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ATTACHMENT

INTEGRATED SAFETY MANAGEMENT SYSTEM SAFETY CONSCIOUS WORK
ENVIRONMENT SELF-ASSESSMENT REPORT

Consisting of 10 pages,
including this cover page

Report of 2012 MSA ISMS SCWE Self-Assessment



MISSION SUPPORT ALLIANCE
INTEGRATED SAFETY MANAGEMENT SYSTEM
SAFETY CONSCIOUS WORK ENVIRONMENT
SELF-ASSESSMENT REPORT

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EXECUTIVE SUMMARY

Mission Support Alliance (MSA) 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, (Criterion 7) as directed by the Department of Energy (DOE).¹

The MSA SCWE Self-Assessment was comprised of four distinct components. First, DOE-RL and its prime contractors (MSA, CH2M HILL Plateau Remediation Company [CHPRC] and Washington Closure Hanford [WCH]) conducted a Safety Culture Review during June through August, 2012 to gather “good practices” in regards to safety culture at DOE-RL². Second, a review was performed as a first look at MSA as a follow on to the June 2012, DOE Site-Wide Speak Up Safety Culture Survey.³ Third, to evaluate existing data (DOE Good Practices Review, MSA Hanford General Employee Training [HGET] Survey, MSA Voluntary Protection Program [VPP] Assessment, etc.) within MSA and link the data to each of the four Focus Area attributes described within the ISMS Guide DOE G 450.4-1C Attachment 10. Fourth, MSA benchmarked 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.

Through the use of LOIs, MSA 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.

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.

The review found all four (4) of the DOE ISMS Safety Culture Focus Areas and their associated Attributes to be “implemented and effective” within MSA. Based on the results of the information gathered for this self-assessment, the interviews, field work associated activity observations, and documentary evidence, the MSA SCWE can be described as effectively implemented. A few strengths were identified, as well as improvement concepts.

While each of these Focus Areas and Attributes were rated as “implemented and effective,” that does not mean that MSA has reached its goal, or that it has no areas for improvement. MSA recognizes that just the opposite is true. Continued vigilance is necessary to maintain and improve worker perceptions of the MSA SCWE. Without continued vigilance for all aspects of MSA’s 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.

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

² The DOE Safety Culture Review Plan and Final Report are not duplicated in this report and are on file at DOE-RL.

³ DOE-HQ Hanford Site-Wide Safety Culture Survey administered by EurekaFacts (June, 2012)

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The data summarized in this report is especially enlightening given the recent stresses and detractors in the work environment (Hanford Atomic Metal Trades Council [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.

During the course of this four pronged self-assessment, the following Strengths and Improvement Concepts were identified and are provided below⁴.

Strengths

- **Information Management Dedicated HAMTC Safety Representatives/SCWE**
The Information Management organization, which includes approximately 450 Lockheed Martin Services Incorporation (LMSI) employees, was introduced to ISMS and VPP in fiscal year 2010. MSA assigned a HAMTC Safety Representative to mentor and educate appropriate management, employees, and bargaining unit personnel on the core functions and guiding principles of ISMS and VPP tenets. Engaging a HAMTC Safety Representative to mentor employees not previously involved in ISMS or VPP is a strength.
- **ISMS Surveillance Team/Employee Engagement**
The MSA ISMS surveillance team consists of HAMTC bargaining unit workers and subcontracted technical experts that provide ongoing evaluation/ feedback/ mentoring of field work activities. This activity is performed to enhance the sustainability and maintainability of the MSA ISMS program elements, consistent with the ISMS System Description, the Annual ISMS Declaration of Readiness, and the FY 2012 ISMS Surveillance Team Plan. The team evaluation strategy is designed to provide immediate feedback to MSA management (including senior leadership) relative to ISMS implementation in the field and complete a “reality check” on ISMS process use and efficiency.
- **VPP Trimester Assessments/Learning Organization**
Participating VPP sites are required to conduct an annual self-assessment. MSA subdivided the annual VPP evaluation into three manageable assessments to be performed on a trimester basis. Immediate feedback of strengths and weaknesses are communicated to the respective Vice President which allows for ongoing improvements and focus areas as opposed to a once a year assessment. Results of the trimester evaluations are consolidated into the annual VPP self-assessment report and subsequently submitted to DOE Headquarters in February the following year. This process was viewed as commendable by MSA’s DOE-RL customer.

