPS has reached its goal, or that it has no areas for improvement. WRPS recognizes that just the opposite is true. Continued vigilance is necessary to maintain and improve worker perceptions of the WRPS SCWE. Without continued vigilance for all aspects of WRPS' SCWE, trust by the workforce can be lost, resulting in a significant impact on their willingness and freedom to raise issues without fear of reprisal.

The data summarized in this report is especially enlightening given the recent stresses and detractors in the work environment (HAMTC Labor Agreement and Negotiations, workforce incentive plan, unknown budget constraints, and potential for layoffs). In spite of these detractors, the workforce perceptions continue to show SCWE improvement.

In February 2012, WRPS conducted its second all-employee ISMS SCWE Survey. The first WRPS baseline survey was conducted in 2009. The results of the 2012 survey were analyzed against the 2009 baseline and shared with workforce. Seventy-seven percent (77%) of the WRPS

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<sup>1</sup> DOE Memorandum dated 9/26/2012, Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration

workforce indicated that they observed evidence of an effectively implemented SCWE. Strengths and potential opportunities for improvement were identified at the company-level, as well as the organization-level. An improvement plan was developed to address company-level improvement opportunities. Likewise, the WRPS SWE Coordinator met with various organization representatives to assist in addressing and developing organization-level improvement plans. Once the improvement actions have been in place for a year, or longer, a third WRPS SCWE Survey will be conducted to determine if these improvements have had their desired effect, or if additional focus is needed.

In July 2012, DOE conducted a Hanford Site Organizational Climate & SCWE Survey (DOE Survey). Eighty-one percent (81%) of the WRPS workforce indicated they observed an effectively implemented SCWE. In almost every area where WRPS had identified an opportunity for improvement, based on their earlier survey, and instituted improvement plan corrective actions, improvement was observed in worker perception (see Survey results in Attachment 1). Though in some cases, the percent improved was too small to be statistically valid, there were some larger percent increases that are considered to be significant. The aggregate of improvement areas indicates that WRPS is moving positively on the journey to SCWE excellence.

Assessment observations from individual and group interviews, field associated work activity observations, and documentary evidence validated the survey results, or, in most cases, showed even stronger evidence of an effectively implemented SCWE. Individual interviews (191) were conducted with:

- 94 Bargaining Unit Employees
- 44 Professionals
- 40 Managers
- 13 DOE-ORP Oversight Representatives (7 Facility Representatives, 6 Managers)

Approximately 90 documents were reviewed to determine the efficacy of implementation and integration of a SCWE into and throughout the WRPS ISMS and Safety Management programs.

Sixteen (16) field work associated activities were observed by the team. Additionally, 800 hours of management time in the field was recently completed under the WRPS Field Execution and Oversight Team (FEOT) activity, an initiative implemented by Senior Leadership to evaluate field work implementation, mentor workers and Field Work Supervisors (FWSs), record observations, and develop an improvement plan to strengthen Conduct of Operations and procedure compliance.

The WRPS and DOE Surveys found ***Focus Area 1 - Leadership*** within WRPS to be effectively implemented (75% to 81%, respectively) with respect to setting SCWE expectations and holding themselves and others accountable for meeting and exemplifying those expectations. Eighty-eight percent (88%) of the WRPS workforce, validated by interviews with workers in this self-

assessment, indicate a clear, demonstrated safety leadership exists. Managers demonstrate their commitment to safety through their actions and behaviors (“Walking-the-Talk”). Management engagement and time in the field showed an improvement from the February 2012 WRPS Survey (77%) to the July 2012 DOE Survey (81%). Line managers were found to listen to workers and act on real-time operational experience. Greater senior and executive management presence in the field is validated through the Management Observation Program (MOP) and Work Site Visit (WSV) Programs (greater than 2600 hours in the field compared to the start of year goal of 200 hours). Leadership is recognized for improving open communication and fostering an environment free from retaliation – from 75 % in the February 2012 WRPS Survey to 82% in the July 2012 DOE Survey. Trust between the workgroup and their immediate manager/ supervisor is described as very high by nearly all of those interviewed during this assessment. Most of those interviewed indicated they feel safe from reprisal when reporting errors and incidents. Workers expressed they feel encouraged and free to raise their safety issues through their avenue of choice. (e.g., Management, HAMTC Safety Reps, Safety & Health Professionals, Human Resources (HR), Employee Concerns Program (ECP), and the Differing Professional Opinion (DPO) Process). Greater than 80% of the workforce recognizes there are a variety of avenues for raising issues. Eighty-four percent (84%) of the workforce indicated that the WRPS leadership sets clear expectations and holds individuals accountable throughout all levels and organizations.

Greater than 85% of the workforce, validated through assessment interviews, found that **Focus Area 2 - Employee/Worker Engagement** workers are engaged in processes for identifying hazards and issues, raising them up through their avenue of choice, and participate in issues resolution and hazard mitigation. Greater than 80% indicated there is a strong teamwork mentality and clear demonstration of mutual respect shown among peers and between management and the workers. For example, workers assigned to Area Teams within Base Operations (BO) indicate they feel significantly more engaged and an integral part of the team than they did previously. Management openly communicates with the workforce in a manner that the workers feel informed and knowledgeable about their work and safety environment. The daily 0640 operations status meeting and the 1600 end of the day meeting for the BO Area Teams provides information on safety and work performance, resources, and lessons learned from the day’s work activities. Eighty percent (80%) of the workforce indicate that individuals at all levels listen to each other and effectively engage in communications to ensure intent is clear and understood, and differing points of view are encouraged.

The February 2012 WRPS Survey indicated that 75% of the workforce, improving to 81% in the July 2012 DOE Survey, perceive that **Focus Area 3 - Organization Learning** is effectively implemented within WRPS. Management credibility and trust, and workers feeling free to report errors and problems without fear of reprisal increased from 76% in the February 2012 WRPS Survey to 85% in the July 2012 DOE Survey. The workers indicated that effective resolution of reported problems increase from 71% in the February 2012 WRPS Survey to 82% in the July

2012 DOE Survey. There is a strong agreement that WRPS employs a Corrective Action Management (CAM) Program that is effective in identifying and resolving issues. It establishes requirements and responsibilities for timely identification, evaluation, and correction of conditions adverse to quality, safety, health, operability, and the environment using the Problem Evaluation Request (PER) process. The process for initiating a PER is available to all personnel (including the WRPS workforce, subcontractors, and DOE). PER information is readily available to the workforce throughout the entire process. The PER process is a “zero-threshold” issue reporting system used to capture, in one system, the issues raised across all organizations and at all working levels.

The CAM process uses the following to ensure quality, maintenance, and improvement:

- PER Users Group to assist in evaluating improvement opportunities
- Collective Significance Review Committee is used to evaluate performance indicators (PIs) and trends
- PER Management Review Board is used to evaluate corrective action tasks to determine if they meet the Long-Term Corrective Action criteria
- Contractor Assurance System (CAS) Senior Leadership Team is used to evaluate company-level performance indicators and trends
- Executive Safety Review Board (ESRB) is used to oversee the causal analysis, reporting, and corrective action plan development for issues identified in Significant PERs and approves Significant PER issues and associated investigations, and review and approve specialty/end point assessments of Significant PERs. Additionally, the ESRB provides effective senior management support for corrective action implementation and provide feedback and direction concerning the focus and conduct of assessments. Furthermore, the ESRB reviews events, issues, and adverse trends with environmental, safety, or quality significance and/or programmatic implications.

In the area of SCWE performance metrics, *(Focus Area 4 - SCWE)* the WRPS workforce perceived an effectively implemented program with 77% agreement shown in the 2012 WRPS ISMS SWE Survey, increasing acknowledgement of a more robust performance metrics program with 81% agreement shown in the 2012 DOE Survey. Documentary evidence clearly indicates that WRPS has Performance and Contractor Assurance Systems that provide a significant depth and breadth of performance indicators and metrics with respect to the company’s performance, including SCWE implementation and effectiveness. WRPS maintains an in-depth company-level performance indicator program. At this level, metrics are maintained for Personnel Safety & Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these program areas is subject to input by the workforce, with trend analysis and examination by numerous levels of management, culminating with a presentation by the PI

owners to WRPS Senior Leadership at the Bi-Weekly Contractor Assurance System Meeting. These PIs are evaluated by the Senior Leadership Team on a monthly basis and decisions are made to implement adjustments to improve trends in the work environment the PI relates to. WRPS also utilizes various different metrics to determine if management reflects a safety first attitude and demonstrates personal, first hand observations in the work environment, listens to workers, and makes changes, when appropriate. WRPS uses the following SCWE-related PIs to monitor a safety first attitude and management presence in the field:

- HGET SWE Survey
- HGET VPP Perception Survey
- WRPS Monthly Performance Dashboard Indicators (~38)
- PER Satisfaction Surveys
- Employee Concerns Program Metrics
- WRPS All Employee SCWE Survey Data
- MOP and Work Site Visits (WSV) PIs - WSV is a meaningful face-to-face interaction between senior managers and workers in their work environment. A WSV includes meetings/interactions where there is meaningful dialogue with workers. The requirement to perform WSVs applies to all Level 0 and Level 1 managers, and Level 1 deputy managers.

WRPS uses its ISMS SWE Expectations and reinforcement from the WRPS President/Project Manager to provide a clear understanding of expectations for management's presence in the field/workplace with their workers. WRPS ISMS Expectations include:

- Management Expectation M3 – Be in the field/work place with your employees
- Senior Management Expectation SM 5 – be visible in the field/work place with your employees
- WRPS ISMS Expectation M2 – Maintain a safe work environment where employees feel free to raise issues without fear of reprisal
- SM11 – Support the right of any member of the workforce to raise any concern and to have that concern addressed in a timely, effective and respectful manner without fear of retaliation. Be available to resolve any issue of concern.

WRPS maintains a set of Key Performance Indicators that are used to demonstrate the organization maintains nuclear facilities in a manner that supports both production and the safe performance of work through monitoring trends and changes present in performance indicators such as: 1) the number and age of Lock Out / Tag Out (LO/TO) hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or impaired safety systems. Collectively, these are used to help management evaluate the balance between safety, schedule, and production.



During the course of this self-assessment, the following Noteworthy Practices and Opportunities for Improvement were identified and are provided below. Focus Areas are identified in “( )” after each Noteworthy Practices and Opportunity for Improvement (e.g., (F1) = Focus Area 1).

Noteworthy practices include:

- Monday morning tailgates for their safety focus and management involvement/commitment to safety (F1)
- Leadership training and personnel development implemented by Base Operations and the ESH&Q organization (F1)
- Joint Review Group (JRG) process integrates attending worker feedback into the evaluation process (F1)
- The morning 0640 integrated shift briefing between 222-S Lab, Retrieval and Closure, Tank Farm Projects, Base Operations, and the President’s Office; expectation for flowing information from the meeting down to the workers in the field (F2)
- The 1600 end of the day meeting held at Base Operations for each Area Team to go over the day’s events with a focus on safety and efficiency improvements; each Area Team and its full complement of workers come together to discuss issues of the day and expectations for the next workday (F2)
- The Contractor Assurance System (CAS), consisting of WRPS senior leadership, meets to discuss safety and performance efficacy to determine program weaknesses and improvement needs. (F3)
- The ESRB is the pinnacle of WRPS’ organizational performance monitoring and is comprised of the WRPS senior leadership team, with the WRPS President/Project Manager designated as the Chair. The WRPS senior leadership team is involved in all phases of safety and work performance monitoring, problem analysis, solution planning, and solution implementation to resolve safety issues. (F3)
- The comprehensive structure and institutionalization of the WRPS Safety Culture/SCWE Program throughout the ISMS and Safety Management Programs is recognized by the workforce as effectively implemented. (The components of the WRPS SCWE program are described in detail in Focus Area 4 of the Results Section of this report) (F4)

Opportunities for improvement include (these improvement opportunities are captured in the WRPS PER System):

- Continue to emphasize and strengthen management presence in the field (F1) (PER 2012-2118)
- Once the leadership training has matured in Base Operations and the ESH&Q organizations, implement across other organizations within the company (F1) (PER 2012-2119)

- Reinforce management expectations for holding and attending tailgates and safety meetings throughout the WRPS Organization. (F1) (PER 2012-2121)
- Continue with efforts to improve communications between work groups (TFP, R&C, Base Operations, 222-S Lab, and the President's Office). With the communication improvements made with the 0640 morning meeting, more opportunities for sharing information should be evaluated for improving communications throughout the workforce. (F2) (PER 2012-2122)
- Continue enhanced communication of WRPS ISMS Expectations presented at staff meetings, tailgate presentations, and other forms of communication to keep employees focused on our commitment and accountability to these expectations. (F3) (Captured in RPP-PLN-53064 WRPS Safety Culture Improvement Plan)
- Maintain the 2012 WRPS Safety Culture Improvement Plan (RPP-PLN-53064) (F4)

## INTRODUCTION

Washington River Protection Solutions (WRPS) performed a Safety Conscious Work Environment (SCWE) Self-Assessment as part of their annual Integrated Safety Management System (ISMS) declaration report for fiscal year (FY) 2012 as required in the Department of Energy (DOE) Office of River Protection (ORP) October 22, 2012 letter 12-SHD-0109, *Fiscal Year 2012 Annual Integrated Safety Management System (ISMS) and Quality Assurance (QA) Effectiveness Review Declaration*. WRPS followed the guidance provided in DOE Memorandum, Tracy P. Mustin - Principal Deputy Assistant Secretary for Environmental Management, *Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration*, dated September 26, 2012. Criterion 7: *Safety Conscious Work Environment Self-Assessment*, stated... "Safety Conscious Work Environment Self Assessments must be conducted and reported using the *Safety Conscious Work Environment Self-Assessment Guidance*. The WRPS SCWE Assessment (Specialty Assessment) was performed in accordance with TFC-ESHQ-AP-C-07, Revision G-5, *Management and Specialty Assessment (10/24/12)*.

The DOE ISMS Guide provides a set of characteristics for each safety culture attribute. The characteristics for each safety culture attribute were developed to promote a shift from mere compliance toward excellence in both safety and production performance. These characteristics were evaluated for their relevance to SCWE and subsequently used by DOE to develop self-assessment Lines-Of-Inquiry (LOI). Benchmarking SCWE to the level of excellence defined by the characteristics associated with the ISMS Focus Areas is intended to create assessment results that help to drive toward continuous improvement. Through the use of LOIs, assessment team members assessed the effectiveness of SCWE-related programs and the manager/supervisor role in nurturing a SCWE by demonstrating behaviors, such as listening to employees and not allowing safety issues to languish.

Safety culture is manifested in the attitudes and behaviors of an organization's workers. The results of these attributes and behaviors were observed and indirectly measured in performance metrics. A perspective on the results of an organization's behavior was gained through an evaluation of performance metric data.

### *ISMS SCWE Self-Assessment Preparation*

The WRPS SCWE Self-Assessment was conducted from November 5 through November 16, 2012. In accordance with the DOE SCWE Self-Assessment Guide, WRPS developed the *WRPS ISMS Safety Conscious Work Environment Self-Assessment Plan (WRPS FY2013-ECP-0376)*, included as Attachment 2 of this report. As required by the Assessment Guide, the following preparation activities were conducted:

1. The WRPS ISMS SCWE Self-Assessment Team Lead identified the assessment team in accordance with the DOE Self-Assessment Guide. DOE's Assessment Guide directs that all personnel conducting the self-assessment should be knowledgeable of the principles associated with safety culture and a SCWE.
2. Two members of the Assessment Team were required to be approved by the DOE ORP ISMS Point of Contact: the Team Advisor – Mr. Mark Steelman; and the Team Executive – Mr. Frank McCoy. DOE ORP provided its acceptance of both of these individuals. Additionally, WRPS identified a representative from ORP to participate in conducting the assessment. Courtney Blanchard, DOE ORP VPP Champion, was approved by ORP for participation.
3. The WRPS ISMS SCWE Self-Assessment Plan was also submitted to DOE ORP for their review and concurrence, which was provided. The Plan provides for the evaluation of each of the Focus Areas and Attribute Lines of Inquiry (LOI), as required by the DOE HQ Guide. These LOIs are provided in a table along with questions to address each LOI (see Attachment 1).
4. The Team Leader confirmed that each of the assessment Team Members had been trained in accordance with the WRPS TFC-ESHQ-AP-C-07, Revision G-5, *Management and Specialty Assessment* (10/24/12).
5. Biographies for each Assessment Team Member was obtained and included in the SCWE Self-Assessment Plan (see Attachment 2).
6. An advance schedule for the upcoming week's work activities was obtained to assist in determining which activities should be included as a part of the assessment review.
7. Documents were also identified and obtained for review by assessment members.
8. On October 30, 2012, the Assessment Team Leader and the Team Advisor briefed the WRPS Senior Leadership team on the upcoming Self-Assessment.
9. On November 5, 2012, in order to keep the workforce informed, the WRPS *Solutions Newsletter* included an article about the SCWE Self-Assessment kicking off on November 5, 2012.
10. DOE's Assessment Guide directs that all personnel conducting the self-assessment should be knowledgeable of the principles associated with safety culture and a SCWE. On November 5, the WRPS Team Leader kicked off the SCWE Self-Assessment with the Assessment Team. All Assessment Team Members received a 2-hour training session on SCWE, including a brief on the history on the SCWE activities and initiatives at Tank Farms. Additionally, training on performing the Self-Assessment in accordance with the DOE HQ Guide was conducted.
11. Sub-Team Leads and members were identified for each SCWE Focus Areas:
  - a. Focus Area 1 – Leadership
  - b. Focus Area 2 – Employee/Worker Engagement

- c. Focus Area 3 - Organizational Learning
  - d. Focus Area 4 – SCWE
12. Focus Area – Attribute Safety Culture Assessment Forms were provided to each Focus Area Sub-Team Lead for team use in documenting observations and conclusions of assessment activities. Direction was provided by the Assessment Team Lead that the Sub-Team Leads were responsible to record assessment observations from the Forms to the WRPS SCWE Self-Assessment Detail-Level Table each day. These results were discussed each day at the daily status meeting.
  13. Daily Status Meetings were held at the end of each day of the data gathering activity. The meeting included a discussion of team expectations, the identification of any imminent safety issues observed or offered up by an interviewee, status of observations by Focus Area Sub-Team Leads on observations made, identification of any problems or issues, and projection of activities to be conducted the next day.
  14. At the end of the data gathering period, each Focus Area Team Lead was asked to provide a summary level description of observations for each Focus Area, Attribute, and LOI, and respective proposed Ranking, for rollup into the overall WRPS SCWE Self-Assessment Summary-Level Table (see Attachment 1).

Methods Used for Performing the Self-Assessment

The lines of inquiry (LOIs) were developed from the ISMS Guide, DOE G 450.4-1C, and *Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration*, dated September 26, 2012, Criterion 7: *Safety Conscious Work Environment Self-Assessment*. This set of LOIs has been developed for use by the team to perform this assessment and are included in a table breaking the LOIs down into their respective SCWE Focus Areas and Attributes (Attachment 1 of the SCWE Self-Assessment Plan).

To develop a complete picture of performance associated with each LOI, the Assessment team used a combination of data collection methods. These include document analysis, WRPS All Employee ISMS/SCWE survey, personnel interviews, and observation of group dynamics and situations (e.g., meetings, fieldwork).

Direct observation of work place behavior:

The team evaluated workforce activities that implement mechanisms/processes that could impact safety culture/behaviors for all work activities from the planning stages of work activities to feedback, including reviews of work packages and hazard analysis/controls, attendance at pre and post-job briefings, and field observation of work performances.

Face-to-face interviews:

The assessment team used semi-structured interviews in which the main questions to be discussed are defined based on the LOIs. To make interview situations natural and easier for the

interviewee, interviews, to the extent practical, were conducted while the employee was in their normal work setting.

Review of key safety culture related processes:

The Assessment team reviewed the following types of documentation. Specific documentation reviewed included, but was not limited to:

- Employee Concerns Program policies and procedures.
- HR related policies and procedures relative to harassment and retaliation.
- WRPS ISMS Behavioral Expectations
- Procedures and policies related to stop work authority
- WRPS All Employee ISMS/SCWE Survey, DOE Hanford Site Organizational Climate & Safety Conscious Work Environment (SCWE) Survey.
- Assessment procedures, schedules and completed assessments, management observations and associated training materials
- Organizational improvement training materials
- Records from the Contractor Assurance Systems (CAS) and associated management review meetings (e.g., Senior Leadership CAS meetings, Collective Significance Review (CSR), PER User Group meetings).
- Communication plans and associated products related to safety
- Performance measures/indicators
- Differing Professional Opinions (DPO)
- Contract mechanisms (subcontractor flow down)

Team members documented their reviews and observations on the Safety Culture Assessment Form (see Attachment 2 Sample Form in Assessment Plan) and included the following:

- Document the pertinent Assessment information and observations for each LOI
- Noteworthy practices observed during the Specialty Assessment
- Recommendation(s) for potential improvement to responsible management

Each Assessment Team Member was provided Safety Culture Assessment Forms for capturing their observations and interview information for each LOI. From the Safety Culture Assessment Form, the Focus Area Sub-Team Leads transferred the detailed results into the WRPS SCWE Self-Assessment – 2012 (Detail-Level) Table. This information was then evaluated by the Focus Area Team Lead for summarization in the WRPS SCWE Self-Assessment – 2012 (Summary-Level) Table (Attachment 1 of this report). A proposed Rating for each LOI, Attribute and the overall Focus Area was also provided by the Focus Area Team Lead. On the final day of data gathering, the full assessment team gathered together to evaluate the results of all of the compiled observations. A consensus of the full team was sought for the summary statement for each LOI, Attribute, Focus Area, and their respective Rating.

