

**Self-Assessment of the  
Safety Conscious Work Environment at  
Oak Ridge Office of Environmental Management and  
URS|CH2M Hill Oak Ridge, LLC  
Oak Ridge, Tennessee**



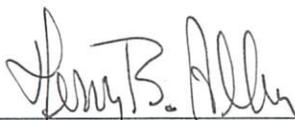
**Final Report**

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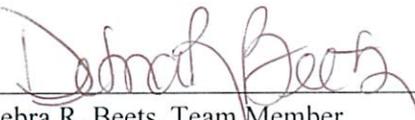
**Oak Ridge Office of Environmental Management**

**August 2013**

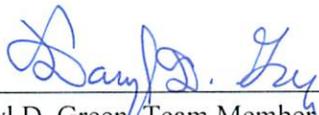
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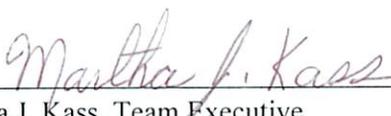
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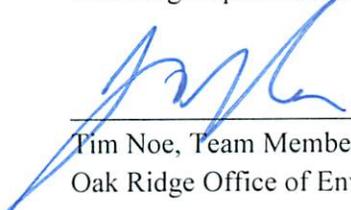
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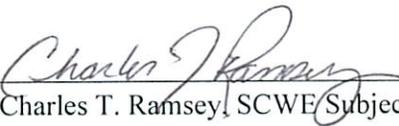
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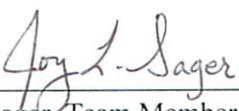
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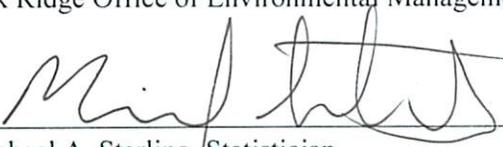
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**LIST OF ACRONYMS**

DOE	U.S. Department of Energy
EETMR	Employee Engagement – Teamwork and Mutual Respect
ETTP	East Tennessee Technology Park
FPD	Federal Project Directors
IPT	Integrated Project Team
OREM	Oak Ridge Office of Environmental Management
LAEFFR	Leadership – An Environment Free From Retaliation
LCEA	Leadership – Clear Expectations and Accountability
LDSL	Leadership – Demonstrated Safety Leadership
LMETF	Leadership – Management Engagement and Time in the Field
LOC	Leadership – Open Communication
OLCT	Organizational Learning – Questioning Attitude
OLERP	Organizational Learning – Effective Resolution of Problems
OLPM	Organizational Learning – Performance Monitoring
OLQA	Organizational Learning – Questioning Attitude
ORNL	Oak Ridge National Lab
ORO ISC	Oak Ridge Operations Integrated Service Center
SCWE	Safety Conscious Work Environment
SME	Subject Matter Expert
SM	Senior Management (OREM Manager and OREM Deputy Manager)
SMT	Senior Management Team (OREM Manager, Deputy Manager, FPDs, and Directors)
UCOR	URS CH2M Hill Oak Ridge, LLC

## **EXECUTIVE SUMMARY**

This self-assessment was conducted as part of the Department-wide extent of condition review in response to safety culture concerns raised by the Defense Nuclear Facilities Safety Board in *DNFSB Recommendation 2011-1*. This local review is to determine whether safety culture weaknesses identified at other DOE sites are also present at the Oak Ridge Office of Environmental Management (OREM)/East Tennessee Technology Park (ETTP) site.

The safety conscious work environment (SCWE) self-assessment guidance provided each site some latitude in the approach to the self-assessment. OREM elected to take the “multi-team” approach where OREM conducted a self-assessment of the Federal operations and the prime contractor, following directions from OREM, performed a self-assessment of their operations and provided a report to OREM.

This consolidated report includes the results of both the self-assessment of the OREM SCWE Federal Operations and URS | CH2M Oak Ridge LLC (UCOR), the prime contractor for performing work for the U.S. Department of Energy (DOE) at ETTP. While this is an initial self-assessment of the Federal operations SCWE, the UCOR self-assessment is broader than just a “point in time” snapshot. It presents a perspective on the safety culture from the beginning of their contract to the present and includes a review of the effectiveness of the actions UCOR has taken over time. The UCOR evaluation covers the time period between August 1, 2011 and August 1, 2013.

The *Safety Conscious Work Environment Self-Assessment Guidance* and associated lines of inquiry provided to the Environmental Management field elements in the September 26, 2012 memorandum from Tracy P. Mustin, Principal Deputy Assistant Secretary for Environmental Management, in the *Fiscal Year 2012 Annual Integrated Safety Management System and Quality Assurance Effectiveness Review Declaration* guidance were used to guide each self-assessment.