⁴ The information from this Self-Assessment will be one of several inputs into the overall MSA Safety Culture Plan that is scheduled to be released on May 31, 2013.

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- **Integrated Approach to Management of Risks/Leadership**

MSA is responsible for implementing an integrated approach to the management of risks that supports successful execution and completion of the contract work scope. The risk analysis, processing and reporting process establishes the requirements and work process for management of risks associated with the execution of work scope under the Mission Support Contract (MSC). Risk analysis includes key processes to accomplish efficient and cost-effective measures to manage risks.

- **Worker Involvement/Employee Engagement**

The Hanford Fire Department (HFD) established a committee that addresses issues regarding the use and safety of required Personnel Protective Equipment (PPE). Whenever there is an issue with their PPE, fire fighters feel free to report their concerns to the Committee. The Committee evaluates the affected PPE and researches how to best improve the situation.

MSA maintains an Employee Zero Accident Council (EZAC) that is structured and operates on a “bottoms up” approach. As issues are identified in the field or office environment, information provided by workers is elevated to appropriate safety and management personnel. The originator of the issue is involved in the resolution process.

MSA management encourages all employees to submit safety or environmental topics they feel worthy of incorporating into weekly “Safety Starts.” These topics do not necessarily have to be related to work place hazards; MSA strongly endorses a 24/7 safety culture. “Safety Starts” are shared at Monday morning back-to-work meetings and intended to stimulate conversation within work groups on safety or environmental related issues.

The Fire Systems Maintenance group includes workers in the planning of preventive maintenance packages, which includes both corrective maintenance and acceptance testing packages.

Improvement Concepts⁵

- **Use of Operational Experience**

Feedback (Lessons Learned and Operational Experience) is an important attribute when planning any work activity. Every data point indicated feedback has not matured to the point where it is consistently used during the work planning process.

- **Corrective Action Systems**

MSA personnel indicated that use and knowledge of the Corrective Action Management System is weak and used inconsistently.

⁵ The information from this Self-Assessment will be one of several inputs into the overall MSA Safety Culture Plan that is scheduled to be released on May 31, 2013.

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- **Job Characteristics**

Most of the MSA workforce interviewed commented on workload, priorities and physical conditions at work.

- **Detection and Prevention of Retaliation**

The backbone of a robust SCWE is the ability of all employees to feel free to raise issues without fear of retribution. Although MSA scored very well, employee awareness of alternative avenues for raising safety concerns could be strengthened.

INTRODUCTION

In July 2012, DOE conducted a Hanford Site Organizational Climate & SCWE Survey (DOE Survey). Eighty-one percent (81%) of the responding MSA workforce indicated they observed an effectively implemented SCWE. In almost every area where MSA had identified an opportunity for improvement, based on safety culture data that is collected routinely, e.g., HGET survey data, VPP assessment data, ISMS Surveillance Team data, and instituted improvement plan corrective actions, improvement was observed in worker perception. The aggregate of improvement areas indicates that MSA 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 (250) were conducted with:

- Bargaining Unit Employees (HAMTC and the Hanford Guards Union)
- Professionals
- Exempt/Non-Exempt
- Managers
- DOE-RL Oversight Representatives (Facility Representatives, Managers)

Approximately 500 documents were reviewed to determine the efficacy of implementation and integration of a SCWE into and throughout the MSA ISMS and Safety Management programs. In addition, dozens of field work associated activities (field observations) were observed by the MSA ISMS Surveillance Team.

Focus Area 1: Leadership

The MSA data and DOE Survey found *Focus Area 1 - Leadership* within MSA to be effectively implemented (approximately 86%) with respect to setting SCWE expectations and holding themselves and others accountable for meeting and exemplifying those expectations. Eighty-five percent (85%) of those who participated, validated by interviews with workers in this self-assessment, indicate a clear, demonstrated safety leadership exists. Managers including several Vice Presidents, 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 original ISMS Surveillance Team September 2011 data (54%) to the September 2012 data (90%). Line managers were found to listen to workers and act on real-time operational experience. Leadership is recognized for improving open communication and fostering an

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environment free from retaliation (94%) as seen in the field by the ISMS Surveillance team and 85% from all other survey data. Trust between the workgroup and their immediate manager/supervisor is described as very high by nearly all of those interviewed during the review. 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). The MSA workforce recognizes there are a variety of avenues for raising issues although it could be strengthened.