The DOE HQ guidance did not require a pass/fail determination with regard to each attribute within a focus area; however, an informal evaluation of the level of implementation and

effectiveness of the expectations described in each attribute was a means to guide the team when drawing conclusions and making recommendations for the three focus areas and one supplemental assessment area. The evaluation summaries are based on the stages that an organization goes through in developing a mature safety culture, as described in Attachment 11 of the ISMS Guide (derived from the IAEA's Safety Culture Maturity Model). They represent a way to benchmark the implementation and effectiveness of a safety culture.

<p><i>DOE Guidance - Chose the summary evaluation that best describes the level of <b>Implementation and Effectiveness</b> for each attribute.</i></p>	
<p>Implemented and Effective (I&amp;E)</p>	<p>Evidence demonstrates that the expectations described in the attribute are routinely demonstrated in a repeatable, reliable manner. Processes are aligned with outcomes and performance is monitored to ensure that desired results are achieved.</p> <p><i>WRPS interprets this rating as follows: Objective evidence (interviews, survey data, metrics, performance indicators, field observations, processes, and documentation) supports the expectations described in the attribute. In addition, the attribute is institutionalized and can be demonstrated in a repeatable and reliable manner. Furthermore, while WRPS believes this attribute is implemented effectively, it will always be monitored for improvement and over time will be improved, as warranted.</i></p>
<p>Partially Implemented or Partially Effective (PI/E)</p>	<p>Evidence demonstrates that the expectations described in the attribute are not routinely demonstrated in a repeatable, reliable manner. Processes are partially in alignment with outcomes and performance is not monitored to ensure desired results are achieved.</p>
<p>Not Implemented or Not Effective (NI/E)</p>	<p>Insufficient evidence -or- evidence demonstrates that the expectations described in the attribute are not being met. Processes are substantially misaligned with outcomes and performance is not repeatable or not being achieved.</p>

## ASSESSMENT RESULTS

*WRPS SCWE Self-Assessment – 2012 (Summary-Level)*, Attachment 1 of this report, provides the summary-level description of the observations made by assessment team members for each LOI, Attribute, and Focus Area, including their respective Ratings. The information in this summary-level table is derived from the *WRPS SCWE Self-Assessment – 2012 (Detail-Level)* table used for capturing all of the specific assessment details from interviews, document reviews, field work observations, and results of the WRPS and DOE SCWE Surveys. The Team Member signatures at the front of this report represent their respective concurrence for the results, conclusions, and ratings expressed herein.

To commence the assessment, members of the assessment team compared and reviewed the results of the 2012 WRPS SWE Survey with the results of the DOE Survey to gain a perspective of where the workforce perceives strengths and weaknesses in the WRPS SCWE. This analysis helped the team focus on particular areas to gain greater insights into worker perceptions. The comparative results are found in Attachment 1 of this report and are summarized here:

	<u>WRPS Survey</u>	<u>DOE Survey</u>
• Leadership	75%	81%
➤ Demonstrated Safety Leadership	83%	83%
➤ Management Engagement/Time in the Field	77%	81%
➤ Open communication and fostering and environment free from retribution	75%	82%
➤ Clear expectations and accountability	84%	80%
• Employee/Worker Engagement	85%	82%
➤ Teamwork and Mutual Respect	79%	82%
• Organizational Learning	75%	81%
➤ Credibility, trust and reporting errors and problems	76%	85%
➤ Effective resolution of reported problems	71%	82%
➤ Performance monitoring through multiple means	71%	84%
➤ Questioning Attitude	76%	78%
• SCWE Metrics	77%	81%
➤ Performance metric insights into SCWE	77%	81%

### *Focus Area 1 – Leadership*

The assessment team has determined that there is clear evidence of demonstrated safety leadership within WRPS (see Attachment 1). The WRPS workforce has indicated the Leadership Focus



Area within the company is effectively implemented through their survey results (75% - WRPS SWE Survey, 81% - DOE Survey). Safety practices, processes, and procedures are fully integrated into the way work is planned, hazards are identified, controls are put into place to protect the workers, the environment, and the public, work is performed within the controls, and then analyzed for future improvement opportunities (88% agree - 2012 WRPS ISMS SWE Survey). These systems are institutionalized into each of the ISMS Core Functions and Guiding Principles. Tools and processes are in place to address work expectations when unexpected or uncertain conditions are found (89% agree – 2012 ISMS SWE Survey). Safety is balanced with production, with safety as an overriding priority or value. Management commitment to safety is overtly demonstrated through processes, controls, holding themselves and others accountable with expectations for raising up issues and concerns, and clearly showing workers their support by “walking the talk” (82% agree – 2012 ISMS SWE Assessment).

There is clear evidence that management is engaged and spends time in the field/work place with their workers to address issues real-time (74% agree – 2012 ISMS SWE Survey). Management reviews and communicates the status of work activities and sets the expectation for information to flow throughout the workforce. WRPS’ ISMS Safe Work Environment Behavioral Expectations clearly establish expectations for management and the Senior Leadership Team to be in the field/work place with their workers, looking at problem areas to gain a clear understanding of the issues, and working together with the work force to resolve issues and concerns. Workers indicated they have seen more of their respective management team than ever before. Seventy-five percent (75%) of the employees indicated they have seen a significant increase of management presence in the field (WRPS SWE Survey – 2012). The WRPS President and Project Manager has also set the expectation for management presence in the field, and supports that expectation by being present in the field and associated work places on a frequent and routine basis.

One area that the workforce identified in the WRPS 2012 SWE Survey as an opportunity for improvement was professional development. This assessment identified a recognized significant improvement in management’s commitment to professional growth through opportunities such as Industrial Hygiene/Safety professional development through certifications and leadership training, Engineering Leadership training and staff rotation opportunities, continuing training for work planners who wish to continue college and professional development (Supervisor Safety Training certificate), ESH&Q Leadership training based on Maxwell’s 5 Levels of Leadership for Level 2 and 3 managers and FWS/FLMs, the WRPS Strategic Talent Advancement for Results (STAR) Program, and the Leadership Training for Level 2 and 3 managers in Base Operations.

The workforce has indicated that there is a high level of trust within their workgroup and their FLS/FLM (75% in WRPS Survey and 82% in the DOE Survey). Workers interviewed indicated that reporting of individual errors is encouraged and valued by management. One indicated that

management treats these errors as “unplanned learning opportunities” and that the manager would work with the individual to determine where the true weakness existed and focuses on that particular area for improvement. There appears to be an increasing number of the workforce that feels free to raise up their issues without fear of reprisal. Workers expressed that they feel encouraged and free to raise their safety issues through whatever avenue they are comfortable using. (e.g., management, HAMTC Safety Representatives, Safety & Health Professionals, HR, ECP, and the DPO Process)

One significant area of improvement identified that many interviewees felt that the Base Operations team concept has helped in encouraging workers to feel free in raising up issues without fear of reprisal. There appears to be greater ownership and a team-work approach where workers from different crafts and management are getting along and working together much better than in the past.

A vast majority of those interviewed indicated that discipline is applied fairly and consistently across WRPS. Management is observed holding individuals at all organizational levels accountable to the WRPS ISMS Behavioral Expectations and Standards of Conduct. These expectations are clearly communicated without conflicting messages from other areas that could confuse the message.

#### *Focus Area 2 – Employee/Worker Engagement*

The assessment team has determined there is clear evidence of demonstrated Employee/Worker Engagement within WRPS (see Attachment 1). The WRPS workforce has indicated, through their survey results (85% - WRPS SWE Survey, 82% - DOE Survey), that they feel that Employee/Worker Engagement within the company is effectively implemented. A majority of those interviewed indicated there is good teamwork and mutual respect among their workgroups where communications and conversations are open and honest, and everyone is treated with respect and dignity (80% agree – 2012 ISMS SWE Survey). One example of this is the WRPS Joint Review Group process where craft workers are invited along with SMEs and management, to discuss safety concerns and hazards of medium and high risk work. Workers are encouraged and welcomed to fully participate in the review and analysis process. Many opportunities exist within the company for receiving information (morning shift briefing, Plan of the Day, Tailgates, Safety Meetings, pre and post-job briefings, work planning sessions, walk downs, etc.). This is exemplified through the communications flow down from management to all field workers from the “0640 Hours Morning Status Meeting.” Open conversations with peers and supervision regarding safety do occur without fear of reprisal. The majority of those interviewed stated they do have open conversations with their peers and supervision regarding safety issues. This is exemplified by the BO “1600 Hours Area Team meetings” where the full complement of each team come together and discuss the day’s work achievements, issues, lessons learned, and plans for the next day’s work expectations. However, 4 of the 54 interviewees stated they did not feel

that open communications between peers or supervision occurred effectively. A majority of individuals at all levels of the organization actively listen to each other to ensure they understand the meaning, intent, and viewpoints being communicated. Differing points of view are encouraged. When disagreements exist, HAMTC Safety Representatives and Subject Matter Experts are brought in to help arrive at an equitable resolution. While the vast majority indicated communications, discussions, and decisions are effective within their respective work groups, some indicated there continues to be weaknesses/barriers between organization groups (Retrieval and Closure (R&C), Projects, and Base Operations). This weakness was identified through the results of the WRPS 2012 SWE Survey and improvement plans have been developed within the various organizations to address these weaknesses/barriers. It has been recognized that some improvement in this area has been observed over the last few months. When disagreements about safety are raised, the focus is on the issue, rather than the individual (74% - WRPS SWE Survey). Both good news and bad news are valued and shared. When bad news is discussed, the vast majority of the employees interviewed indicated the tone is usually serious and focused, and commonly shifts to discussing improvements.

### *Focus Area 3 – Organizational Learning*

The assessment team has determined that there is clear evidence of demonstrated organizational learning within WRPS (see Attachment 1). The WRPS workforce has indicated, through their survey results (75% - WRPS SWE Survey, 81% - DOE Survey), they feel Organizational Learning within the company is effectively implemented. Credibility and trust among the workers and management is continuously nurtured resulting in a high level of trust for appropriate decision-making regarding safety (84% agree - WRPS SWE Survey). Organizations, managers, and line supervisors provide accurate and timely information, are open and honest, encourage reporting of issues and individual errors without fear of reprisal, demonstrate integrity and adhere to ethical values and practices to foster trust (“Walk-the-Talk”), use mistakes as learning opportunities rather than blame, and recognize individuals for demonstrating behaviors consistent with the WRPS Safety Culture principles.

An improvement has been recognized by the workforce for improving effective resolution of reported problems (from 71% in the WRPS SWE Survey (February 2012) to 82% in the DOE Survey (July 2012)). Through documentation reviews and interviews, the WRPS Corrective Action Management (CAM) Program has been found to be effective in identifying and resolving issues through processes established in accordance with the WRPS Quality Assurance Program Description and implemented through the Problem Evaluation Request (PER) procedure. A PER Users Group is chartered as an advisory board consisting of representatives from the Contractor Assurance Manager’s office, the CAM, Project Contract Assurance Managers, HAMTC Safety Representatives, and representatives from across the company’s various operations organizations. This group’s objectives are to: achieve consistent and effective application of the corrective action

process, continuous improvement, provide a conduit for communications, and issue resolution regarding issue management processes, improve feedback/involvement, and more effectively identify lessons learned opportunities. WRPS also uses a Collective Significance Review (CSR) committee that holds quarterly meetings to identify adverse trends or other indications requiring action. Conclusions reached are considered potential issues and referred for further validation by responsible managers in the organization. The Contractor Assurance Manager is responsible for reporting the results of the CSR to the senior leadership team that comprises the Executive Safety Review Board (ESRB) and initiating a PER for each issue identified. Additionally, the Problem Evaluation Report Management Review board evaluates PER-associated tasks to determine if they meet the Long-Term Corrective Actions criteria. The purpose of the ESRB is to oversee the causal analysis process, reporting, and corrective action plan development for issues identified in Significant PERs, approve Significant PER issues and associated investigations, review and approve specialty/end point assessments of Significant PERs, provide strong senior leadership support for corrective action implementation, and provide feedback and direction concerning the focus and conduct of assessments. ESRB reviews events, issues, and adverse trends with environmental, safety or quality significance and/or programmatic implications.

WRPS uses various forms of assessment tools to help identify, examine, and communicate organizational weaknesses that provide opportunities to close gaps and improve processes: Assessment Program Plan and procedures; Integrated Assessment Schedule; Management Observation Program (MOP); and the Work Site Visit (WSV) Program (81% agree – 2012 ISMS SWE Survey). Results of assessments are documented in assessment reports, and issues identified are documented in the corrective action management system via the PER process. Performance to the Integrated Assessment Schedule for management, independent, and Radiological Control Triennial Assessments are tracked by company level performance indicators. MOP and WSV performance is tracked by a company level performance indicator for work order field execution and MOP/WSV participation by management.

WRPS Corrective Action Management has instituted a PER Originator Satisfaction Survey. Each PER originator is offered the opportunity to evaluate how the PER process reflects their satisfaction of their overall PER experience from problem identification to resolution. This process helps the Corrective Action Group continue to be informed, analyze, and improve, as noted by some of the survey results below:

- Overall, how timely is the PER system – 95.2% positive response.
- 95.1% responded felt they were comfortable using the PER system.
- 100% responded that their management supported the use of the PER system.
- 94.4% felt the PER resulted in resolution of their issue.
- 84.6% felt their PER issue was resolved in a timely manner.
- 97.2% felt adequate management attention was paid to resolving the issue on the PER.

All surveyed felt the PER system was effective at resolving the issue.

WRPS implements (71% - WRPS 2012 SWE Survey, increased to 84% - DOE Survey) numerous organizational systems and processes designed to provide layers of defense against permitting accidents and events from occurring: Lessons Learned using the Hanford HILLS/OPEX system for dissemination with recommendations that should help prevent recurrence of same or similar problems and events; Conduct of Operations and Human Performance Improvement Steering Committees and initiatives for identifying error likely situations and organizational weaknesses; Joint Review Group meetings; Event Investigation processes; apparent and root cause analyses; Employee Accident Prevention Councils; Technical Safety and Health Committees; and the ALARA Committee; Peer Safety Observer Program; Employee Concerns Program; pre-job briefings, job hazards walk-downs; post-job reviews; safety meetings; in-process ALARA reviews; and labor organization input. Many of these encourage and solicit worker input and involvement to obtain their insight and experience.

WRPS uses extensive company-level and organizational-level performance metrics to continuously evaluate trends and performance over time. The WRPS workforce has recognized a significant increase in management monitoring performance through multiple means (71% in the 2012 WRPS ISMS SWE Survey to 84% in the 2012 DOE Survey). Metrics are maintained for Personnel Safety & Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these areas is subject to trend analysis and examination by numerous levels of management, culminating with a presentation of metrics and analyses to the CAS and ESRB. The quarterly CSR committee reviews most of the WRPS performance metrics for trends and adverse indications requiring potential action. Conclusions reached are considered potential issues and referred to the ESRB for evaluation.

Eighty-two percent (82% - 2012 WRPS SWE Survey) of the workforce have recognized that line management demonstrates their commitment to safety through their actions and behaviors. MOPs and WSVs promote and achieve management presence in the field/workplace with their workers, demonstrating values of safety, integrity, teamwork, productivity, and results. In FY2012, WRPS management has performed over 2600 work order field execution MOPs/WSV hours, well exceeding the goal of 200 hours.

The WRPS contractor assurance system identifies and addresses program and performance deficiencies and opportunities for improvement, provides the means and requirements to report deficiencies, establishes and implements corrective and preventive actions, and shares lessons learned. These activities include assessments and other structured operational awareness activities, lessons learned programs, accident investigations, worker feedback mechanisms, performance

indicators/ measures, incident/event reporting processes, and issues management. These processes include analysis of causes, identification of corrective actions and recurrence controls, corrective action tracking and monitoring, closure of corrective actions and verification of effectiveness, analysis of trends, and identification of continuous improvement opportunities. The pinnacle of WRPS' organizational performance monitoring is executed by the ESRB. The ESRB is comprised of the WRPS senior leadership team, with the WRPS President and Project Manager designated as the Chair. Meetings are typically held on a bi-monthly basis. A detailed agenda and meeting minutes are maintained to document issues addressed, approvals, specific action items assignments, and due dates for issue resolution. The WRPS senior leadership team is involved in all phases of performance monitoring, problem analysis, solution planning and implementation to resolve safety issues.

Greater than seventy-five percent (75%) of the workforce (76% - WRPS 2012 SWE Survey, 78% - 2012 DOE Survey) indicated that management encourages a vigorous questioning attitude on safety issues/concerns, and foster constructive dialogues and discussions on safety matters. Workers pay attention to current operations and focus on identifying situations where conditions and/or actions are diverging from what was assumed, expected, or planned. Individuals and leaders act to resolve these deviations early before issues escalate and consequences become large (87% - WRPS 2012 SWE Survey).

#### *Focus Area 4 – SCWE*

The assessment team has determined there is clear evidence of a demonstrated safety conscious work environment within WRPS (see Attachment 1). The WRPS workforce has indicated the SCWE within the company is effectively implemented through their survey results (77% - 2012 WRPS SWE Survey, 81% DOE Survey). WRPS uses the Performance Assurance System data/information to provide insight regarding SCWE and to ensure the organization learns from safety concerns. WRPS maintains an in-depth company-level performance indicator program. At this level, metrics are maintained for Personnel Safety & Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these areas is subject to input by the workforce including trend analysis and examination by numerous levels of management, culminating with a presentation by the PI owners to WRPS Senior Leadership at the Bi-Weekly Contractor Assurance System (CAS) Meeting. These PIs are evaluated by the Senior Leadership Team on a monthly basis and decisions are made to implement adjustments to improve trends in the work environment the PI relates to. Numerous PIs related to the Corrective Action Management Program are evaluated on a frequent and periodic basis:

- Contractor Assurance System PI reviews
- Collective Significance Review (CSR)
- PER Users Group

- Contractor Assurance Performance Dashboard
- PER Originator Contact Request Assignments
- MOP and WSV Program PIs

WRPS also utilizes various different metrics to determine if management reflects a safety first attitude and demonstrates personal, first hand observations in the work environment, listens to workers, and makes changes, when appropriate. WRPS uses the following SCWE-related PIs to monitor a safety first attitude and management presence in the field:

- HGET SWE Survey
- HGET VPP Perception Survey
- WRPS Monthly Performance Dashboard Indicators (~36 SCWE-related PIs)
- PER Satisfaction Surveys
- Employee Concerns Program Metrics
- WRPS All Employee SCWE Survey Data
- MOP and WSV PIs - WSV is a meaningful face-to-face interaction between senior managers and workers in their work environment. A WSV includes meetings/interactions where there is meaningful dialogue with workers. The requirement to perform WSVs applies to all Level 0 and Level 1 managers, and Level 1 deputy managers.

WRPS uses its ISMS SWE Behavioral Expectations and reinforcement from the WRPS President and Project Manager to provide a clear understanding of expectations for management's presence in the field/workplace with their workers. WRPS ISMS Expectations include:

- Management Expectation M3 – Be in the field/work place with your employees
- Senior Management Expectation SM 5 – be visible in the field/work place with your employees
- WRPS ISMS Expectation M2 – Maintain a safe work environment where employees feel free to raise issues without fear of reprisal
- SM11 – Support the right of any member of the workforce to raise any concern and to have that concern addressed in a timely, effective and respectful manner without fear of retaliation. Be available to resolve any issue of concern.

WRPS maintains a set of Key Performance Indicators that are used to demonstrate the organization maintains nuclear facilities in a manner that supports both production and the safe performance of work through monitoring trends and changes present in performance indicators such as: 1) the number and age of LO/TO hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or

impaired safety systems. Collectively, these are used to help management evaluate the balance between safety, schedule, and production.

The comprehensive structure and institutionalization of the WRPS Safety Culture/SCWE Program throughout the ISMS and Safety Management Programs is recognized by the workforce and this assessment team as effectively implemented. Components of the WRPS Safety Culture/SCWE Program are described below:

1. Safety Culture / Safety Conscious Work Environment Charter - 2005
  - a. 11 Attributes derived from Nuclear Power, NEI, NASA, SCWE Best Practices, Medical, Aerospace, NAACP
  - b. Cross organizational Multi-disciplined Team Involvement
  - c. Integrates fully with the DOE ISMS G 414.1 Guidance, Chapter 10, Safety Culture Attributes
2. Developed ISMS Expectations for Behavior in the Workplace Expectations
  - a. Multi-disciplined Team consisting of hourly, salaried, and management representatives
    - i. Expectations: All Employees, Managers and Supervisors, and Senior Management
    - ii. Twice vetted with entire Tank Farm Workforce for review and comment
    - iii. Implemented on April 15, 2005, as a single set of behavioral expectations for Tank Farm Workers. Prior to April 15, 2005, management gave all employees a 90 day implementation grace period, effectively drawing a "Line-in-the-Sand" for full implementation / accountability
    - iv. ISMS SCWE Behavioral Expectations distributed Tank Farm-wide.
    - v. Created a new position, Safe Work Environment Coordinator, to maintain focus and institutionalize SCWE throughout ISMS and Safety Management Program processes, systems and procedures
  - b. Expectations reviewed periodically by SWE Coordinator to ensure currency with "State-of-the-Art" industry applications
  - c. Cornerstone of the WRPS Safety Culture Program.
3. Safety Culture Surveys
  - a. 5 surveys have been completed by all employees since 2004 (on about an 18 month cycle)
    - i. It has been determined that, to gain the greatest worker response, surveys are completed during a dedicated Monthly Safety Meeting
    - ii. Hard copy surveys are sealed in provided envelopes and turned in to the independent consultant for processing
  - b. Hard copy surveys were provided to all employees, at the request of the bargaining unit representatives for confidentiality (address potential concerns about anonymity when using electronic format)
  - c. The survey data is analyzed by:
    - i. Company level
    - ii. Organization level



- iii. Pay group – Management, Exempt Salary, Non-Exempt Salary, Bargaining Unit, and Sub-Contractor
  - iv. ISMS Safety Culture Attribute
  - v. WRPS SCWE Attribute
  - vi. WRPS specific questions on improvement initiatives
  - d. An independent consultant was used to administer, collect, analyze, and provide survey results to Senior Management.
  - e. Senior Management provided survey results to their organizations. Additionally, survey results were posted on the WRPS Website.
4. Safety Culture Survey Analysis
- a. Independent consultant utilizes a DOE compliant (V&V) propriety database to incorporate survey results, including comments
    - i. Each survey receives, at the time of input, a computer-generated unique identifier, that aids in quality validation of the data, and to be able to track survey results to comments received, if necessary
  - b. Independent consultant analyzes the raw data and comments to gain a clearer understanding of survey results
    - i. Comments are not provided to the company, but are used by the consultant to clarify understanding of survey results
  - c. Weaknesses identified from the surveys result in improvement plans/ initiatives at both the Company Level and Organizational Level.
    - i. Improvement Plans are developed utilizing cross functional and cross pay group representatives
    - ii. Organizational Improvement Plans are evaluated by the SWE Coordinator to ensure no divergence with the WRPS company level Improvement Plans
    - iii. Improvement Plan Corrective Actions are tracked in a spreadsheet to demonstrate action completion, along with evidentiary documentation
    - iv. Improvement Plan corrective actions are evaluated in follow-on surveys, after at least a year of runtime, to determine if implementation has been effective
5. Safety Culture Training
- a. New Employee Safety Culture Training
  - b. HGET and HGET Refresher includes a survey questionnaire
    - i. Tracked as a PI by the WRPS SWE Coordinator
    - ii. Shared with CSR and Senior Leadership Team on periodic basis
  - c. All manager/supervisor training emphasizing Safety Culture values
    - i. All managers/supervisors receive as a part of the training, a SWE Guide, the “ISMS SWE Expectations”, and sign a “Commitment to Free Flow of Information” sheet for posting in their office
  - d. All employees receive a personal copy of the WRPS ISMS SWE Expectations
  - e. All employee SWE Training – focused on encouraging raising issue, treating each other with dignity and respect, how to raise issues without fear of HIRD
  - f. What is Protected Activity and the proper way of raising issues – all employees

- g. Implementation of a SCWE oriented disciplinary process using a formal Disciplinary Review Board to ensure fairness, consistency, and a retaliation-free determination
- h. All managers focus groups regarding active listening and role playing
- i. WRPS Ethics Manual, containing expectation for raising up issues and the various avenues for doing so – Required Reading for all employees annually
- j. Specialized training for managers and workgroups, at management's request

## CONCLUSIONS AND RECOMMENDATIONS

Based on the results of the information gathered for this self-assessment, the interviews, field work associated activity observations, and documentary evidence, the WRPS Safety Conscious Work Environment is found to be implemented and effective, and can be described as effectively implemented (see Attachment 1 – WRPS SCWE Self-Assessment – Summary Table). Numerous noteworthy practices were identified, as well as potential opportunities for improvement.

(RECOMMENDATIONS: [NOTE: These are contained in the Executive Summary section as Opportunities for Improvement and, therefore, are not duplicated herein.]

### **Focus Area 1 – Leadership and each of its associated Attributes and Lines of Inquiry (LOI) were rated as implemented and effective.**

The WRPS and DOE SCWE Surveys found leadership within WRPS to be effectively implemented (75% to 81%, respectively) with respect to setting SCWE expectations and holding themselves and others accountable for meeting and exemplifying those expectations. Eighty-eight percent (88%) of the WRPS workforce, validated by interviews with workers in this self-assessment, indicate that there is clear demonstrated safety leadership. Managers demonstrate their commitment to safety through their actions and behaviors (“Walking-the-Talk”). Management engagement and time in the field showed a recognized improvement from the February 2012 WRPS Survey (77%) to the July 2012 DOE Survey (81%). Line managers were found to listen to workers and act on real-time operational experience. Greater senior and executive management presence in the field was observed in the field and was validated through the MOP and WSV Programs (greater than 2600 hours in the field compared to the start of year goal of 200 hours). Leadership is recognized for improving open communication and fostering an environment free from retaliation – from 75 % in the February 2012 WRPS Survey to 82% in the July 2012 DOE Survey. Trust between the workgroup and their immediate manager/supervisor is described as very high by nearly all of those interviewed during this assessment. Most of those interviewed indicated they feel safe from reprisal when reporting errors and incidents. Workers expressed that they feel encouraged and free to raise their safety issues through whatever avenue they are comfortable using. (e.g., management, HAMTC Safety Representatives, Safety & Health Professionals, HR, ECP, and the DPO Process)

Greater than 80% of the workforce recognizes there are a variety of avenues for raising their issues, all without fear of reprisal. Eighty-four percent (84%) of the workforce indicated that the WRPS leadership sets clear expectations and holds individuals throughout all levels and organizations accountable.

**Focus Area 2 – Employee/Worker Engagement and its associated Attribute and LOIs were rated as implemented and effective.**

Greater than 85% of the workforce, validated through assessment interviews and observations, indicated that workers are engaged in all processes for identifying hazards and issues, raising them up through their avenue of choice, and participate in issues resolution and hazard mitigation. One example of this is the WRPS Joint Review Group process where craft workers are invited along with SMEs and management, to discuss safety concerns and hazards of medium and high risk work. Workers are encouraged and welcomed to fully participate in the review and analysis process. Greater than 80% indicated there is a strong teamwork mentality and clear demonstration of mutual respect shown among peers and between management and the workers. This is exemplified by the BO “1600 Hours Area Team meetings” where the full complement of each team come together and discuss the day’s work achievements, issues, lessons learned, and plans for the next day’s work expectations. Management openly communicates with the workforce in a manner that the workers feel informed and knowledgeable about their work and safety environment. This is exemplified through the communications flow down from management to all field workers from the “0640 Hours Morning Status Meeting.” Eighty percent (80%) of the workforce indicate that individuals at all levels listen to each other and effectively engage in communications to ensure clear intent and understanding is felt by all, that that differing points of view are encouraged.

**Focus Area 3 – Organizational Learning and each of its associated Attributes and LOIs were rated as implemented and effective.**

The February 2012 WRPS Survey indicated 75% of the workforce, improving to 81% in the July 2012 DOE Survey, perceive that organization learning is effectively implemented within WRPS. Management credibility and trust, and workers feeling free to report errors and problems without fear of reprisal increased from 76% in the February 2012 WRPS Survey to 85% in the July 2012 DOE Survey. The workers indicated that effective resolution of reported problems increased from 71% in the February 2012 WRPS Survey to 82% in the July 2012 DOE Survey. There is a strong agreement, as observed through interviews and observations in the field, that WRPS employs a Corrective Action Management Program that is effective in identifying and resolving issues. It establishes requirements and responsibilities for timely identification, evaluation, and correction of conditions adverse to quality, safety, health, operability, and the environment using the Problem Evaluation Request (PER) process. The process for initiating a PER is available to all personnel (including the WRPS workforce, subcontractors, and DOE). PER information is readily available to the workforce throughout the entire process. The PER process is a “zero-threshold” issue reporting system to capture, in one system, the issues raised across all organizations and pay group levels. This allows for the trending of common issues across the Tank Farms. The CAM process uses a PER Users Group to assist in evaluating improvement opportunities. Additionally, a Collective Significance

Review committee is committed to evaluate performance indicators and trends. During this review, a PER Management Review Board was observed evaluating corrective action tasks to determine if they meet the Long-Term Corrective Action criteria. A Contractor Assurance System evaluates company-level performance indicators and trends. An Executive Safety Review Board oversees the causal analysis, reporting, and corrective action plan development for issues identified in Significant PERs and approve Significant PER issues and associated investigations, review and approve specialty/end point assessments of Significant PERs, provide strong senior management support for corrective action implementation and provide feedback and direction concerning the focus and conduct of assessments. The ESRB reviews events, issues, and adverse trends with environmental, safety or quality significance and/or programmatic implications. These processes were found to be effective through observations performed during this assessment.

**Focus area 4 – SCWE Metrics and its associated Attribute and LOIs were rated as implemented and effective.**

The assessment team has determined there is clear evidence of demonstrated safety conscious work environment within WRPS (see Attachment 1). The WRPS workforce has indicated they feel that the SCWE within the company is effectively implemented through their survey results (77% - 2012 WRPS SWE Survey, 81% DOE Survey). WRPS uses the Performance Assurance System data/information to provide insight regarding SCWE and to ensure the organization learns from safety concerns. WRPS maintains an in-depth company-level performance indicator program (WRPS Performance Dashboard). At this level, metrics are maintained for Personnel Safety & Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these areas is subject to input by the workforce with trend analysis and examination by numerous levels of management, culminating with a presentation by the PI owners to WRPS Senior Leadership at the Bi-Weekly CAS Meeting. These PIs are evaluated by the Senior Leadership Team on a monthly basis and decisions are made to implement adjustments to improve trends in the work environment the PI relates to. Specific examples where this has occurred include:

- Number of significant open EAPC issues – observed by leadership team to be higher than acceptable - provided direction to focus efforts in these areas
- Lockout–Tagout ORPS Events – Negative trend observed by leadership team - provided direction to focus efforts in these areas and train users to drive events down
- Operations Drill Program – Small number of drills were identified as a weakness - provided direction to increase number and variety of drills, and expand participants
- Regulatory Agency Notices of Correction/Violations – Frequency recognized by leadership team as too high provided direction to focus efforts in this area to reduce the trend

- PER Cycle Time (TUF, RES) – Leadership Team observed averages age of PER evaluations were unsatisfactory - provided direction with new goal of completing PER evaluation within 45 days
- Assessment Program MOP/WSV Participation – Senior Leadership Team recognized low management presence in the field - provide direction for greater documented management presence (MOPs, WSVs)

Assessment observations from individual and group interviews, field associated work activity observations, and documentary evidence validated the survey results, or, in most cases, showed even stronger evidence of an effectively implemented SCWE than that shown in the survey results. Documentary evidence clearly indicates that WRPS has a Performance Assurance and Contractor Assurance System that provides a significant depth and breadth of performance indicators and metrics providing data with respect to the company's SCWE implementation and effectiveness. WRPS maintains an in-depth company level performance indicator program. At this level, metrics are maintained for Personnel Safety & Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these areas is subject to input by the workforce including trend analysis and examination by numerous levels of management, culminating with a presentation by the PI owners to WRPS Senior Leadership at the Bi-Weekly Contractor Assurance System (CAS) Meeting. These PIs are evaluated by the Senior Leadership Team on a monthly basis and decisions are made to implement adjustments to improve trends in the work environment the PI relates to. WRPS also utilizes various different metrics to determine if management reflects a safety first attitude and demonstrates personal, first hand observations in the work environment, listens to workers, and makes changes, when appropriate. WRPS uses the following SCWE-related PIs to monitor a safety first attitude and management presence in the field:

- HGET SWE Survey
- HGET VPP Perception Survey
- WRPS Monthly Performance Dashboard Indicators (~38)
- PER Satisfaction Surveys
- Employee Concerns Program Metrics
- WRPS All Employee SCWE Survey Data
- MOP and WSV PIs - WSV is a meaningful face-to-face interaction between senior managers and workers in their work environment. A WSV includes meetings/interactions where there is meaningful dialogue with workers. The requirement to perform WSVs applies to all Level 0 and Level 1 managers, and Level 1 deputy managers.

WRPS uses its ISMS SWE Expectations and reinforcement from the Project Manager to provide a clear understanding of expectations for management's presence in the field/workplace with their workers. WRPS ISMS Expectations include:

- Management Expectation M3 – Be in the field/work place with your employees

- Senior Management Expectation SM 5 – be visible in the field/work place with your employees
- WRPS ISMS Expectation M2 – Maintain a safe work environment where employees feel free to raise issues without fear of reprisal
- SM11 – Support the right of any member of the workforce to raise any concern and to have that concern addressed in a timely, effective and respectful manner without fear of retaliation. Be available to resolve any issue of concern.

WRPS maintains a set of Key Performance Indicators that are used to demonstrate the organization maintains nuclear facilities in a manner that supports both production and the safe performance of work through monitoring trends and changes present in performance indicators such as: 1) the number and age of LO/TO hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or impaired safety systems. Collectively, these are used to help management evaluate the balance between safety, schedule, and production.

## WRPS ISMS SCWE Self-Assessment Document Review List

### Focus Area 1 Documents

TFC-CHARTER-34, Safe Work Environment Charter  
TFC-BSM-HR\_EP-C-02, Employee Discipline  
TFC-OPS-MAINT-C-01, Tank Operations Contractor Work Control  
TFC-OPS-MAINT-STD-02, Work Planning and Work Instruction Development  
TFC-ESHQ-S\_SAF-C-02, Job Hazard Analysis  
TFC-OPS-MAINT-C-02, Pre-Job Briefings and Post-Job Reviews  
TFC-ESHQ-S\_IH-C-17, Employee Job Task Analysis  
TFC-POL-14, WRPS Safety and Occupational Health  
DOE-0336, Hanford Site Lockout/Tagout  
DOE-0343, Stop Work  
TFC-CHARTER-02, WRPS Safety Councils  
FY-2012-TFP-M-0162, Field Execution Oversight Team Management Assessment  
TFC-ESHQ-AP-C-03, Management Observation Program”  
TFC-OPS-OPER-C-54, Senior Supervisory Watch  
WRPS-12-04896, Environment, Health, Safety & Quality-Management Observation Program  
Expectations, November 7, 2012  
TFC-PRJ-PM-C-05, Project Manager Development Program “training use only”  
TFC-ENG-DESIGN-C-47, Process Hazard Analysis  
TFC-ESHQ-Q\_C-C-01, Problem Evaluation Request  
TFC-BSM-HR\_EP-C-02, Employee Discipline  
ISMS behavior Expectations, RPP-MP-003, Integrated Environment, Safety, and Health  
Management System Description for the Tank  
TFC-ESHQ-RP\_ADM-C-11, Joint Review Group  
JRG meeting minutes for TFC-WO-12-5795, TFC-WO-12-2958

### Focus Area 2 Documents

MOP Form WRPS-MOP-2012-2592  
WSV Form WRPS-WSV-2012-0208  
MOP Form WRPS-MOP-2012-2627  
WSV Form WRPS-WSV-2012-0202  
MOP Form WRPS-MOP-2012-2608

### Focus Area 3 Documents

TFC-PLN-02, Quality Assurance Program Description  
TFC-ESHQ-Q\_C-C-01, Problem Evaluation Request  
Interoffice Memorandum WRPS-1002100, PER User Group



TFC-CHARTER-44, Collective Significance Review  
TFC-CHARTER-50, Problem Evaluation Report Management Review Board  
TFC-CHARTER-32, Executive Safety Review Board  
TFC-PLN-10, Assessment Program Plan  
RPP-PLAN-51067, Contractor Assurance Management Plan  
TFC-PLN-83, Assurance System Program Description  
TFC-PLN-119, Radiation Protection Program Assessment Plan  
FY2013 WRPS Integrated Assessment Schedule, Rev - 0  
TFC-OPS-OPER-C-28, Lessons Learned  
Specialty Assessment, FY2012-ESHQ-S-0355, Lessons Learned,  
TFC-OPS-MAIN-C-01, Tank Operations Contractor Work Control,  
TFC-ESH1-RP\_RWP-C-03, ALARA Work Planning  
TFC-OPS-OPER-C-14, Initial Event Investigation Process  
TFC-ESHQ-Q\_ADM-C-11, Root Cause Analysis  
WRPS-1203164 R1, DE-AC27-08RV14800 – Washington River Protection Solutions, LLC  
Response To The U.S. Department Of Energy, Office Of River Protection Surveillance Of Tank  
Farm Project Contractor Assurance System (S-12-Shd-Tankfarm-004)  
12-SHD-0020, CONTRACT NO. DE-AC27-08RV14800 – Surveillance S-12-Shd-Tankfarm-004,  
Washington River Protection Solutions, LLC (WRPS) Contractor Assurance System  
S-12-AMTF-TANK-ARM-011-F01; Event Investigations found to be Non-Compliant to  
Procedure Requirements (WRPS-PER-2012-1270)  
TFC-CHARTER-02, WRPS Safety Council  
TFC-CHARTER-20, Peer Safety Observer Program  
TFC-ESHQ-AP-C-01, Management and Specialty Assessments  
TFC-ESHQ-AP-C-02, Independent Assessments/Audits  
TFC-ESHQ-AP-C-03, Management Observation Program  
TFC-ESHQ-Q\_C-CD-01.2, WRPS Trending Analysis Guidance  
WRPS September 2012 Performance Indicators  
WRPS Radiological Control Performance Indicators, September 2012  
Interoffice Memorandum WRPS-1203581, Second Quarter Calendar Year 2012 Performance  
Report.  
October 2012 WRPS Survey Results on PER System Effectiveness

#### **Focus Area 4 Documents**

WRPS ISMS Safe Work Environment Survey – February 2012  
DOE Hanford Site Organizational Climate & Safety Conscious Work Environment (SCWE)  
Survey – July 2012  
TFC-CHARTER-34, Safe Work Environment Charter  
TFC-CHARTER-32, Executive Safety Review Board  
TFC-CHARTER-20, Peer Safety Observer Program  
TFC-CHARTER-44, Collective Significance Review  
TFC-CHARTER-50, Problem Evaluation Report Management Review Board  
TFC-CHARTER-52, Field Execution Oversight Team  
TFC-BSM-HR\_MA-C02, Employee Concerns Program Procedure  
TFC-BSM-AD-C-10, Differing Professional Opinion Procedure

WRPS ISMS Safe Work Environment Behavioral Expectations  
RPP-PLN-53064, WRPS Safety Culture Improvement Plan  
WRPS Safety Culture / SWE Communications Plan  
Hanford General Employee Training Safe Work Environment Survey PIs  
Hanford General Employee Training Voluntary Protection Plan Survey PIs  
New Employee Safety Orientation Training Module (predominantly SCWE info)  
WRPS Safe Work Environment Training Module – for Managers and Supervisors  
2012 WRPS Code of Business Ethics and Conduct  
Introduction to Safe Work Environment Training – Billie Garde  
WRPS Guide to Safe Work Environment within the Tenets of ISMS for Manager and Supervisors  
Various communications – Messages from Mike, Solutions Newsletter, Tailgates  
WRPS Contractor Performance Assurance Dashboard  
Company-Level Performance Indicators  
Collective Significance Review Package of Performance Indicators and Metrics  
PER Satisfaction Survey Review – Performance Indicators  
Corrective Action Management Metrics and Performance Indicators  
Employee Concerns Program Metrics  
DOE Office of River Protection SCWE Expectations