Focus Area 2: Employee/Worker Engagement

Greater than 90% of the workforce who participated, validated through field observations and 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 85% indicated there is a strong teamwork mentality and clear demonstration of mutual respect shown among peers and between management and the workers. Eighty-three percent (83%) 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.

Focus Area 3: Organizational Learning

Generally, the July 2012 DOE Review and the overall MSA survey data, personnel perceive that ***Focus Area 3 - Organizational Learning*** is effectively implemented within MSA as scores were in the 80% range. The workers indicated effective resolution of reported problems increase from 78% in the July DOE review to 85% overall across MSA. There is a strong agreement that MSA employs an issues management process 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 Issue Identification Form (IIF) process. The process for initiating an IIF is available to all personnel (including the MSA workforce, subcontractors, and DOE). IIF information is readily available to the workforce throughout the entire process. The IIF 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. One improvement concept was noted in the use of **Operational Experience/Lessons Learned**. This was identified by Eureka Facts at 73.3% and MSA overall at 78%.

Focus Area 4: Safety Conscious Work Environment

In the area of SCWE performance metrics, ***Focus Area 4 - SCWE*** the MSA workforce perceived an effectively implemented program. Documentary evidence indicates that MSA 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. MSA maintains an in-depth company-level performance metric program. At this level, metrics are maintained for Personnel Safety & Health, Operations, Environmental Performance, Radiological Safety, and Work Control (Conduct of Operations).

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MSA uses the following SCWE-related metrics to monitor a safety first attitude and management presence in the field:

- HGET VPP Survey
- VPP Assessment
- MSA Monthly Metrics
- MSA All Employee SCWE Survey Data

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 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, the review team 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.

The guidance from the table below was used to determine implementation and effectiveness for each Focus Area⁶.

<i>DOE Guidance - Chose the summary evaluation that best describes the level of Implementation and Effectiveness for each attribute.</i>	
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. <i>MSA 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 MSA believes this attribute is implemented effectively, it will always be monitored for improvement and over time will be improved, as warranted.</i>
Partially Implemented or Partially Effective (PI/E)	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.

⁶DOE Memorandum dated 9/26/2012, Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration

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Not Implemented or Not Effective (NI/E)	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.
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ASSESSMENT RESULTS

To commence the assessment, the four components described in the executive summary were reviewed to gain a perspective of where the workforce perceives strengths and weaknesses in the MSA SCWE. This analysis helped the team focus on particular areas to gain greater insights into worker perceptions. The comparative results of 10 main attributes are summarized here:

	<u>MSA Data</u>	<u>DOE Survey</u>
<ul style="list-style-type: none"> • Focus Area 1: Leadership <ul style="list-style-type: none"> ➤ Demonstrated Safety Leadership ➤ Management Engagement/Time in the Field ➤ Open communication and fostering and environment free from retribution ➤ Clear expectations and accountability 	<p>85%</p> <p>91%</p> <p>94%</p> <p>86%</p>	<p>74%</p> <p>74%</p> <p>76%</p> <p>74%</p>
<ul style="list-style-type: none"> • Focus Area 2: Employee/Worker Engagement <ul style="list-style-type: none"> ➤ Teamwork and Mutual Respect 	<p>86%</p>	<p>77%</p>
<ul style="list-style-type: none"> • Focus Area 3: Organizational Learning <ul style="list-style-type: none"> ➤ Credibility, trust and reporting errors and problems ➤ Effective resolution of reported problems ➤ Performance monitoring through multiple means ➤ Questioning Attitude 	<p>85%</p> <p>85%</p> <p>84%</p> <p>83%</p>	<p>80%</p> <p>77%</p> <p>76%</p> <p>72%</p>
<ul style="list-style-type: none"> • Focus Area: SCWE <ul style="list-style-type: none"> ➤ Detection and Prevention of Retaliation 	<p>75%</p>	<p>77%</p>

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 MSA Safety Conscious Work Environment is found to be implemented and effective, and can be described as effectively implemented (Ref: Page 8 definition).