#### **WRPS ISMS SCWE Self-Assessment Interview List**

President/Project Manager (1)  
Chief Operations Manager (1)  
Executive Sponsor (1)  
Level One Manager (4)  
Managers (19)  
Property Management (1)  
Operations Exempts/FWS's (13)  
Electrician (4)  
Nuclear Chemical Operator (26)  
Radiological Control Technician (39)  
Industrial Hygiene Technician (2)  
HAMTC Safety Representative (3)  
Chemical Technician (7)  
Instrument Technician (2)  
Pipefitter (4)  
Millwrights (2)  
Carpenter (1)  
Maintenance (1)  
Admin Assistant (8)  
Human Resource Representative (2)  
Engineering Specialist (1)  
Training Specialist (1)  
Engineer (2)

Operating Engineer (5)  
Professional (4)  
Safety Professional (1)  
Health Physicist (1)  
Scientist (3)  
Rad Planner (1)  
Scheduler (2)  
Work Planner (5)  
Business Systems Analyst (2)  
Finance Analyst (2)  
Technical Specialist (Procurement) (1)  
Clerk (Finance) (1)  
Accountant (1)  
Subcontract Representative (1)  
DOE Senior Management (5)  
DOE VPP POC (1)  
DOE Facility Representative (7)

### **WRPS ISMS SCWE Self-Assessment Work Activities Observed**

JRG on TFC-WO-12-2958 Disconnect and remove HIHTL from S-102 to S-A Valve pit  
JRG on TFC-WO-12-5795 241-C-107 Install/Operate/Remove Spray Wand in riser #7  
0640 Daily WRPS Morning Meeting  
Planning meeting for TFC-WO-12-5880  
TPM/JHA Planning Meeting and walk down for TFC-WO-12-5832 241-AY Hydro test PW-4532  
FEOT efforts of 2012 (over 800 hours of field observations)  
JRG Meeting  
Pre-Job Briefings (2)  
End-of-Day (4:00pm) Team Meeting (3)

## APPENDIX 1

**WRPS SCWE Self-Assessment Results Table – 2012 (Summary-Level)**  
(Summary Level Information derived from Detailed Results Table- retained in the office of the  
WRPS SWE Coordinator)

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
<b>Focus Area 1 – Leadership</b>	<b>Focus Area 1: Leadership</b>	Bill Ross	(I&E)		75%	81%
<b>Attribute 1: Demonstrated Safety Leadership</b>	<b>1: Demonstrated safety leadership</b>		(I&E)		83%	83%
1.1.a Line managers enhance work activities, procedures and process with safety practices and policies.	1.1.a How are safety practices and policies integrated into your work activities?		(I&E)	WRPS 2012 SWE Survey Results ( Q6, Q36) <ul style="list-style-type: none"> <li>• Safety topics, practices and policies are integrated using safety meetings, lessons learned, work packages, and at the 0640 Daily status meeting</li> <li>• Through Ergo assessments of employee’s work spaces, participating in PSOP observations, participating in Monday morning tailgate meetings and through the Statement of work when developing them for subcontractors</li> <li>• Through the planning process. The JHA, walk downs, LOTO and pre-job planning also support the integration of the safety practices and policies into the work activities through worker involvement.</li> <li>• Through participation on safety councils, work site inspections, safety topics at meetings and topics at staff meetings.</li> <li>• It was noted that one group had not had a scheduled safety meeting for a number of months.</li> </ul>	88%	
1.1.b Leaders acknowledge and address external influences that may impose changes that could result in safety concerns	1.1.b What processes/tools do you use to make decisions regarding safe work performance when faced with unexpected or uncertain conditions?		(I&E)	WRPS 2012 SWE Survey Results (Q37,42,49, Q51c) <ul style="list-style-type: none"> <li>• Tools include the Abnormal Operating Procedures (AOP’s) and the Stop Work Process. Others include the Process hazard analysis process, EJTA’s and JHA’s</li> <li>• Contingency plans are created during work planning, work scope is bounded and if unexpected or uncertain conditions are encountered, stop work.</li> <li>• A number of those interviewed stated they would discuss the situation with their manager, bring in the Safety experts when needed, discuss the situation and possible solutions with other employees.</li> <li>• Procedures, work instructions, training and FWS thought processes are utilized regarding safe work performance when faced with unexpected or uncertain conditions.</li> </ul>	89%	
1.1.c Line managers clearly understand their work activities and performance objectives, and how to safely conduct their work activities to accomplish their performance objectives.	1.1.c How do you balance safety and production with the expectation that line managers understand their work and their performance objectives?		(I&E)	WRPS 2012 SWE Survey Results (Q2j) <ul style="list-style-type: none"> <li>• The vast majority of those interviewed stated Safety is always the overriding priority and has improved over the past several months. That no unsafe practices are allowed or considered. Safety is integrated into work</li> </ul>	69%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<p>documents. Safety and production are balanced by good planning. Work is planned to mitigate hazards prior to field implementation.</p> <ul style="list-style-type: none"> <li>Two individuals interviewed felt that we prioritize safety to a fault. We have a “zero risk” mentality which ignores common sense and actually diminishes productivity to a degree.</li> <li>One individual felt schedule pressure does occur sometimes subtle and other not so subtle.</li> </ul>		
<p>1.1.d Line managers demonstrate their commitment to safety through their actions and behaviors, and support the organization in successfully implementing safety culture attributes, by conducting walk-throughs, personal visits, and verifying that their expectations are met.</p>	<p>1.1.d How does management, from immediate supervisor to senior managers, demonstrate their commitment to safety through their actions and behaviors?</p>		(I&E)	<p>WRPS 2012 SWE Survey Results (Q3)</p> <ul style="list-style-type: none"> <li>Participate in and lead safety meetings and the Monday morning tailgates.</li> <li>Recognition of safe practices thru awards, safety observations (PSOP) and sponsoring workers in safety initiatives such as VPP, EAPC and activities such as stretch for life.</li> <li>MOPs are conducted on a routine basis by managers. An important attribute of these MOPs is a focus on safely performing work. During the summer of 2012 WRPS performed a targeted management in the field effort called the Field Execution Oversight Team (FEOT). This effort included over 800 hours of field observation of work for Safety and Conduct of Operations. It was performed by 35 managers who were temporarily removed from their normal duties to spend 2-3 weeks on the FEOT assignment.</li> <li>Management demonstrates their commitment to safety by responding to any concerns. It appears that in some cases timeliness of follow up by management should be improved.</li> <li>From the interviews of two workers it appears that one group receives little focus on safety from it management chain.</li> </ul>	82%	
<p>1.1.e The organizational mission and operational goals clearly identify that production and safety goals are intertwined, demonstrating commitments consistent with highly reliable organizations</p>	<p>1.1.e What are some examples that demonstrate the balance between safety and schedule? How did you derive that balance conclusion?</p>		(I&E)	<p>WRPS 2012 SWE Survey Results (Q1)</p> <ul style="list-style-type: none"> <li>Stop Work Policy, ISMS process in work control, MOPS, SSW process and WSVs.</li> <li>Safety is the number one priority of the work control process</li> <li>Safety items, Injuries/Illness, Events and Operational Excellence topics are discussed at each 0640 status meeting along with the POD schedule.</li> <li>Participate in safety meeting and EAPC initiatives, PSOPs. Last year during bad weather the personnel were sent home early for their safety rather than staying all day at work.</li> <li>The balance between safety and schedule is in the preplanning of the activity and in the development of lessons learned for future job activities.</li> <li>One interviewee felt that Safety is the priority to a fault. An example of this was the parking lot modifications at 2750. People know how to work and</li> </ul>	88%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				manage their way through a parking lot but we had to make it safer for some unknown and totally emotional reason.		
<b>Attribute 2: Management engagement and time in the field</b>	<b>Attribute 2: Management engagement and time in field</b>		(I&E)		77%	81%
1.2.a Maintaining operational awareness is a priority. Line managers are in close contact with the front-line employees. Line managers listen and act on real-time operational information. Line managers identify critical performance elements and monitor them closely.	1.2.a Are discussions, either formally or informally, held about task status and opportunities for improvement between managers and employees?		(I&E)	WRPS 2012 SWE Survey Results (Q7c) <ul style="list-style-type: none"> <li>Status of work is discussed at the POD and the 0640 morning status meeting. Both managers, FWSs and some SMEs attend these meetings.</li> <li>Persons interviewed understood or participated in routine meeting and daily communication used to understand the status of tasks. Examples include post jobs, close out meetings, the all employee, 1600 meeting that discusses what went right, what went wrong throughout the day and how can we learn from the negative experiences that may have taken place throughout the day.</li> <li>Some workers indicated that their weekly staff meetings are a very useful and often used as a forum for bringing up issues and areas for improvement. The team manager has a very good and open questioning attitude during these staff meetings.</li> <li>For engineering a schedule review meeting happens each Monday there possible improvement opportunities are discussed. For planning, the manager meets routinely with the planners.</li> <li>ESH&amp;Q has an Improvement plan that they are using to show improvements throughout the group.</li> <li>A few workers indicated that suggestions are not always listened to. In particular that their FWS rarely takes their advice or recommendations into consideration.</li> </ul>	74%	
1.2.b • Line managers spend time on the floor and in employee work areas. Line managers practice visible leadership by placing eyes on the work, asking questions, coaching, mentoring, and reinforcing standards and positive behaviors. Deviations from expectations are corrected promptly and, when appropriate, collectively analyzed to understand why the behaviors occurred	1.2.b What are the organization's expectations or requirements for management spending time in the field? Do you feel this expectation is being met? Do work activity improvements happen as a result of management time in the field?		(I&E)	WRPS 2012 SWE Survey Results (Q7a-d) <ul style="list-style-type: none"> <li>Managers are to perform MOPs. The number varies per month. Expectations have been issued from Base Operations, WRPS Projects and SST R&amp;C and the ESH&amp;Q on the expectations of being in the field and performing management observations (MOPs). Others discussed that it was in tier performance development planner for the year.</li> <li>Some of those interviewed discussed the 25% rule in which management was expected to be in the field approximately 25% of the day. They commented that the management staff is getting to the field more but that the problem is that they all happen at the end of the month which indicates they are doing it to satisfy a requirement instead of just doing it because it is the right thing to</li> </ul>	75%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				do. <ul style="list-style-type: none"> <li>Two workers interviewed knew that management is supposed to be in the field at a specific rate however, they rarely see their management in the field or even in the outer areas.</li> </ul>		
1.2.c Managers set an example for safety through their personal commitment to continuous learning and by direct involvement in high-quality training that consistently reinforces expected employee behaviors.	1.2.c What are your organization's expectations for broadening and enhancing your capabilities or professional development?		(I&E)	WRPS 2012 SWE Survey Results (Q29)  <ul style="list-style-type: none"> <li>Some interviewed have attended specialized training for their functions such as Contract administration, Benefits administrative, four-hour safety training, and self-generated training from colleges is also encouraged.</li> <li>IH/Safety promotes professional development thru certifications and leadership training.</li> <li>Their performance development contains specific enhancements. Engineering has a "Five most important objective" process to enhance their performance. Some staff rotation has occurred to expand professional development</li> <li>The work control program has established a budget for continuing training of those planners who wish to continue college and professional development. Some of the planners are going for the Supervisor Safety Training certificate. The Work Control managers are participating in the Lessons in Leadership sessions that started in early November 2012.</li> <li>ESH&amp;Q has started a Leadership training base on Maxwell's 5 Levels of Leadership for the level 2 and 3 managers, and FWS/FLM (planned for the future).</li> <li>For Project managers a PM development program has been developed (TFC-PRJ-PM-C-05)</li> <li>There are some opportunities for broadening and enhancing ones level of training and experience, but from the bargaining unit perspective, there is not much interest in leaving the union and moving into exempt positions.</li> <li>In 2012 WRPS initiated a Strategic Talent Advancement for Results (STAR) Program that involved 36 employees. For FY2013 the number of employees in this program has grown to 41.</li> </ul>	81%	
<b>Attribute 3: Open communication and fostering and environment free from retribution</b>	<b>Attribute 3: Open communication and fostering an environment free from retribution</b>		(I&E)		75%	82%
1.3.a A high level of trust is established in the organization.	1.3.a Describe the level of trust in your organization.		(I&E)	WRPS 2012 SWE Survey Results (Q8)  <ul style="list-style-type: none"> <li>Most interviewed described the level of trust as very high. Especially associated with their immediate FWS/managers. Between a worker and the</li> </ul>	77%	



DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				next level of management the trust is less. Trust in some cases appears to be based on time in the position with peers (new employees vs. old timers) <ul style="list-style-type: none"> <li>One group of workers indicated that their trust to their FWS was in the 2-3 range of a scale of 0-10 with ten being completely trusting,</li> </ul>		
1.3.b Reporting individual errors is encouraged and valued. Individuals feel safe from reprisal when reporting errors and incidents	1.3.b When someone makes an honest mistake that affects safety, what happens to that person? What about mistakes that affect production?		(I&E)	WRPS 2012 SWE Survey Results (Q53) <ul style="list-style-type: none"> <li>Most answered this question as not knowing of any specific case to relate to. One individual described it as an unplanned learning opportunity. There are several options used by the management team. First is a coaching/counseling session to make sure the expectations were understood. Every attempt would be made to modify behavior to align with expectations but if the expectations were not met that the individual would be held accountable.</li> <li>One group agreed that they had not seen any retaliation or negative actions towards individuals that brought up safety concerns, but they have seen some issues associated with "attitude" when they bring up concerns. They believe the process is not consistent.</li> <li>Two persons interviewed felt that the company is too lenient regarding discipline associated with mistakes related to safety. The company appears to be afraid to discipline these types of mistakes due to whistle blower concerns.</li> </ul>	72%	
1.3.c Individuals at all levels of the organization promptly report errors and incidents and offer suggestions for improvements	1.3.c Does the organization encourage and solicit input from workers when seeking to resolve problems or to define potential improvements?		(I&E)	WRPS 2012 SWE Survey Results (Q60) <ul style="list-style-type: none"> <li>A majority felt that their ideas were solicited and encouraged more now than in the past.</li> <li>One person felt more could be done to solicit input.</li> <li>Some interviewees felt that the Base Operations team concept has helped in this area. More ownership amongst the teams.</li> <li>Yes but sometimes to an extreme where people feel they are empowered too much for their positions. This can have a negative effect on both safety and production.</li> </ul>	72%	
1.3.d A variety of methods are available for personnel to raise safety issues and line managers promptly and effectively respond to personnel who raise safety issues.	1.3.d Describe your organization's process and methods for reporting issues, errors and problems. Does line management promptly and effectively respond?		(I&E)	WRPS 2012 SWE Survey Results (Q20a) <ul style="list-style-type: none"> <li>At the 0640 status meeting Events, stop work/ Compliance issues are discussed. In some cases follow up is assigned at this time.</li> <li>PERs and staff meetings.</li> <li>RCR forms for documents,</li> <li>Work control has started tracking why work package need to be changed to see what type of mistakes/errors are</li> </ul>	81%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				happening. <ul style="list-style-type: none"> <li>Workers expressed that they feel encouraged and free to raise their safety issues through whatever avenue they are comfortable using. (e.g., HAMTC Safety Reps, Safety &amp; Health Professionals, HR, ECP, and the DPO Process)</li> <li>Interviews, documentation reviews, and observations indicate that management is more responsive, and promptly and effectively responds to worker concerns.</li> </ul>		
1.3.e Leaders proactively detect situations that could result in retaliation and take effective action to prevent a chilling effect.	1.3.e Do you feel free to raise safety concerns without fear of retaliation? Does management effectively respond to retaliation and the potential for chilling effect?		(I&E)	WRPS 2012 SWE Survey Results (Q10) <ul style="list-style-type: none"> <li>The vast majority of those interviewed responded that they felt free to raise concerns without fear of retaliation. They also indicated that management effectively responds to retaliation and potential chilling effects.</li> <li>A few stated that they felt that they could raise concerns without retribution or retaliation, but they also saw a FWS demonstrated a very poor attitude when work was stopped due to a safety related issue.</li> <li>One group (three persons) stated that if a safety concern is raised, employees are assigned to another job. Management causes a chilling effect in these instances.</li> </ul>	79%	
1.3.f The organization addresses disciplinary actions in a consistent manner; disciplinary actions are reviewed to ensure fair and consistent treatment of employees at all levels of the organization	1.3.f Is discipline applied fair and consistent across the WRPS organization?		(I&E)	WRPS 2012 SWE Survey Results (Q22k) <ul style="list-style-type: none"> <li>Each Discipline Review with line management the HR manager presents the review for fairness and consistency for each case under review.</li> <li>One interviewee stated that there are examples where workers are not treated fairly with respect to job assignments and maybe some FWS are focused on some workers for mistakes, etc. and not equally towards all workers. This person also stated once HR gets involved then the process is fair and consistent.</li> <li>The vast majority interviewed provided no adverse examples due to the private nature of the disciplinary process. However, workers and management indicate significant improvement in the fair and consistent application of discipline.</li> </ul>	68%	
<b>Attribute 4: Clear expectations and accountability</b>	<b>Attribute 4: Clear expectations and accountability</b>		(I&E)		84%	80%

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
1.4.a Line managers provide ongoing performance reviews of assigned roles and responsibilities reinforcing expectations and ensuring key safety responsibilities and expectations are being met.	1.4.a Is safety and ISMS Behavior Expectations covered in my performance review?		(I&E)	WRPS 2012 SWE Survey Results (Q33) <ul style="list-style-type: none"> <li>Those employees interviewed stated that safety and the ISMS behavior expectations are covered under their performance review. However, Bargaining unit employees do not receive performance reviews but safety and ISMS behavior expectations are covered in expectation communications.</li> </ul>	87%	
1.4.b • Personnel at all organizational levels are held accountable for standards and expectations. Accountability is demonstrated both by recognizing excellent performance as well as identifying less-than-adequate performance. Accountability considers intent and organizational factors that may contribute to undesirable outcomes.	1.4.b Does my supervisor set clear expectations for safety and hold people accountable to ISMS Behavior Expectations?		(I&E)	WRPS 2012 SWE Survey Results (Q27) <ul style="list-style-type: none"> <li>The vast majority of those interviewed indicated that expectations are clear and the management team holds people accountable for proper behaviors.</li> <li>Good discussion on the roles and responsibilities of the HPTs functions for contamination control at the JRG for the C-107 water spray wand decontamination activity and the FWS keeping workers back as the wand is lowered into the tank.</li> <li>Good discussion on the roles and responsibilities of the controls that will be in place during plate lifting, pit cover removal, and HIHTL disconnection.</li> </ul>	77%	
1.4.c • Willful violations of requirements and performance norms are rare. Individuals and organizations are held accountable in the context of a just culture. Unintended failures to follow requirements are promptly reported, and personnel and organizations are acknowledged for self-identification and reporting errors.	1.4.c ISMS Behavioral Expectations are clearly communicated without conflicting messages from other communications/ sources.		(I&E)	WRPS 2012 SWE Survey Results (Q36) <ul style="list-style-type: none"> <li>The vast majority of those interviewed indicated that the ISMS behavioral expectations are clearly communicated without conflicting messages from other communications.</li> <li>The ISMS expectations were seen posted or in the possession of the majority of those interviewed.</li> <li>One response was that the ISMS expectations are being conflicted with senior management's approach to outside organizations. Specifically by allowing outside organizations to have a say in how we manage our employees which sends a wrong message to our management team that have to supervise these individuals. Specifically, the Hanford Concerns Council is now getting involved and providing recommendations as to how we manage some of our problem employees.</li> </ul>	88%	
<b>Focus Area 2: Employee/Worker Engagement</b>	<b>Focus Area 2: Employee/Worker Engagement</b>	Grant Bachaud	(I&E)		85%	82%
<b>Attribute 1: Teamwork and Mutual Respect</b>	<b>Attribute 1: Teamwork and mutual respect</b>		(I&E)		79%	82%
2.1.a Open communications and teamwork are the norm.	2.1.a Do open conversations with my peers and my supervisor concerning safety issues occur?		(I&E)	WRPS 2012 SWE Survey Results (Q9a) <ul style="list-style-type: none"> <li>Based on the answers provided during the interview process and from</li> </ul>	78%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				the observation of the morning shift report briefing between R&C, 222S Laboratory, Base Operations, and the Project Managers Office this element appears to be effectively implemented. <ul style="list-style-type: none"> <li>The majority of those interviewed stated that they do have open conversations with their peers and supervision regarding safety issues. Four instances where workers did not feel that open communications between peers or supervision occurred effectively.</li> </ul>		
2.1.b Individuals at all levels of the organization listen to each other and effectively engage in crucial conversations to ensure meaning, intent and viewpoints are understood; and that differing points of view are acknowledged	2.1.b Do individuals at all levels of the organization actively listen to each other to ensure they understand the meaning, intent, and viewpoints that are being communicated?		(I&E)	WRPS 2012 SWE Survey Results (Q13) <ul style="list-style-type: none"> <li>Most of the personnel interviewed felt that most of the individuals at all levels do effectively communicate by listening to each other.</li> <li>About 25% of those interviewed did state that communication between the groups is not effective and should be improved. Examples include barriers between Tank Farm Projects and Retrieval and Closure, WRPS personnel and ATL personnel at the 222-S Labs, and between workers and management at Base Operations.</li> <li>The ORP Facility Representatives interviewed stated that a majority of the craft and management work well together and effectively communicates (listening and talking); however, there is a select group that "plays" the system for personal agendas.</li> <li>Very good interaction among all in two JRG meetings including managers, exempt staff SMEs, Bargaining unit and with the DOE Facility Representative who participated in the meeting and discussion.</li> </ul>	80%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
2.1.c Discussion on issues focus on problem solving rather than on individuals.	2.1.c When disagreements about safety are brought up, what happens?		(I&E)	WRPS 2012 SWE Survey Results (Q14b) <ul style="list-style-type: none"> <li>The majority of the personnel interviewed stated that the issue would get resolved usually with the assistance of HAMTC safety representatives or SME's. A few isolated examples of workers (3/74 interviewed) were identified who felt that their managers do not effectively listen to them when disagreements about safety occur.</li> <li>Very good discussion resulting in changes needed to section 5.3 of the work instructions about how to safely insert the wand into the tank and the proper instructions.</li> <li>Very good communication on use of SPF400 (amounts to be used and potential volume of liquid to be encountered).</li> </ul>	74%	
2.1.d Good news and bad news are both valued and shared.	2.1.d When bad news is discussed, what is the tone of the discussion?		(I&E)	WRPS 2012 SWE Survey Results (Q14d) <ul style="list-style-type: none"> <li>The vast majority of the employees interviewed stated that when bad news is discussed the tone is usually serious and focused. Additionally, some of the employees also stated that the focus would shift to improvement and end positively.</li> <li>A small percentage of workers (3/74 interviewed) felt their management would blame them during discussions regarding bad news.</li> </ul>	74%	
<b>Focus Area 3: Organizational Learning</b>	<b>Focus Area 3: Organizational Learning</b>	Celene Chambers	(I&E)		75%	81%
<b>Attribute 1: Credibility, trust and reporting errors and problems</b>	<b>Attribute 1: Credibility, trust and reporting errors and problems</b>		(I&E)		76%	85%
3.1.a Credibility and trust are present and continuously nurtured so that a high level of trust is established in the organization.	3.1.a Do you trust your supervisor to make good decisions in regards to you and your peer's safety?		(I&E)	<ul style="list-style-type: none"> <li>Vast majority interviewed felt they trusted their supervisor to make good decisions regarding theirs and others' safety.</li> </ul>	84%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
3.1.b Organizations, managers and line supervisors provide accurate, relevant and timely information to employees. Line managers are skilled in responding to employee questions in an open, honest manner.	3.1.b Do managers respond in a timely, effective manner to issues that are brought to their attention?		(I&E)	<ul style="list-style-type: none"> <li>Most felt their managers respond in a timely effective manner. However, a couple felt that some issues lingered longer than they felt necessary when procedure changes were necessary.</li> </ul>	70%	
3.1.c Reporting individual errors is encouraged and valued. Individuals are recognized and rewarded for self-identification of errors.	3.1.c Is self-identification/self-reporting viewed positively as part of the work scope?		(I&E)	<ul style="list-style-type: none"> <li>Vast majority responded that they felt their managers viewed self-identifying/self-reporting as a positive.</li> </ul>	83%	
3.1.d Line managers encourage and appreciate safety issue and error reporting.	3.1.d When an issue is reported to management, what happens?		(I&E)	<ul style="list-style-type: none"> <li>Vast majority responded it depended on the issue but that their manager responded as necessary by use of the PER Generation and resolution process.</li> </ul>	74%	
3.1.e Managers and line supervisors demonstrate integrity and adhere to ethical values and practices to foster trust.	3.1.e How does management demonstrate integrity and ethical values.		(I&E)	<ul style="list-style-type: none"> <li>Value opinions, day-to-day actions, open and honesty, by example, and by setting expectations and following through on enforcement of expectations.</li> </ul>	76%	
3.1.f Managers and line supervisors demonstrate consistency in approach and a commitment to the vision, mission, values and success of the organization as well as the individuals (people).	3.1.f Does management consistently hold themselves and others accountable to meeting the WRPS ISMS Behavioral Expectations?		(I&E)	<ul style="list-style-type: none"> <li>Vast majority felt management consistently holds themselves and others accountable to meeting the WRPS ISMS Behavioral Expectation. However, one individual felt there is room for improvement by including ISMS Behavioral Expectations focus in staff meetings and tailgates.</li> </ul>	72%	
3.1.g Mistakes are used for opportunities to learn rather than blame.	3.1.g When someone makes an honest mistake that affects safety, does management focus on the issue or the individual?		(I&E)	<ul style="list-style-type: none"> <li>Vast majority felt that when an honest mistake is made that affects safety, management focuses on the issue. Whole groups are briefed and procedures are changed.</li> </ul>	75%	
3.1.h Individuals are recognized and rewarded for demonstrating behaviors consistent with the safety culture principles.	3.1.h How are individuals recognized and rewarded for positive safety culture behaviors?		(I&E)	<ul style="list-style-type: none"> <li>Various response were received from, public recognition, safety awards, spot-on awards, peer recognition, PSOP, EAPC, and ALARA awards, VPP Program , ISMS Group, and All Employees meetings.</li> </ul>	71%	
<b>Attribute 2: Effective resolution of reported problems</b>	<b>Attribute 2: Effective resolution of reported problems</b>		(I&E)		71%	82%
3.2.a Vigorous corrective and improvement action programs are established and effectively implemented, providing both transparency and traceability of all corrective actions. Corrective action programs effectively prioritize issues, enabling rapid response to imminent problems while closing minor issues in a timely manner to prevent them from escalating into major issues.	3.2.a Do you believe the WRPS corrective action management program is effective in identifying and resolving issues?		(I&E)	<ul style="list-style-type: none"> <li>Through review of documentation and interviews, the results of this assessment have determined the WRPS Corrective Action Management Program is effective in identifying and resolving issues through processes established in the WRPS Corrective Action Program, as required by Section 2.16, "Corrective Action" of TFC-PLN-02, <i>Quality Assurance Program Description</i>, is implemented by TFC-ESHQ-Q_C-C-01, <i>Problem Evaluation Request</i>. It establishes requirements and responsibilities for timely identification, evaluation, and correction of conditions adverse to quality, safety, health, operability, and the environment using the Problem Evaluation Request (PER) process. The process for initiating a PER is available to all personnel (including the WRPS workforce, subcontractors, and DOE). PER information is readily available throughout the entire process. The PER</li> </ul>	75%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				process is a “zero-threshold” issue reporting system to capture, in one system, the issues raised across all organizations and working levels.		
3.2.b Results from performance assurance activities are effectively integrated into the performance improvement processes, such that they receive adequate and timely attention. Linkages with other performance monitoring inputs are examined, high-quality causal analyses are conducted, as needed, and corrective actions are tracked to closure with effectiveness verified to prevent future occurrences.	3.2.b Do you believe the WRPS corrective action management program is effective in identifying and resolving issues? What mechanisms are used to monitor safety performance? (e.g., number of skin contaminations/month)		(I&E)	<ul style="list-style-type: none"> <li>WRPS is effectively identifying and resolving issues through an established multi-faceted system that monitors corrective action management system and safety performance.</li> <li>At worker level, a PER Users Group has been chartered in accordance with Interoffice Memorandum WRPS-1002100. The group serves as an advisory board with a chair appointed by the Contractor Assurance Manager and a quorum consisting of representatives from Contractor Assurance, HAMTC Safety Representatives, and representatives of at least two of the three major operations organizations. Objectives of the PER Users Group are: achieve consistent and effective application of the corrective action process, continuous improvement, provide a conduit for communications, and issue resolution regarding issue management processes, improve feedback/involvement, and more effectively identify lessons learned opportunities.</li> <li>The Company level CAM identifies adverse trends or other indications that require action to ensure long-term continuous improvement in WRPS operations as established in TFC-CHARTER-44, <i>Collective Significance Review</i>. This process is further discussed in LOI 3.3.b.</li> <li>The management level consists of two boards; the Problem Evaluation Report Management Review board, chartered in accordance with TFC-CHARTER-50 which evaluates PER-associated tasks to determine if they meet the Long-Term Corrective Actions criteria. On the senior management level, TFC-CHARTER-32 charters the Executive Safety Review Board (ESRB).</li> <li>There is a strong agreement, as observed through interviews and observations in the field, that WRPS employs a Corrective Action Management Program that is effective in identifying and resolving issues. It establishes requirements and responsibilities for timely identification, evaluation, and correction of conditions adverse to quality, safety, health, operability, and the environment using the Problem Evaluation Request (PER) process. The process for initiating a PER is available to all personnel (including the WRPS workforce, subcontractors, and DOE). PER information is readily available to the workforce throughout the entire process. The PER process is a “zero-</li> </ul>	78%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<p>threshold” issue reporting system to capture, in one system, the issues raised across all organizations and pay group levels. This allows for the trending of common issues across the Tank Farms. The CAM process uses a PER Users Group to assist in evaluating improvement opportunities. Additionally, a Collective Significance Review committee is committed to evaluate performance indicators and trends. During this review, a PER Management Review Board was observed evaluating corrective action tasks to determine if they meet the Long-Term Corrective Action criteria. A Contractor Assurance System evaluates company-level performance indicators and trends. An Executive Safety Review Board oversees the causal analysis, reporting, and corrective action plan development for issues identified in Significant PERs and approve Significant PER issues and associated investigations, review and approve specialty/end point assessments of Significant PERs, provide strong senior management support for corrective action implementation and provide feedback and direction concerning the focus and conduct of assessments. The ESRB reviews events, issues, and adverse trends with environmental, safety or quality significance and/or programmatic implications. These processes were found to be effective through observations performed during this assessment.</p>		
<p>3.2.c Processes identify, examine and communicate latent organizational weaknesses that can aggravate relatively minor events if not corrected. Organizational trends are examined and communicated.</p>	<p>3.2.c What processes are in place at WRPS to examine organizational weaknesses? (e.g., MOPs, Specialty Assessments, etc.)</p>		(I&E)	<p>WRPS 2012 SWE Survey Results (Q57a,b,c, Q58)</p> <ul style="list-style-type: none"> <li>WRPS has an established assessment program, as required by section 2.18, “Audits” of TFC-PLN-02, <i>Quality Assurance Program Description</i>, is implemented by TFC-PLN-10, <i>Assessment Program Plan</i>. This plan describes the vision and objectives of the Assessment Program, descriptions of each category and provides examples of assessment types, along with definitions and their implementation.</li> <li>The WRPS Assessment Program is designed to continuously improve execution of the TOC mission by line organizations with specific objectives as identified in TFC-PLN-10, <i>Assessment Program Plan</i>. These plans implemented at a working level in a fiscal year based on Integrated Assessment Schedule which is developed by the WRPS Contract Assurance organization and consist of internal assessment program, and independent assessments performed by the Department of Energy – Office of River Protection or other entities. The assessments performed in accordance with the integrated assessment schedule are categorized as general, specialty, management, or independent, each have specific assessment objectives.</li> <li>Results of assessments are documented in assessment reports, issues identified are documented in the corrective action management system via the</li> </ul>	81%	



DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<p>PER process. Performance to the Integrated Assessment Schedule for management, independent, and Radiological Control Triennial Assessments are tracked by a company level performance indicator. MOP and WSV performance is tracked by a company level performance indicator for work order field execution MOP/WSV and MOP/WSV participation by management; indicators are examined for trends as discussed above in LOI 3.2.b</p> <ul style="list-style-type: none"> <li>• The October 2012 PER Originator Satisfaction Survey was conducted on the PER process which reflects this process continues to improve, as noted by some of the survey results below:                             <ul style="list-style-type: none"> <li>• Overall, how timely is the PER system – 95.2% positive response.</li> <li>• 95.1% responded felt they were comfortable using the PER system.</li> <li>• 100% responded that their management supported the use of the PER system.</li> <li>• 94.4% felt the PER resulted in resolution of their issue.</li> <li>• 84.6% felt their PER issue was resolved in a timely manner.</li> <li>• 97.2% felt adequate management attention was paid to resolving the issue on the PER.</li> </ul> </li> </ul> <p>All surveyed felt the PER system was effective at resolving the issue</p>		
<p>3.2.d Organizational systems and processes are designed to provide layers of defenses, recognizing that people are fallible. Lessons learned are shared frequently; prevention and mitigation measures are used to preclude errors from occurring or propagating. Error-likely situations are sought out and corrected, and recurrent errors are carefully examined as indicators of latent organizational weaknesses</p>	<p>3.2.d Do the WRPS Conduct of Operations and/or Human Performance Indicator Programs provide adequate layers of defense? (e.g., Lessons Learned, Communication, ID of error likely situations and latent organizational weaknesses)</p>		(I&E)	<p>WRPS 2012 SWE Survey Results (Q54, Q55, Q59, Q60, Q61)</p> <ul style="list-style-type: none"> <li>• There is a Charter and a Steering Committee governing the Tank Farms Conduct of Operations programs and processes.</li> <li>• There is a Charter and a Steering Committee governing the Tank Farms Human Performance Improvement programs and processes.</li> <li>• WRPS has established procedure TFC-OPS-OPER-C-28, <i>Lessons Learned</i> that identifies the purpose and process of communicating intern/external operating experiences that are communicated to WRPS employees and shared with other DOE facilities/contractors to preclude reoccurrence of similar issues/events, and focuses on preventing adverse events, trends, and reliability related events and performance improvements and cost savings.</li> <li>• A recent Specialty Assessment, FY2012-ESHQ-S-0355, <i>Lessons Learned</i>, determined that lessons learned were appropriately entered into the HILLS/OPEX system for dissemination with recommendations that should help prevent recurrence of same or similar problems/events.</li> <li>• Lessons Learned are incorporated into the WRPS work control system and included in Work Planning packages in accordance with TFC-OPS-MAIN-C-01, <i>Tank Operations Contractor Work Control</i>, and TFC-ESH1-RP RWP-C-</li> </ul>	73%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<p>03, <i>ALARA Work Planning</i>. In August 2012 further expectation was communicated that Lessons Learned feedback be submitted in the HILLS database, with September 2012 Lessons Learned Performance Indicator reflecting a steady increase in Lessons Learned feedback reporting for Work Planning Packages.</p>		

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
<p>3.2.e Incident reviews are conducted promptly after an incident to ensure data quality and to identify improvement opportunities. Causal analysis expertise is applied effectively to examine events and improve safe work performance. Causal analysis is performed on a graded approach for major and minor incidents, and near-misses, to identify causes and follow-up actions. Causal analysis incorporates multi-discipline analytical perspectives. Even small failures are viewed as windows into the system that can spur learning.</p>	<p>3.2.e Describe your organization's event investigation expectation including membership, timeliness, causal analysis and thoroughness. Is this expectation being met?</p>		(I&E)	<p>WRPS 2012 SWE Survey Results (Q56a,b,c)</p> <ul style="list-style-type: none"> <li>WRPS incident/event investigation is implemented via TFC-OPS-OPER-C-14, <i>Initial Event Investigation Process</i>, which provides an outline for conducting initial event investigations of issues consistent with TOC Human Performance Improvement (HPI) initiatives, Integrated Safety Management System Principles, DOE O 4221.1 and the Corrective Action Program process. A graded approach to the formality of an event investigation is used based on the extent and magnitude of the event: <ul style="list-style-type: none"> <li>Low level investigation (typically consist of individual or small group interviews with involved personnel) is performed to understand precursors leading to the event. Investigations are conducted.</li> <li>Mid-level investigation (typically consisting of a larger group meeting with involved personnel or several impacted organizations) is performed to understand the precursor leading to the event including evaluation of compensatory actions taken, potential causes and extent of conditions.</li> <li>Formal high level investigation, performed to understand the precursors leading to the event, including an evaluation of compensatory actions taken, potential causes, failed barriers and extent of condition providing recommendations and lessons learned.</li> <li>Event investigations are conducted in accordance to TFC-ESHQ-Q_C-C-01, <i>Problem Evaluation Request</i>, and TFC-ESHQ-Q_ADM-C-11, <i>Root Cause Analysis</i>, as applicable. However a recent CAP (WRPS-1203164 R1) addressing issued identified by DOE-ORP in S-12-AMTF-TANK-ARM-011-F01; <i>Event Investigations found to be Non-Compliant to Procedure Requirements</i> (WRPS-PER-2012-1270) indicated there is an area for improvement related to this CAP.</li> </ul> </li> <li>Interviews and document reviews indicate that an effective event investigation program and expectations exist.</li> </ul>	75%	
<p>3.2.f Performance improvement processes require direct worker participation. Individuals are encouraged, recognized and rewarded for offering innovative ideas to improve performance and to solve problems.</p>	<p>3.2.f Does the organization encourage and solicit input from workers when seeking to resolve problems or to define potential improvements?</p>		(I&E)	<p>WRPS 2012 SWE Survey Results (Q2d,e,f Q14a-d, Q23, Q24, Q41b,d)</p> <ul style="list-style-type: none"> <li>Through interviews, document reviews, and field observations, WRPS encourages and solicits input from workers in various arenas when seeking resolution of problems or to define potential improvements. Such avenues are through various councils and committees. TFC-CHARTER-02, <i>WRPS Safety Council</i> establishes the WRPS Project Manager's Accident Prevention Council (PAPC) as WRPS's safety leadership council. Technical Safety &amp; Health Committees (TSHCs) As Low As Reasonably Achievable (ALARA) Committee, Employee Accident Prevention Councils (EAPCs), and Standing Committees report to the PAPC.</li> </ul>	75%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<ul style="list-style-type: none"> <li>WRPS has established many other processes to solicit feedback from workers and work activities, including the following: Peer Safety Observer Program, Employee Concerns Program, pre-job briefings, job hazard walk-downs by workers prior to work, post-job reviews, safety meetings, in-process ALARA reviews, and labor organization input.</li> <li>This work package had a walk down performed that included a number of workers. During the JRG the FWS (an NCO) and a lead HPT provided input on how the work was going to be performed.</li> <li>During MOPs, management performs oversight of the work and processes looking for issues.</li> <li>During the JRG the managers on the team asked questions about how to safely perform this work. Workers provided their insight and expertise to the FWS on various aspects of the job, including what if scenarios. Also the JRG will assign SSW to be present during various steps while the work is ongoing.</li> </ul>		
<b>Attribute 3: Performance monitoring through multiple means</b>	<b>Attribute 3: Performance monitoring through multiple means</b>		(I&E)		71%	84%
3.3.a Line managers maintain a strong focus on the safe conduct of work activities. Line managers maintain awareness of key performance indicators related to safe work accomplishment, watch carefully for adverse trends or indications, and take prompt action to understand adverse trends and anomalies. Management employs processes and special expertise to be vigilant for organizational drift.	3.3.a Does WRPS use effective performance indicators related to safe work accomplishment, identifying trends or indications that warrant prompt action to address adverse trends or anomalies?		(I&E)	WRPS 2012 SWE Survey Results (Q58) <ul style="list-style-type: none"> <li>WRPS maintains an extensive company level performance indicator program. Metrics are maintained for Personnel Safety &amp; Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these areas is subject to trend analysis and examination by numerous levels of management, culminating with presentation to the ESRB for prompt action as observed during this assessment.</li> <li>In addition to company level performance indicators, many organizations within WRPS maintain a performance indicator program that contains the company level metrics and a multitude of organizational level indicators. A particularly strong example of a healthy organizational level performance indicator program is demonstrated by the Radiological Control organization.</li> </ul>	71%	
3.3.b Performance assurance consists of robust, frequent, and independent oversight conducted at all levels of the organization. Performance assurance includes independent evaluation of performance indicators and trend analysis.	3.3.b Do you believe the WRPS Contractor Assurance Program (CAS) is effective in independently identifying and analyzing trends?		(I&E)	WRPS 2012 SWE Survey Results (Q15d, Q58) <ul style="list-style-type: none"> <li>Analysis of information and metrics within the WRPS Contractor Assurance Program was examined during this assessment and found to be performed routinely both within metric owning organizations and the Contractor</li> </ul>	63%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				Assurance organization. Contractor Assurance oversight processes focuses on event-related and cause-related aspects of the performance deficiencies documented. Both informal and formal methods are used to identify trends. <ul style="list-style-type: none"> <li>• WRPS performs a Collective Significance Review at quarterly meetings to identify adverse trends or other indications requiring action. Conclusions reached are considered potential issues and referred for further validation by responsible managers in the organization. The Contractor Assurance Manager is responsible with reporting the results of the Collective Significance Review (CSR) to the senior management team that comprises the Executive Safety Review Board (ESRB) and initiating a PER for each issue identified.</li> <li>• See 3.2.b</li> <li>• While the WRPS survey indicated 63% agreement, interviews, documents reviews, and observations indicate a much more positive perspective.</li> </ul>		
3.3.c Line managers throughout the organization set an example for safety through their direct involvement in oversight activities and associated performance improvement.	3.3.c Does management, from immediate supervisor to senior managers, demonstrate their commitment to safety through their actions and behaviors?		(I&E)	WRPS 2012 SWE Survey Results (Q3) <ul style="list-style-type: none"> <li>• The WRPS Management Observation and Work Site Visit Program effectively promotes and achieves management presence in the workplace with particular emphasis placed on actual work activities as a fundamental demonstration of the WRPS values of safety, integrity, teamwork, productivity, and results. Management from Level 0 to Level 3 is expected to perform MOPs/WSVs as directed by procedure and management expectations. This practice was observed during the assessment.</li> <li>• WRPS maintains performance indicators for Work Order Field Execution MOP/WSV Hours and MOP/WSV Participation. In FY2012, WRPS management has performed over 2600 work order field execution MOP/WSV hours, well exceeding the goal of 200 hours. Participation by assigned management levels has exceeded the goal of 80% each month of FY2012.</li> </ul>	82%	
3.3.d The organization actively and systematically monitors performance through multiple means, including leader walk-arounds, issue reporting, performance indicators, trend analysis, benchmarking, industry experience reviews, Specialty Assessments, peer reviews, and performance assessments.	3.3.d How is performance information used to improve overall company performance?		(I&E)	WRPS 2012 SWE Survey Results (Q15d, Q58) <ul style="list-style-type: none"> <li>• The WRPS assurance system identifies and addresses program and performance deficiencies and opportunities for improvement, provides the means and requirements to report deficiencies, establishes and implements corrective and preventive actions, and shares lessons learned. These activities include assessments and other structured operational awareness activities, lessons learned programs, accident investigations, worker feedback mechanisms, performance indicators/ measures, incident/event reporting processes, and issues management, including analysis of causes, identification of corrective actions and recurrence controls, corrective action tracking and</li> </ul>	63%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				monitoring, closure of corrective actions and verification of effectiveness, analysis of trends, and identification of continuous improvement opportunities. <ul style="list-style-type: none"> <li>• The pinnacle of WRPS organizational performance monitoring is executed by the Executive Safety Review Board. The ESRB is comprised of senior management, with the WRPS Project Manager designated at the Chair. Meetings are typically held on a bi-monthly basis. A detailed agenda and meeting minutes are maintained to document issues addressed, approvals, specific action items assignments, and due dates for issue resolution.</li> <li>• See 3.2.b</li> <li>• While the WRPS survey indicated 63% agreement, interviews, documents reviews, and observations indicate a much more positive perspective.</li> </ul>		
3.3.e The organization demonstrates continuous improvement by integrating the information obtained from performance monitoring to improve systems, structures, processes, and procedures.	3.3.e Are performance indicators and lessons learned incorporated into the work planning/implementation process?		(I&E)	WRPS 2012 SWE Survey Results (Q54, Q55, Q60 Q51a,b,c) <ul style="list-style-type: none"> <li>• Interviews and document reviews revealed Lessons learned are integrated into the WRPS work control system in accordance with TFC-OPS-MAIN-C-01, <i>Tank Operations Contractor Work Control</i>, and TFC-ESHQ-RP_RWP-C-03, ALARA Work Planning. Both of these procedures provide direction to involved workers to consider the applicability of lessons learned during the planning phase of the work control process and, as applicable, document the lessons learned applied to the controlling work documents and pre-job briefings.</li> <li>• In accordance with TFC-OPS-MAINT-C-02, <i>Pre-Job Briefings and Post-Job Reviews</i>, at the completion of work, post-job reviews are performed to evaluate the work activity and generate lessons learned, as appropriate, to provide feedback and continuous improvement to future work planning endeavors.</li> </ul>	80%	
3.3.f Line managers are actively involved in all phases of performance monitoring, problem analysis, solution planning, and solution implementation to resolve safety issues.	3.3.f How is safety performance including problem analysis used to improve and/or resolve safety issues?		(I&E)	WRPS 2012 SWE Survey Results (Q15a-d) <ul style="list-style-type: none"> <li>• Interviews indicated the WRPS Leadership Team is involved in all phases of performance monitoring, problem analysis, solution planning, and solution implementation to resolve safety issues.</li> <li>• As demonstrated in the previous LOIs, there are a multitude of systems for monitoring performance, problem identification, problem analysis, problem resolution, and corrective action implementation. These systems involve the worker at every possible juncture and attempt to achieve a free flow of information throughout the process.</li> <li>• See 3.2.b</li> </ul>	67%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<ul style="list-style-type: none"> <li>While the WRPS survey indicated 67% agreement, interviews, documents reviews, and observations indicate a much more positive perspective.</li> </ul>		
3.3.g The organization maintains an awareness of its safety culture maturity. It actively and formally monitors and assesses its safety culture on a periodic basis.	3.3.g What mechanisms are used to periodically monitor Safety Culture?		(I&E)	WRPS 2012 SWE Survey Results (Q57a-c) <ul style="list-style-type: none"> <li>See 4.1.d</li> </ul>	71%	
<b>Attribute 4: Questioning Attitude</b>	<b>Attribute 4: Questioning Attitude</b>		(I&E)		76%	78%
3.4.a Line managers encourage a vigorous questioning attitude toward safety, and foster constructive dialogues and discussions on safety matters.	3.4.a Does your organization encourage a questioning attitude and discussion on different approaches before work is performed?		(I&E)	WRPS 2012 SWE Survey Results (Q2d,e,f Q3, Q7c, Q13, Q14a-d, Q18Q23, Q24) <ul style="list-style-type: none"> <li>Vast majority that were interviewed responded that their organization encourages a question attitudes and discussions on differing approached to performing work. This was observed during the SSR R&amp;C JRG meeting, where various scenarios were discussed on what could go wrong and how the team is to respond.</li> <li>Various scenarios were discussed and observed by the assessment team on what could go wrong and how the work team is to respond. This is a very positive recognition of the JRG process.</li> <li>While the WRPS survey indicated 64% agreement, interviews, documents reviews, and observations indicate a much more positive perspective</li> </ul>	64%	
3.4.b Individuals cultivate a constructive, questioning attitude and healthy skepticism when it comes to safety. Individuals question deviations, and avoid complacency or arrogance based on past successes. Team members support one another through awareness of each other's actions and constructive feedback when necessary.	3.4.b Does my workgroup avoid complacency by constantly questioning "what" and "how" we perform our work?		(I&E)	WRPS 2012 SWE Survey Results (Q61) <ul style="list-style-type: none"> <li>Vast majority responded yes. Example of this was demonstrated during an observation of the SSR R&amp;C JRG meeting where discussion on what could go wrong and how the team would respond was noted to be a major aspect of the JRG process.</li> </ul>	77%	
3.4.c Individuals pay keen attention to current operations and focus on identifying situations where conditions and/or actions are diverging from what was assumed, expected, or planned. Individuals and leaders act to resolve these deviations early before issues escalate and consequences become large.	3.4.c Does my supervision actively seek out and support different opinions on how to get the job done when conditions change from the planned work?		(I&E)	WRPS 2012 SWE Survey Results (Q51b, c) <ul style="list-style-type: none"> <li>Vast majority responded with yes, with a couple adding there is still room for improvement. This was observed during the SST R&amp;C JRG meeting when the Chair person actively asked for opinions from all in the room, with the DOE Facility Representative also providing input.</li> </ul>	87%	

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
<b>Supplemental Information - Focus Area 4: SCWE Metrics</b>	<b>Focus Area 4: SCWE Metrics</b>	Ed Kennedy	(I&E)		77%	81%
<i>Attribute 1: Performance metric insights into SCWE</i>	<i>Attribute 1: Performance metric insights into SCWE</i>		(I&E)			n/a
4.1.a What insight does Performance Assurance System data provide regarding SCWE and whether the organization learns from safety concerns? The recommended team approach is to evaluate the issues management system to determine whether: 1) when employees raise issues, are they involved in determining the solution, 2) do they receive feedback on the resolution of their concerns, 3) do workers actively participate in the preparation and execution of corrective actions, 4) are employees a part of improvement initiatives at their work locations, and 5) whether performance indicator trends show that the system is being effectively used by workers and managers to identify and address issues (e.g., trends could exist in: the rate of corrective action completion, the number of overdue corrective actions, the average age of incomplete corrective actions, or the number of issues deemed as recurring).	4.1.a Describe the WRPS CAS data that is collected and evaluated for SCWE? Is worker involvement for improvement encouraged?		(I&E)	WRPS 2012 SWE Survey Results (Q14a-d, Q15a-f) <ul style="list-style-type: none"> <li>WRPS maintains an in-depth company level performance indicator program. At this level, metrics are maintained for Personnel Safety &amp; Health, Operations, Environmental Performance, Radiological Safety, Work Control (Conduct of Operations), Engineering, Feedback and Improvement, Workforce Resources, and Business Operations. Each of these areas is subject to input by the workforce with trend analysis and examination by numerous levels of management, culminating with a presentation by the PI owners to WRPS Senior Leadership at the Bi-Weekly Contractor Assurance System (CAS) Meeting.</li> <li>Through interviews and document reviews, there is an effective CAS data collection process that is evaluated for SCWE and encourages worker involvement for identifying improvement opportunities.</li> <li>These PIs are evaluated by the Senior Leadership Team on a monthly basis and decisions are made to implement adjustments to improve trends in the work environment the PI relates to.</li> <li>Numerous PIs related to the Corrective Action Management Program are evaluated on an on-going basis.                             <ul style="list-style-type: none"> <li>Contractor Assurance System PI reviews</li> <li>Collective Significance Review (CSR)</li> <li>PER Users Group</li> <li>Contractor Assurance Performance Dashboard</li> <li>PER Originator Contact Request Assignments</li> </ul> </li> <li>Provided direction for and implemented improved expectations for end-point assessment supporting Problem Evaluation Reports screened as 'significant'.</li> <li>Implemented an improved Management Observation Program (MOP) and Worksite Visit Program that places emphasis on field-oriented MOPs and senior management observations of work activities. Monitored the results frequently as company-level performance indicators.</li> </ul>	71%	
4.1.b What evidence exists to show decision making reflects a safety first attitude? The recommended approach is to evaluate operations and management information/metrics to determine whether trends and changes are present in performance indicators, such as: 1) rate of	4.1.b Describe the WRPS metrics that is collected and evaluated to indicate a safety first attitude?		(I&E)	<ul style="list-style-type: none"> <li>WRPS uses the following SCWE PIs to indicate a safety first attitude:                             <ul style="list-style-type: none"> <li>HGET SWE Survey</li> <li>HGET VPP Perception Survey</li> <li>WRPS Monthly Performance Dashboard Indicators (~38)</li> <li>PER Satisfaction Surveys</li> </ul> </li> </ul>		



DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
unplanned LCO entries; 2) rate and nature of procedural violations; 3) the rate of deferred/overdue training; 4) currency of SCWE-related procedures and policies (e.g., Differing Professional Opinion process, Employee Concerns Program ); and 5) number of problem identification reports submitted on a periodic basis (e.g., monthly).				<ul style="list-style-type: none"> <li>• Employee Concerns Program Metrics</li> <li>• SCWE Survey Data</li> <li>• Through interviews and document reviews, there is an effective Performance Indicator development process that is periodically evaluated for safety first attitude. This process encourages worker involvement for identifying improvement opportunities.</li> </ul>		
4.1.c What evidence exists to show how effectively the organization monitors the SCWE aspects of their safety culture? The recommended team approach is to evaluate performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) rates of overdue/delayed/cancelled audits & assessments; 2) the number and quality of findings; 3) turnover in audit/assessment staff; 4) rate and nature of externally- vs. internally-identified findings; and 5) the rate and nature of reportable events.	4.1.c How does WRPS monitor the effectiveness of SCWE/Safety Culture?		(I&E)	WRPS 2012 SWE Survey Results (Q57a-c) <ul style="list-style-type: none"> <li>• WRPS uses the following SCWE PIs to indicate a safety first attitude:                             <ul style="list-style-type: none"> <li>• HGET SWE Survey</li> <li>• HGET VPP Perception Survey</li> <li>• WRPS Monthly Performance Dashboard Indicators (~38)</li> <li>• PER Satisfaction Surveys</li> <li>• Employee Concerns Program Metrics</li> <li>• SCWE Survey Data</li> </ul> </li> <li>• WRPS evaluates performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) rates of overdue/delayed/cancelled audits &amp; assessments; 2) the number and quality of findings; 3) rate and nature of externally vs. internally identified findings; and 4) the rate and nature of reportable events.</li> </ul>		
4.1.d What evidence exists that demonstrates managers/supervisors perform first hand observations of the work environment, listen to workers, and make changes where necessary? The recommended team approach is to evaluate performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) the number of management observations by senior managers; 2) the number of management observations that identify deficiencies or best practices; and 3) the number of deficiencies or best practices that result in change.	4.1.d a. What are the organizations expectations or requirements for management spending time in the field regarding the work environment?		(I&E)	. WRPS 2012 SWE Survey Results (Q57a-c) <ul style="list-style-type: none"> <li>• Interviews and document reviews indicate that management understands the expectation for time in the field and effectively implements this expectation.</li> <li>• The WRPS Management Observation Program, defined in TFC-ESHQ-AP-C-03, promotes management presence in the workplace with particular emphasis placed on actual work activities as a fundamental demonstration of the WRPS values of safety, integrity, teamwork, productivity, and results. Level 2 and Level 3 managers are expected to perform MOPs as directed by procedure and expectations established by the Senior Leadership Team.</li> <li>• Work Site Visit (WSV) activities are also used as part of the MOP. WSV activities promote senior management presence in the workplace as a fundamental demonstration of the WRPS values of safety, integrity, teamwork, productivity, and results. A WSV is a meaningful face-to-face interaction between senior manager and workers in their work environment. A WSV includes meetings where there is meaningful dialogue with workers.</li> </ul>		

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				<p>The requirement to perform WSVs applies to all Level 0 and Level 1 managers, and Level 1 deputy managers.</p> <ul style="list-style-type: none"> <li>• Based on DOE Field Oversight perspective, MOPs appear to be the primary driver for management field involvement. Field presence of management improved during the FEOT Initiative, but appears to drifting back to pre-FEOT frequency. MOPS continue to show improvement, but more structure and guidance on the performance of MOPS was noted as a potential area for improvement.</li> <li>• These PIs are evaluated by the Senior Leadership Team on a monthly basis and decisions are made to implement adjustments to improve trends in the work environment the PI relates to. Specific examples where this has occurred include: <ul style="list-style-type: none"> <li>• Number of significant open EAPC issues – (observed by leadership team to be higher than acceptable providing direction to focus in these areas</li> <li>• Lockout–Tagout ORPS Events – Negative trend observed by leadership team, provide direction to focus in these areas and train users to drive events down</li> <li>• Operations Drill Program – Small number of drills were identified as a weakness, provide direction to increase number, variety, and new participants</li> <li>• Regulatory Agency Notices of Correction/Violations – Frequency recognized by leadership team as too high, provide direction to focus in this area to reduce the trend</li> <li>• PER Cycle Time (TUF, RES) – Leadership Team observed averages age of PER evaluations were unsatisfactory, provide new direction with goal of PER evaluation of 45 days</li> <li>• Assessment Program MOP/WSV Participation – Senior Leadership Team recognized low management presence in the field, provide direction for greater documented management presence</li> </ul> </li> <li>• WRPS maintains performance indicators for Work Order Field Execution MOP/WSV Hours and MOP/WSV Participation. In FY2012, WRPS management performed over 2600 work order field execution MOP/WSV hours, well exceeding the goal of 200 hours. Participation by assigned management levels has exceeded the goal of 80% each month of FY2012</li> <li>• Company- and Project-Level PIs are strategically used to monitor management involvement and visits to work sites. PER generations related to site visits are also monitored.</li> <li>• WRPS ISMS Management Expectation M3 – Be in the field/work place with your employees; and Senior Management Expectation SM 5 – be visible in</li> </ul>		

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Lead	Rating	Objective Evidence	'12 WRPS SWE Survey Results	'12 DOE Survey Results
				the field/work place with your employees; WRPS ISMS Expectation M2 – Maintain a safe work environment where employees feel free to raise issues without fear of reprisal; SM11 – Support the right of any member of the workforce to raise any concern and to have that concern addressed in a timely, effective and respectful manner without fear of retaliation. Be available to resolve any issue of concern. (See 4.1.a and b)		
4.1.e What evidence exists that demonstrates the organization maintains nuclear facilities in a manner that supports both production and the safe performance of work? The recommended team approach is to evaluate facility performance metrics to determine what trends and changes are present in performance indicators such as: 1) the number and age of LO/TO hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or impaired safety systems.	4.1.e What are some examples that demonstrate the balance between safety and schedule? How did you derive that balance conclusion?		(I&E)	<ul style="list-style-type: none"> <li>WRPS maintains a set of Key Performance Indicators that are used to determine what trends and changes are present in performance indicators such as: 1) the number and age of LO/TO hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or impaired safety systems. Collectively, these are used to help management evaluate the balance between safety, schedule, and production. (see 1.1.e)</li> </ul>		

## **APPENDIX 2**

### **WASHINGTON RIVER PROTECTION SOLUTIONS**

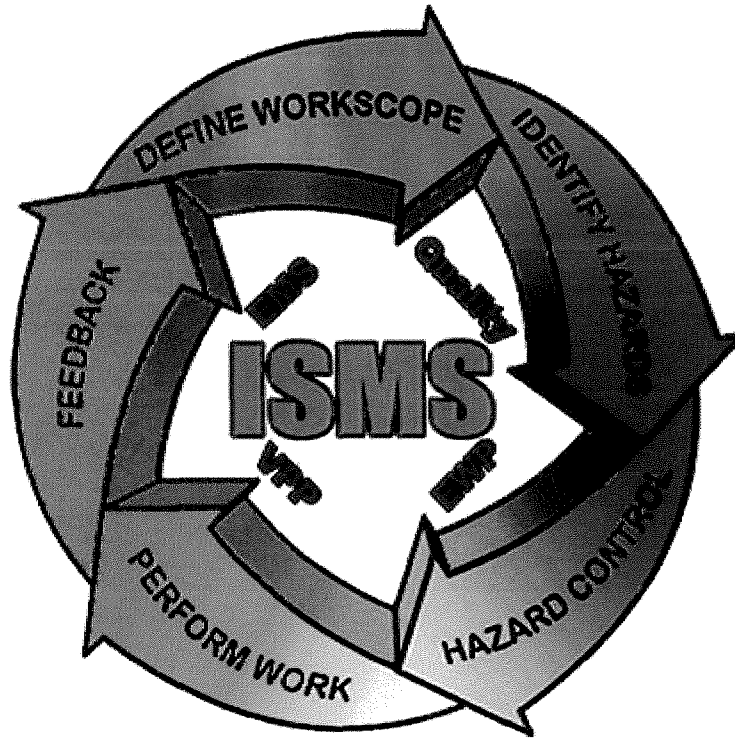
### **SAFETY CONSCIOUS WORK ENVIRONMENT**

### **SELF-ASSESSMENT PLAN**

**NOVEMBER 2012**

# WRPS ISMS Safety Conscious Work Environment

## Self-Assessment Plan FY2013-ECP-S-0376



November 2012

**Approved:** Original Signed by: \_\_\_\_\_ **Date:** October 30, 2012  
Ed Kennedy, Team Lead

## Purpose & Scope

1. Washington River Protection Solutions (WRPS) is performing a Safety Conscious Work Environment (SCWE) Self-Assessment as part of their annual Integrated Safety Management System (ISMS) declaration report for fiscal year (FY) 2012 as required in the Department of Energy (DOE) Office of River Protection (ORP) October 22, 2012 letter 12-SHD-0109, *Fiscal Year 2012 Annual Integrated Safety Management System (ISMS) and Quality Assurance (QA) Effectiveness Review Declaration*. WRPS is following the guidance provided in DOE Memorandum, Tracy P. Mustin - Principal Deputy Assistant Secretary for Environmental Management, *Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration*, dated September 26, 2012. Criterion 7: *Safety Conscious Work Environment Self-Assessment*, states... "Safety Conscious Work Environment Self Assessments must be conducted and reported using the *Safety Conscious Work Environment Self-Assessment Guidance*. The WRPS SCWE Assessment (Specialty Assessment) is being performed in accordance with TFC-ESHQ-AP-C-07, Revision G-5, *Management and Specialty Assessment* (10/24/12).

The results of the WRPS SCWE assessment will be reported in the format outlined in the SCWE assessment guidance in a stand-alone report due to DOE-ORP by January 15, 2013.

The attributes of safety culture excellence *italicized* below most clearly support SCWE at DOE facilities:

### Leadership Focus Area 1

- a. *Demonstrated safety leadership*
- b. Risk-informed, conservative decision-making
- c. *Management engagement and time in the field*
- d. Staff recruitment, selection, training, and development
- e. *Open communication and fostering an environment free from retribution*
- f. *Clear expectations and accountability*

### Employee Engagement Focus Area 2

- a. Personal commitment to everyone's safety
- b. *Teamwork and mutual respect*
- c. Participation in work planning and improvement
- d. Mindful of hazards and controls

### Organizational Learning Focus Area 3

- a. *Credibility, trust and reporting errors and problems*
- b. *Effective resolution of reported problems*

- c. *Performance monitoring through multiple means*
- d. Use of operational experience
- e. *Questioning attitude*

Supplemental Information SCWE Focus Area 4

*a. Performance Metric insights into SCWE*

**1.0 Team Members**

The Specialty Assessment team is shown below. Team BIO's are included in Attachment 3. The team has experience in ISMS and related experience in assessing safety culture at DOE:

Team Leader:	Ed Kennedy, Manager, WRPS Safety Culture/ECP
Team Advisor:	Mark Steelman <sup>1,2</sup> , President, SAL
Team Executive:	Frank McCoy <sup>1</sup> , URS
Internal Team Executive:	Wyatt Clark, WRPS COO
SME:	John McDonald, WRPS, Manager ESH&Q
DOE-ORP Points of Contact:	Steve Pfaff/Mat Irwin, ORP

Team Members

HAMTC Safety Representative:	Don Slaugh, WRPS
Operations:	Bill Ross, WRPS CAS Manager, R&C
Operations	Todd Synoground, BO Area Manager,
Human Resources:	Celene Chambers, WRPS Human Resources Specialist
222-S Laboratory	Everett Gray, RadCon Planner, 222-S Lab
Radiological Control:	Bill Duffy, Manager, Radiological Engineering
Radiological Control:	Grant Bachaud, BO RadCon Manager
Radiological Control:	Jim Crockett, TFP RadCon Manager
DOE-ORP:	Courtney Blanchard- DOE-ORP VPP Champion <sup>2</sup>

Notes: <sup>1</sup> – DOE Approval is required. <sup>2</sup> – Independent from WRPS



## **2.0 Methodology**

The lines of inquiry (LOIs), described in Attachment 1, were developed from the ISMS Guide, DOE G 450.4-1C, and *Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration*, dated September 26, 2012. Criterion 7: *Safety Conscious Work Environment Self-Assessment*. This set of LOIs has been developed for use by the team to perform this assessment.

To develop a complete picture of performance associated with each LOI, it is necessary for the Specialty Assessment team to use a combination of data collection methods. These include document analysis, WRPS All Employee ISMS/SCWE survey, personnel interviews, and observation of group situations (e.g., meetings, fieldwork).

### **3.1 Direct observation of work place behavior:**

The team will evaluate workforce activities that implement mechanisms/processes that could impact safety culture/behaviors for all work activities from the planning stages to feedback, including reviews of work packages and hazard analysis/controls, attendance at pre and post-job briefings, and field observation of work performances.

### **3.2 Face-to-face interviews:**

The Specialty Assessment team will use semi-structured interviews in which the main questions to be discussed are defined based on the LOIs. However, because it is important to make interview situations natural and easier for the interviewee, interviews will also be conducted while the employee is in their normal work setting.

### **3.3 Review of key safety culture related processes:**

The Specialty Assessment team will review the following types of documentation. Specific documentation to be reviewed includes, but not limited to:

- Employee Concerns Program policies and procedures.
- HR related policies and procedures relative to harassment and retaliation.
- WRPS ISMS Behavioral Expectations
- Procedures and policies related to stop work authority
- All Employee ISMS/SCWE Survey, DOE Hanford Site Organizational Climate & Safety Conscious Work Environment (SCWE) Survey.
- Assessment procedures, schedules and completed assessments, management observations and associated training materials
- Organizational improvement training materials
- Records from the Contractor Assurance Systems (CAS) and associated management review meetings (e.g., Senior Leadership CAS meetings, Collective Significance Review (CSR), PER User Group meetings).
- Communication plans and associated products associated with safety

- Performance measures/indicators
- Differing Professional Opinions (DPO)
- Contract mechanisms (subcontractor flow down)

Team members will document their review and observations on the Safety Culture Assessment Form (see Attachment 2 Sample Form) and include the following:

- Include any noteworthy practices observed during the Specialty Assessment
- Include recommendation(s) to responsible management
- Document the pertinent Specialty Assessment information.

### **3.0 Schedule**

The performance period for this Specialty Assessment campaign is from October 29, 2012 to November 16, 2012. The Team Leader will issue an approved report no later than January 7, 2013. The team leader will hold a daily status briefing at 3:30 pm at 2440 Stevens Center, Richland, WA.

- October 29 – November 2, 2012, obtain documentation, meeting schedules, field work schedules, setup interview schedule, Assessment Team Member Training (CBT), and obtain biographies for each team member.
- November 5, 2012 – Review plan, SCWE – 2 hours, an overview of Tank Farm Contractor SCWE, and make team assignments.
- November 6 - 16, 2012 – Personnel interviews, document reviews, and field observations.
- November 19 – December 6, 2012 – Prepare Draft Report.
- November 30, 2012 – Attend DOE Workshop on the use of SCWE Specialty Assessment Guidance
- December 3 – December 6, 2012 – Address any gaps based on the DOE Workshop
- December 10-20, 2012 – Review and Comment on Draft Report
- January 7, 2013, Issue Approved Report.

#### **Final Report**

The team leader will develop a report to document the results of the Specialty Assessment. These will be reported to DOE-ORP and WRPS Management.

Team members will be asked to sign the report, showing they concur with the report in the areas of their expertise. The team leader will transmit the report to DOE-ORP. The following paragraphs describe the final report format and provide a brief discussion of the material to be included in each section.

**Title and Signature Page(s)** - The cover and title page state the subject, and the date of the verification. A signature page will be provided. The final report will either include signatures from

all team members or a signature from the team leader and team advisor that signify the team's agreement as to the report content and conclusions.

**Executive Summary** - The summary is a synopsis of the review, strengths and weaknesses identified, and conclusions drawn. The executive summary will include:

- a. a brief synopsis of the Specialty Assessment which provides information concerning the team's Specialty Assessment;
- b. a discussion of noteworthy practices and opportunities for improvement, and
- c. whether contract incentives and performance measures achieve balanced priorities and include safety culture elements, and
- d. a conclusion regarding the effectiveness of SCWE-related processes and whether noted opportunities for improvement indicate a need for a further, more in-depth assessment of safety culture, and
- e. The team's recommendations for improvement.

**Introduction** - The introduction will provide information related to the team composition, use of the LOI's, and a summary of the review process and methodologies used in the Specialty Assessment.

**Assessment Results** - The report will present both a summary level discussion of Specialty Assessment results as they pertain to the three ISM safety culture Focus Areas and the supplemental review area previously discussed within this guidance document, along with an analysis as they pertain to each of the SCWE-related attributes under each focus area. The Safety Conscious Work Environment Specialty Assessment Guidance attribute-level analysis will include the team's summary evaluation of the level of implementation and effectiveness for each attribute.

Any deviations from the LOI guidance will be discussed, along with the reasons for the deviation(s) and the appropriate approvals for these deviations.

**Conclusions and Recommendations** - This section summarizes the team's overall interpretation of the Specialty Assessment results. It will include a discussion concerning the effectiveness of SCWE-related processes, (including but not limited to ECP and DPO) and whether contract incentives and performance measures achieve balanced priorities and include safety culture elements. This section will also include an overview of SCWE-related opportunities for improvement, the team's recommendations for improvement, and the team's conclusion as to whether a further, more in-depth assessment of safety culture is needed.

**Attachment 1**  
**LOI/Question Table**

## Report of 2012 WRPS ISMS SCWE Self-Assessment

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
<b>Focus Area 1 - Leadership</b>	<b>Focus Area 1: Leadership</b>		
<b><i>Attribute 1: Demonstrated Safety Leadership</i></b>	<b><i>1: Demonstrated safety leadership</i></b>		
1.1.a Line managers enhance work activities, procedures and process with safety practices and policies.	1.1.a How are safety practices and policies integrated into your work activities?		
1.1.b Leaders acknowledge and address external influences that may impose changes that could result in safety concerns	1.1.b What processes/tools do you use to make decisions regarding safe work performance when faced with unexpected or uncertain conditions?		
1.1.c Line managers clearly understand their work activities and performance objectives, and how to safely conduct their work activities to accomplish their performance objectives.	1.1.c How do you balance safety and production with the expectation that line managers understand their work and their performance objectives?		
1.1.d Line managers demonstrate their commitment to safety through their actions and behaviors, and support the organization in successfully implementing safety culture attributes, by conducting walk-throughs, personal visits, and verifying that their expectations are met.	1.1.d How does management, from immediate supervisor to senior managers, demonstrate their commitment to safety through their actions and behaviors?		
1.1.e The organizational mission and operational goals clearly identify that production and safety goals are intertwined, demonstrating commitments consistent with highly reliable organizations	1.1.e What are some examples that demonstrate the balance between safety and schedule? How did you derive that balance conclusion?		
<b><i>Attribute 2: Management engagement and time in the field</i></b>	<b><i>Attribute 2: Management engagement and time in field</i></b>		
1.2.a Maintaining operational awareness is a priority. Line managers are in close contact with the front-line employees. Line managers listen and act on real-time operational information. Line managers identify critical performance elements and monitor them closely.	1.2.a Are discussions, either formally or informally, held about task status and opportunities for improvement between managers and employees?		
1.2.b • Line managers spend time on the floor and in employee work areas. Line managers practice visible leadership by placing eyes on the work, asking questions, coaching, mentoring, and reinforcing standards and positive behaviors. Deviations from expectations are corrected promptly and, when appropriate, collectively analyzed to understand why the behaviors occurred	1.2.b What are the organization's expectations or requirements for management spending time in the field? Do you feel this expectation is being met? Do work activity improvements happen as a result of management time in the field?		
1.2.c Managers set an example for safety through their personal commitment to continuous learning and by direct involvement in high-quality training that consistently reinforces expected employee behaviors.	1.2.c What are your organization's expectations for broadening and enhancing your capabilities or professional development?		
<b><i>Attribute 3: Open communication and fostering and environment free from retribution</i></b>	<b><i>Attribute 3: Open communication and fostering an environment free from retribution</i></b>		
1.3.a A high level of trust is established in the organization.	1.3.a Describe the level of trust in your organization.		
1.3.b Reporting individual errors is encouraged and valued. Individuals feel safe from reprisal when reporting errors and incidents	1.3.b When someone makes an honest mistake that affects safety, what happens to that person? What about mistakes that affect production?		

## Report of 2012 WRPS ISMS SCWE Self-Assessment

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
1.3.c Individuals at all levels of the organization promptly report errors and incidents and offer suggestions for improvements	1.3.c Does the organization encourage and solicit input from workers when seeking to resolve problems or to define potential improvements?		
1.3.d A variety of methods are available for personnel to raise safety issues and line managers promptly and effectively respond to personnel who raise safety issues.	1.3.d Describe your organization's process and methods for reporting issues, errors and problems. Does line management promptly and effectively respond?		
1.3.e Leaders proactively detect situations that could result in retaliation and take effective action to prevent a chilling effect.	1.3.e Do you feel free to raise safety concerns without fear of retaliation? Does management effectively respond to retaliation and the potential for chilling effect?		
1.3.f The organization addresses disciplinary actions in a consistent manner; disciplinary actions are reviewed to ensure fair and consistent treatment of employees at all levels of the organization	1.3.f Is discipline applied fair and consistent across the WRPS organization?		
<b>Attribute 4: Clear expectations and accountability</b>	<b>Attribute 4: Clear expectations and accountability</b>		
1.4.a Line managers provide ongoing performance reviews of assigned roles and responsibilities reinforcing expectations and ensuring key safety responsibilities and expectations are being met.	1.4.a Is safety and ISMS Behavior Expectations covered in my performance review?		
1.4.b • Personnel at all organizational levels are held accountable for standards and expectations. Accountability is demonstrated both by recognizing excellent performance as well as identifying less-than-adequate performance. Accountability considers intent and organizational factors that may contribute to undesirable outcomes.	1.4.b Does my supervisor set clear expectations for safety and hold people accountable to ISMS Behavior Expectations?		
1.4.c • Willful violations of requirements and performance norms are rare. Individuals and organizations are held accountable in the context of a just culture. Unintended failures to follow requirements are promptly reported, and personnel and organizations are acknowledged for self-identification and reporting errors.	1.4.c ISMS Behavioral Expectations are clearly communicated without conflicting messages from other communications/ sources.		
<b>Focus Area 2: Employee/Worker Engagement</b>	<b>Focus Area 2: Employee/Worker Engagement</b>		
<b>Attribute 1: Teamwork and Mutual Respect</b>	<b>Attribute 1: Teamwork and mutual respect</b>		
2.1.a Open communications and teamwork are the norm.	2.1.a Do open conversations with my peers and my supervisor concerning safety issues occur?		
2.1.b Individuals at all levels of the organization listen to each other and effectively engage in crucial conversations to ensure meaning, intent and viewpoints are understood; and that differing points of view are acknowledged	2.1.b Do individuals at all levels of the organization actively listen to each other to ensure they understand the meaning, intent, and viewpoints that are being communicated?		
2.1.c Discussion on issues focus on problem solving rather than on individuals.	2.1.c When disagreements about safety are brought up, what happens?		
2.1.d Good news and bad news are both valued and shared.	2.1.d When bad news is discussed, what is the tone of the discussion?		

## Report of 2012 WRPS ISMS SCWE Self-Assessment

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
<b>Focus Area 3: Organizational Learning</b>	<b>Focus Area 3: Organizational Learning</b>		
<b><i>Attribute 1: Credibility, trust and reporting errors and problems</i></b>	<b><i>Attribute 1: Credibility, trust and reporting errors and problems</i></b>		
3.1.a Credibility and trust are present and continuously nurtured so that a high level of trust is established in the organization.	3.1.a Do you trust your supervisor to make good decisions in regards to you and your peer's safety?		
3.1.b Organizations, managers and line supervisors provide accurate, relevant and timely information to employees. Line managers are skilled in responding to employee questions in an open, honest manner.	3.1.b Do managers respond in a timely, effective manner to issues that are brought to their attention?		
3.1.c Reporting individual errors is encouraged and valued. Individuals are recognized and rewarded for self-identification of errors.	3.1.c Is self-identification/self-reporting viewed positively as part of the work scope?		
3.1.d Line managers encourage and appreciate safety issue and error reporting.	3.1.d When an issue is reported to management, what happens?		
3.1.e Managers and line supervisors demonstrate integrity and adhere to ethical values and practices to foster trust.	3.1.e How does management demonstrate integrity and ethical values.		
3.1.f Managers and line supervisors demonstrate consistency in approach and a commitment to the vision, mission, values and success of the organization as well as the individuals (people).	3.1.f Does management consistently hold themselves and others accountable to meeting the WRPS ISMS Behavioral Expectations?		
3.1.g Mistakes are used for opportunities to learn rather than blame.	3.1.g When someone makes an honest mistake that affects safety, does management focus on the issue or the individual?		
3.1.h Individuals are recognized and rewarded for demonstrating behaviors consistent with the safety culture principles.	3.1.h How are individuals recognized and rewarded for positive safety culture behaviors?		
<b><i>Attribute 2: Effective resolution of reported problems</i></b>	<b><i>Attribute 2: Effective resolution of reported problems</i></b>		
3.2.a Vigorous corrective and improvement action programs are established and effectively implemented, providing both transparency and traceability of all corrective actions. Corrective action programs effectively prioritize issues, enabling rapid response to imminent problems while closing minor issues in a timely manner to prevent them from escalating into major issues.	3.2.a Do you believe the WRPS corrective action management program is effective in identifying and resolving issues?		
3.2.b Results from performance assurance activities are effectively integrated into the performance improvement processes, such that they receive adequate and timely attention. Linkages with other performance monitoring inputs are examined, high-quality causal analyses are conducted, as needed, and corrective actions are tracked to closure with effectiveness verified to prevent future occurrences.	3.2.b a Do you believe the WRPS corrective action management program is effective in identifying and resolving issues? What mechanisms are used to monitor safety performance? (e.g., number of skin contaminations/month)		

## Report of 2012 WRPS ISMS SCWE Self-Assessment

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
3.2.c Processes identify, examine and communicate latent organizational weaknesses that can aggravate relatively minor events if not corrected. Organizational trends are examined and communicated.	3.2.c What processes are in place at WRPS to examine organizational weaknesses? (e.g., MOPs, Specialty Assessments, etc.)		
3.2.d Organizational systems and processes are designed to provide layers of defenses, recognizing that people are fallible. Lessons learned are shared frequently; prevention and mitigation measures are used to preclude errors from occurring or propagating. Error-likely situations are sought out and corrected, and recurrent errors are carefully examined as indicators of latent organizational weaknesses	3.2.d Do the WRPS Conduct of Operations and/or Human Performance Indicator Programs provide adequate layers of defense? (e.g., Lessons Learned, Communication, ID of error likely situations and latent organizational weaknesses)		
3.2.e Incident reviews are conducted promptly after an incident to ensure data quality and to identify improvement opportunities. Causal analysis expertise is applied effectively to examine events and improve safe work performance. Causal analysis is performed on a graded approach for major and minor incidents, and near-misses, to identify causes and follow-up actions. Causal analysis incorporates multi-discipline analytical perspectives. Even small failures are viewed as windows into the system that can spur learning.	3.2.e Describe your organization's event investigation expectation including membership, timeliness, causal analysis and thoroughness. Is this expectation being met?		
3.2.f Performance improvement processes require direct worker participation. Individuals are encouraged, recognized and rewarded for offering innovative ideas to improve performance and to solve problems.	3.2.f Does the organization encourage and solicit input from workers when seeking to resolve problems or to define potential improvements?		
<b><i>Attribute 3: Performance monitoring through multiple means</i></b>	<b><i>Attribute 3: Performance monitoring through multiple means</i></b>		
3.3.a Line managers maintain a strong focus on the safe conduct of work activities. Line managers maintain awareness of key performance indicators related to safe work accomplishment, watch carefully for adverse trends or indications, and take prompt action to understand adverse trends and anomalies. Management employs processes and special expertise to be vigilant for organizational drift.	3.3.a Does WRPS use effective performance indicators related to safe work accomplishment, identifying trends or indications that warrant prompt action to address adverse trends or anomalies?		
3.3.b Performance assurance consists of robust, frequent, and independent oversight conducted at all levels of the organization. Performance assurance includes independent evaluation of performance indicators and trend analysis.	3.3.b Do you believe the WRPS Contractor Assurance Program (CAS) is effective in independently identifying and analyzing trends?		
3.3.c Line managers throughout the organization set an example for safety through their direct involvement in oversight activities and associated performance improvement.	3.3.c Does management, from immediate supervisor to senior managers, demonstrate their commitment to safety through their actions and behaviors?		



## Report of 2012 WRPS ISMS SCWE Self-Assessment

DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
3.3.d The organization actively and systematically monitors performance through multiple means, including leader walk-arounds, issue reporting, performance indicators, trend analysis, benchmarking, industry experience reviews, Specialty Assessments, peer reviews, and performance assessments.	3.3.d How is performance information used to improve overall company performance?		
3.3.e The organization demonstrates continuous improvement by integrating the information obtained from performance monitoring to improve systems, structures, processes, and procedures.	3.3.e Are performance indicators and lessons learned incorporated into the work planning/implementation process?		
3.3.f Line managers are actively involved in all phases of performance monitoring, problem analysis, solution planning, and solution implementation to resolve safety issues.	3.3.f How is safety performance including problem analysis used to improve and/or resolve safety issues?		
3.3.g The organization maintains an awareness of its safety culture maturity. It actively and formally monitors and assesses its safety culture on a periodic basis.	3.3.g What mechanisms are used to periodically monitor Safety Culture?		
<b>Attribute 4: Questioning Attitude</b>	<b>Attribute 4: Questioning Attitude</b>		
3.4.a Line managers encourage a vigorous questioning attitude toward safety, and foster constructive dialogues and discussions on safety matters.	3.4.a Does your organization encourage a questioning attitude and discussion on different approaches before work is performed?		
3.4.b Individuals cultivate a constructive, questioning attitude and healthy skepticism when it comes to safety. Individuals question deviations, and avoid complacency or arrogance based on past successes. Team members support one another through awareness of each other's actions and constructive feedback when necessary.	3.4.b Does my workgroup avoid complacency by constantly questioning "what" and "how" we perform our work?		
3.4.c Individuals pay keen attention to current operations and focus on identifying situations where conditions and/or actions are diverging from what was assumed, expected, or planned. Individuals and leaders act to resolve these deviations early before issues escalate and consequences become large.	3.4.c Does my supervision actively seek out and support different opinions on how to get the job done when conditions change from the planned work?		

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DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
<b>Supplemental Information - Focus Area 4: SCWE Metrics</b>	<b>Focus Area 4: SCWE Metrics</b>		
<i>Attribute 1: Performance metric insights into SCWE</i>	<i>Attribute 1: Performance metric insights into SCWE</i>		
4.1.a What insight does Performance Assurance System data provide regarding SCWE and whether the organization learns from safety concerns? The recommended team approach is to evaluate the issues management system to determine whether: 1) when employees raise issues, are they involved in determining the solution, 2) do they receive feedback on the resolution of their concerns, 3) do workers actively participate in the preparation and execution of corrective actions, 4) are employees a part of improvement initiatives at their work locations, and 5) whether performance indicator trends show that the system is being effectively used by workers and managers to identify and address issues (e.g., trends could exist in: the rate of corrective action completion, the number of overdue corrective actions, the average age of incomplete corrective actions, or the number of issues deemed as recurring).	4.1.a Describe the WRPS CAS data that is collected and evaluated for SCWE? Is worker involvement for improvement encouraged?		
4.1.b What evidence exists to show decision making reflects a safety first attitude? The recommended approach is to evaluate operations and management information/metrics to determine whether trends and changes are present in performance indicators, such as: 1) rate of unplanned LCO entries; 2) rate and nature of procedural violations; 3) the rate of deferred/overdue training; 4) currency of SCWE-related procedures and policies (e.g., Differing Professional Opinion process, Employee Concerns Program ); and 5) number of problem identification reports submitted on a periodic basis (e.g., monthly).	4.1.b Describe the WRPS metrics that is collected and evaluated to indicate a safety first attitude?		
4.1.c What evidence exists to show how effectively the organization monitors the SCWE aspects of their safety culture? The recommended team approach is to evaluate performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) rates of overdue/delayed/cancelled audits & assessments; 2) the number and quality of findings; 3) turnover in audit/assessment staff; 4) rate and nature of externally- vs. internally-identified findings; and 5) the rate and nature of reportable events.	4.1.c How does WRPS monitor the effectiveness of SCWE/Safety Culture?		

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DOE HSS/EM LOI (9/26/2012 Memo)	WRPS Self-Assessment Questions	Rating	Objective Evidence
4.1.d What evidence exists that demonstrates managers/supervisors perform first hand observations of the work environment, listen to workers, and make changes where necessary? The recommended team approach is to evaluate performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) the number of management observations by senior managers; 2) the number of management observations that identify deficiencies or best practices; and 3) the number of deficiencies or best practices that result in change.	4.1.d a. What are the organizations expectations or requirements for management spending time in the field regarding the work environment?		
4.1.e What evidence exists that demonstrates the organization maintains nuclear facilities in a manner that supports both production and the safe performance of work? The recommended team approach is to evaluate facility performance metrics to determine what trends and changes are present in performance indicators such as: 1) the number and age of LO/TO hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or impaired safety systems.	4.1.e What are some examples that demonstrate the balance between safety and schedule? How did you derive that balance conclusion?		

Chose the summary evaluation for each attribute that best describes the level of Implementation and Effectiveness

Implemented and Effective (I&E)	Evidence demonstrates that the expectations described in the attribute are routinely demonstrated in a repeatable, reliable manner. Processes are aligned with outcomes and performance is monitored to ensure that desired results are achieved.
Partially Implemented or Partially Effective (PI/PE)	Evidence demonstrates that the expectations described in the attribute are not routinely demonstrated in a repeatable, reliable manner. Processes are partially in alignment with outcomes and performance is not monitored to ensure desired results are achieved.
Not Implemented or Not Effective (NI/NE)	Insufficient evidence -or- evidence demonstrates that the expectations described in the attribute are not being met. Processes are substantially misaligned with outcomes and performance is not repeatable or not being achieved.

**Attachment 2**

**Safety Conscious Work Environment Self-Assessment Form Example**

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## Attachment 2 - Sample Assessment Form

<b>WRPS SAFETY CONSCIOUS WORK ENVIRONMENT SELF-ASSESSMENT FORM</b>			
<b>Focus Area:</b> Attribute 1: Demonstrated Safety Leadership			
<b>Date:</b> 11/07/2012			
<b>Organization / Project / Facility Reviewed:</b> Base Operations			
<b>Personnel Contacted:</b> John Doe			
<b>Focus Area/ LOI Questions:</b>			
1.1.a How are safety practices and policies integrated into your work activities?			
1.1.b What processes/tools do you use to make decisions regarding safe work performance when faced with unexpected or uncertain conditions?			
1.1.c How do you balance safety and production with the expectation that line managers understand their work and their performance objectives?			
1.1.d How does management, from immediate supervisor to senior managers, demonstrate their commitment to safety through their actions and behaviors?			
1.1.e What are some examples that demonstrate the balance between safety and schedule? How did you derive that balance conclusion?			
<b>Associated Document(s):</b>			
_____	_____	_____	_____
<b>Reviewer (Print &amp; Sign)</b>	<b>Date</b>	<b>Team Lead (Print &amp; Sign)</b>	<b>Date</b>

**Attachment 3**

**Team BIO's**

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**Mr. Ed Kennedy (SCWE Self-Assessment Team Lead, Focus Area 4 – SCWE Lead):** Mr. Kennedy has over 40 years of project and program management experience predominantly in the nuclear industry, including commercial nuclear and DOE facilities. He has performed as Senior Director of ES&H at the country's largest uranium mining and milling facility, Project Manager for contracts at numerous DOE facilities and DOE HQ, including the last 15 years performing in various management positions at Hanford Tank Farms. Hanford Tank Farm Contractor positions include Radiological Controls Assessment Manager, Price Andersons Amendment Act (PAAA) Manager, Manager of Waste Feed ESH&Q, Chemical Vapors Control Manager, Vice-President ES&H, Safe Work Environment Manager, and Employee Concerns Program Manager. His experience includes employee concerns program investigations, Safety Conscious Work Environment program development and institutionalization into ISMS functions and processes, Human Performance Improvement, SCWE Survey Development and analysis, assessment program development and implementation, NRC License Radiation Safety Officer, causal analysis, and corrective action plan development and implementation. Mr. Kennedy has performed at Team Lead on self-assessments of a variety of different programs and processes throughout his career, including NRC License compliance, EPA and Agreement State permits and licenses, ES&H Program, emergency preparedness, employee exposure control, RadCon Program Triennial Assessments, Chemical Vapor Control Program, ISMS, VPP, Safe Work Environment. Mr. Kennedy is trained and has performed in numerous Root and Apparent Cause Analysis and Corrective Action Plan Development. He supported the original development and implementation of the TOC Safe Work Environment Program, DOE's Safety Culture and Organizational Climate Survey at Hanford, and DOE's SCWE Training module. Mr. Kennedy is a graduate from Humboldt State University.

**Mr. Mark Steelman (SCWE Self-Assessment Independent, DOE Approved, Advisor):** Mr. Steelman has more than 38 years of project management experience including projects within the government and commercial nuclear sectors. His experience also includes employee concern program investigations, safety conscious work environment development/survey and analysis, root cause analysis, training, design, licensing, construction, operation, and outage planning/maintenance of commercial nuclear plants. Mr. Steelman is an operational readiness subject matter expert and has led more than 60 operational readiness reviews and/or readiness assessments in accordance with DOE Order 425.1, ISMS Phase I and Phase II assessments and Safety Culture assessments. He also has expertise in the restart and recovery of troubled nuclear plants and DOE facilities and has dealt with and is familiar with NRC and DOE regulations and requirements. Mr. Steelman was the Director of Regulatory Integration at Rocky Flats and the Director of the Facility Evaluation Board at Hanford. He established a compliant ISO 9000-2001 QA Program for the Alyeska Pipeline Services Company and led several root cause analyses there. He has also evaluated nonconforming conditions and prepared root cause and collective significance evaluations of problem commercial and DOE facilities including management, health and safety, and environmental aspects. He has supported engineering design, construction reviews, and employee concern investigations including chilled

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worker/retaliation and regulatory reviews and assessments for the Hanford Cleanup in Richland, Washington for several years. He supported the original development and deployment of the NRC Safety Conscious Work Environment (SCWE) initiative, including training, and has developed and delivered dozens of Safety Culture Surveys across DOE, NRC, and the oil and gas industry. He has recently been supporting DOE-RL, MSA and WRPS with their Safety Culture Survey's in FY 2012. Mr. Steelman is a graduate from the University of Washington and a Certified Professional Environmental Auditor (CPEA).

**Mr. Frank McCoy:** Mr. McCoy has over 40 years of experience in the operation, regulation, and management of Department of Energy (DOE), commercial, and naval nuclear facilities including power and production reactors, chemical processing facilities, and laboratories. This experience has included management and senior executive positions with DOE, Department of Navy, and the U.S. Nuclear Regulatory Commission (NRC), as well as private sector companies.

Currently Mr. McCoy is Senior Vice President, Nuclear Safety with URS Safety Management Solutions (SMS). In this capacity, he provides technical and programmatic leadership for SMS safety programs and initiatives. He also has collateral duties as the URS Global Management & Operations Services Chief Nuclear Safety Officer where he chairs a multi-site Nuclear Safety Council and provides nuclear safety oversight services for URS projects and operations. Mr. McCoy often interacts with regulatory and oversight bodies including the NRC, DOE-Headquarters, and the Defense Nuclear Facilities Safety Board (DNFSB) in the US; Department of Natural Resources and Canadian Nuclear Safety Commission in Canada; and the Nuclear Decommissioning Authority and Office of Nuclear Regulation in the United Kingdom (UK).

Over the past 10 years, Mr. McCoy has personally supported many U.S. DOE sites and projects in the areas of nuclear safety review; incident and accident investigation; and management, operations, and reliability evaluation. He has also served on third party independent review committees at DOE's Hanford Reservation, Brookhaven National Laboratory, West Valley Demonstration Project, Savannah River Site, and Los Alamos National Laboratory. Mr. McCoy has led Operational Readiness Reviews for nuclear facility startups – recently including those for the Oak Ridge National Laboratory High Flux Isotope Reactor Startup, the Brookhaven National Laboratory High Flux Beam Reactor Decommissioning, The Idaho Cleanup Project Integrated Waste Treatment Unit Startup, and the Hanford River Corridor Project Building 324 Stabilization (Readiness Assessment) – and has led Contractor Integrated Safety Management (ISM) Verifications – recently including those for Idaho National Laboratory and Idaho Cleanup Project, Lawrence Livermore National Laboratory, Hanford Tank Operations Contract and Hanford River Corridor Project. Additionally, he served as the Senior Advisor for the Savannah River Liquid Waste Operations and the Hanford Mission Support Operations Contractor ISM Verifications. He has also provided quality assurance, authorization basis development and implementation, work planning and control, Integrated Safety Management, decontamination and decommissioning, and operational readiness consultation to many DOE sites and projects. In this regard, he recently led the successful corporate improvement initiative to develop and implement a URS Global Management & Operations Services Work Planning and Control Standard.

For the past four years Mr. McCoy has been involved in international nuclear consultation in Canada and the UK. He led independent program and project reviews for the Canadian Government and Canada's Crown Corporation, Atomic Energy Canada Limited (AECL). These reviews included independent 3<sup>rd</sup> party reviews of the \$2 billion investment and infrastructure



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needs at Chalk River Laboratories; independent 3<sup>rd</sup> party reviews of the appropriateness of recent actions, projects, and programs established to assure reliable medical isotope production in Canada with the National Research Universal Reactor; and program and project reviews of the multi-billion dollar Canadian Nuclear Legacy Liabilities Program. He has also provided nuclear safety governance and assurance consultation services for the Managing Director of the UK Sellafield site.

Before retiring from government service and joining URS, Mr. McCoy was a senior executive for the DOE where his first assignment as Director, Savannah River Special Projects Office involved leading the Department's efforts to upgrade the nuclear reactor programs, practices, and performance to contemporary commercial nuclear standards and start up the Savannah River production reactors; and his last assignment as the Deputy Manager, Savannah River Operations Office involved serving as Chief Operating Officer for the site. He also served as a Special Assistant to the Under Secretary of Energy where he led DOE's successful effort to establish and implement an Integrated Safety Management System across the DOE complex and led a United States delegation of nuclear safety experts to Japan in order to provide assistance to the Japanese government regarding the nuclear criticality accident at the Tokaimura uranium processing facility. Prior to joining DOE, Mr. McCoy held management positions at the NRC and Department of Navy.

He earned a Bachelor of Science degree from The Citadel and a Master of Science degree in Physics from the Georgia Institute of Technology and is the recipient of numerous awards including a Meritorious Presidential Rank Award, a Secretary of Energy Award, and several DOE Exceptional Service Awards.

**Mr. William Ross (Focus Area 1 – Leadership Lead):** Mr. Ross has over 34 years of government nuclear technical and managerial experience with responsibility for a broad range of project management, reactor, chemical, and waste operations including ESH&Q. Mr. Ross has managed large technical and union staffs up to 750 employees, and a programmatic value approaching \$160 million. Mr. Ross has over 10 years of experience leading management and specialty assessments covering subjects including Conduct of Operations, ISMS/HPI, Operations, Engineering and Industrial Safety and Health. Mr. Ross is a qualified event investigator and root cause analyst. Mr. Ross has a B.S in Mechanical Engineering from Washington State University.

**Mr. Todd Synoground:** Mr. Synoground has worked in the nuclear industry for more than 25 years, primarily within the operations discipline of operating facilities. Mr. Synoground started as a Nuclear Chemical Operator during the late 80's operating Hanford's PUREX, PFP, and the UO<sub>3</sub> facilities before accepting a management position in the PUREX Operations organization. Mr. Synoground has managed facility and operations organizations at PUREX, PFP, WRAP, T-Plant, and Tank Farms. Discipline strengths include Waste Management, Radiochemical Separations Processes, Plutonium Processing, and Nuclear Material Control and Accountability. Mr. Synoground has been involved in several assessments throughout his career to include VPP

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Star status, Nuclear Facility Operational readiness, and WIPP certification assessments. Mr. Synoground is a graduate from Ashford University and holds a degree in Organizational Management.

**Mr. James (Jim) Crockett:** Mr. Crockett has more than 26 years of Hanford experience including 23 years with the Radiological Control Organization supporting the 222-S Laboratory, Solid Waste Storage Facility, TRU Retrieval start-up, and Tank Farm facilities. Jim is currently the Tank Farm Projects Radiological Control Manager responsible for numerous High Risk work activities centered around Tank Farm system upgrades supporting Waste Treatment Plant start-up. Jim has taken part in many assessment activities focusing on Radiological/Conduct of Operations activities, and has been on two project wide VPP and ISMS assessments. Prior to Jim's current position he was a Lead Health Physics Technician at 222-S, and Radiological Control Supervisor at both the 222-S Laboratory, and Tank Farms facilities.

**Mr. Grant Bachaud (Focus Area 2 – Employee / Worker Engagement Lead):** Mr. Bachaud has more than 25 years of radiological control experience. He began his career as a radiological control technician at Puget Sound Naval Shipyard. During his time supporting the Naval Nuclear Propulsion Program he held various positions within the radiological control program, from 1<sup>st</sup> level supervisor to senior manager. During his time at Puget Sound Naval Shipyard he received training in causal analysis and cause mapping and was certified as a critique chairperson. He led several specialty assessments across his functional area of experience. Mr. Bachaud took part in performing independent assessments of other Naval Shipyards as an audit team member assigned to NAVSEA during 2004. In March of 2007 he transferred to the Hanford Site and worked for Washington Closure Hanford until January of 2009 when he transferred to Washington River Protection Solutions and is currently holding the position of Project Radiological Control Manger. While at the Hanford Site he has continued to perform and support assessments associated with radiological work as well as conduct of operations.

**Mr. Don Slaugh:** Mr. Slaugh started his career at the Idaho Nuclear Engineering Laboratory in 1983 as a Health Physic Technician. He has worked at a variety of Nuclear Plants across the nation, both Pressurized Water Reactors and Boiling Water Reactors, until 1990. He performed as a technician, lead worker, supervisor, and coordinator. He started His career at Hanford as a Health Physics Technician, then took a position as cognizant Engineer over Tank Farms Effluents and Radiation instrumentation. His primary focus was working on Evaporator instrument upgrades and various instrumentation modifications (split cams, PCMs, change trailers, etc.). Mr. Slaugh worked as a Cognizant Engineer at Tank Farms and then went back to the Health Physics Lead position. As a technician, he worked at West Tank Farms as Lead,

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Solid Waste Lead Technician, Liquid Effluent Treatment Facility Start Up Lead Technician, and East Tank Farms as Lead Technician. In 2006, he started in his current position as a Hanford Atomic Metal Trades Council Safety Representative. Mr. Slaugh has Safety Supervisor training and certification, from the University of Washington, and OSHA Safety and Health General Industry Certification, and OSHA 510 Construction Industry Certificate. Over that past several years, Mr. Slaugh has assisted DOE on numerous DOE Site assessments as an assessment team member, internal company assessments as assessor and Lead Assessor on VPP, Safety programs, Fact findings, Root cause and Causal analysis.

**Mr. Everett Gray:** Mr. Gray currently serves as a senior Radiological Control work planner and ALARA Coordinator for the 222-S facility. He routinely plans highly involved operations and maintenance work packages with emphasis on control of contamination and personnel dose and ensures worker feedback and lessons learned are applied to future similar work. Mr. Gray has more than 30 years in the in the nuclear industry in both military and government applications. His overall experience includes work group supervision, resource allocation, work planning, training, and regulatory/procedural compliance. Mr. Gray is very familiar with the radiological control aspects of facility stabilization, decontamination, decommissioning, and facility maintenance. He has applied his extensive radiological controls knowledge over a wide spectrum of nuclear industry activities at the Hanford Site. Mr. Gray's previous assessment experience includes base line evaluations of medium-sized military units and job task/specialized training needs assessments. He routinely independently assesses completed work packages for improvement items and compliance with established requirements. Mr. Gray has participated as a team member in several 222-S Laboratory/Tank Farm VPP self-assessments and served as the coordinator/contact for two DOE VPP Assessments Teams at 222-S Laboratory.

**Ms. Celene Chambers (Focus Area 3 – Organizational Learning Lead):** Ms. Chambers has more than 20 years of administrative assistant/project assistant experience within the private, government and commercial nuclear sector. While employed in the commercial nuclear sector, part of Ms. Chambers' responsibilities was monitoring and tracking to completion organization corrective actions and assignments through the PassPort Action Tracking Corrective Action database. In addition to her normal duties, Ms. Chambers participated as a team member for an emergency response team for the Columbia Generating Station. She participated as a team member for department self-assessments, and served as the organizations Environmental Management Systems Representative, participating in surveillances and audits impacting assigned organizations. In addition, Ms. Chambers has actively participated in process improvement initiatives, providing valuable input and recommendations. As the Intern Coordinator for Washington River Protection Solutions, Ms. Chambers continually makes

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improvements to strengthen the program by interfacing with corporate and all levels of managers, mentors, and interns gathering feedback, and implementing changes.

**William L. Duffy:** Mr. Duffy is the WRPS Radiological Engineering Manager. He has over 16 years of diverse experience in health physics. Mr. Duffy began his career in 1991 with the U.S. Navy, and has served as a radiological control technician at Oregon State University, a Shielding and Dose Assessment Engineer for British Nuclear Fuels Limited, Inc., a Graduate Teaching Assistant at Oregon State University, a Health Physicist and Radiological Engineer for Puget Sound Naval Shipyard, a Senior Health Physicist for CH2M Hill, Hanford Group, and a Principle Health Physicist for Washington River Protection Solutions prior to accepting his current position. Mr. Duffy obtained his Bachelors of Science degree in Radiation Health Physics, Cum Laude, in 1999 and completed a Master's of Science degree in Radiation Health Physics in 2001, both awarded by Oregon State University. Mr. Duffy is a Certified Health Physicist, member of the Health Physics Society and has published papers in Health Physics and the International Union of Radioecology Newsletter.

**Mr. Courtney Blanchard (DOE approved ORP Representative):** Mr. Blanchard has over 30 years of regulatory compliance, engineering, and project and program management experience predominantly in the nuclear industry, including commercial nuclear and Department of Energy (DOE) facilities. His experience includes nuclear regulatory oversight, project management, and mechanical engineering design. Mr. Blanchard is currently the DOE Office of River Protection (ORP) Industrial Safety Specialist and Voluntary Protection Program manager. He previously was a certified DOE ORP Hanford Tank Farm and 222S Laboratory Facility Representative with responsibilities to ensure that the contractor complied with their authorization bases, state and federal laws, DOE regulations, NRC regulation were applicable, and contractor procedures and processes that ensure compliance with laws and invoked regulations. His project management and engineering experience commenced at Goodyear Atomic Corporation during the design and constructions of the Gas Centrifuge Enrichment Plant, as a plant engineer for Owens Illinois Inc building plastic bottle plants, and then at Puget Sound Naval Shipyard (PSNS) designing and managing the design and installation of fire protection systems. Mr. Blanchard holds a Mechanical Engineering degree from Michigan Technological University and has been a Washington State registered professional engineer since 1988.