The results of these self-assessments are presented using the Focus Areas and Associated Attributes identified by DOE as a framework for evaluating safety culture. Volume I of this report includes results from the OREM self-assessment and Volume II provides the results of the UCOR self-assessment.

The fundamental question to be answered during these self-assessments is whether the work environment is one where workers feel free to raise safety concerns without fear of retaliation. In general, both self-assessments concluded that such an environment does exist within the OREM and UCOR operations. Both organizations are committed to continuous improvement and plan to continue monitoring the work environment and its safety culture as part of the ongoing assessment and oversight programs.

Reviews of the supplemental topics concluded that current contract incentives and contract performance measures achieve a reasonable balance between cost/schedule and safety. These topics are generally addressed in Volume I, Section 2.4 and addressed in more detail in Volume II, Section 2.4.

With the dynamic nature of the work of the Environmental Management Program in Oak Ridge and the continuing budget uncertainties, both self-assessments have identified the need for continued vigilance and focus on the areas of communication, maintaining heightened safety awareness, a visible presence of management in carrying the safety message, and engaging workers in the performance improvement processes.

**VOLUME I**

**Safety Conscious Work Environment Self-Assessment of  
Oak Ridge Office of Environmental Management**

## **1.0 INTRODUCTION**

The primary focus of this initial self-assessment is to determine if there is a safety conscious work environment (SCWE) present within the Oak Ridge Office of Environmental Management (OREM) and the health of that environment. A safety conscious work environment has been defined as a subset of safety culture related to a work environment in which employees feel free to raise safety concerns to management (and/or a regulator) without fear of retaliation.

Recognizing that safety culture and SCWE are products of behaviors, the staff perceptions, opinions, and feelings are first-hand indicators of the actual functioning of the organization. The Federal self-assessment team included individuals specifically identified for their ability to relate to people and elicit candid responses to interview questions that draw out true perceptions and feelings. The team was comprised of five representatives from OREM; one from each organizational unit. The team also included four additional members that are independent from the OREM organization. These included a U. S. Department of Energy (DOE) division director from the Oak Ridge National Laboratory (ORNL) Site Office as the Team Executive, a SCWE subject matter expert (SME) from ORNL recommended by Environmental Management (EM) headquarters, a safety SME, and a statistician from the Oak Ridge Office of Science (ORO) Integrated Support Center (ISC). (Expertise and credentials of the Federal Self-Assessment Team are provided in Attachment A)

A combination of survey and interview data collection methods was used to gather responses to the lines of inquiry. Data collection was done in a phased approach beginning with a survey offered to the entire OREM organization, including direct support contractors. An internet-based survey instrument was used to solicit feedback on a series of questions derived from the SCWE lines of inquiry. Seven specific questions the EM Program Office asked all EM organizations to pose to their workers were included. The survey provided for anonymous responses and the respondents had the opportunity to provide comments online. The data collected from the completed surveys were analyzed to identify focus areas and/or particular safety culture attributes to emphasize for further inquiry as part of the interview phase of the self-assessment. (See Attachment B – Survey Questions)

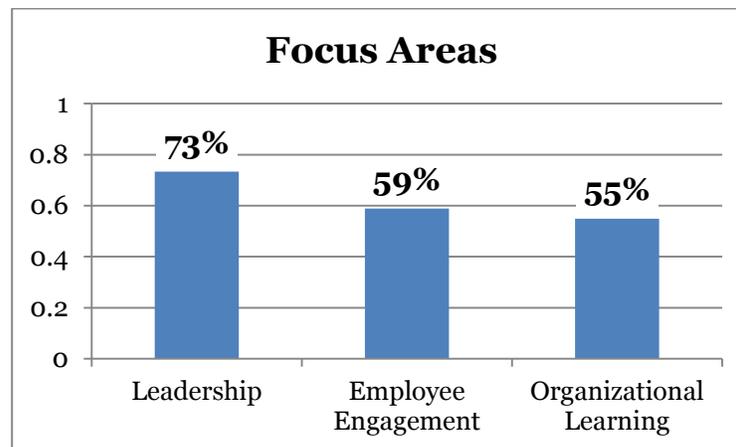
The second phase of the self-assessment involved interviews of approximately 25 percent of the federal staff, including management. A common set of interview questions was used for all interviews that followed the lines-of-inquiry from the guidance and covered each focus area and attribute. (See Attachment C – Interview Questions) The population to be interviewed was selected using a random selection process to preserve anonymity but to also include representation from each part of the organization and major job classification. (The number of surveys and interviews are reflected in the tables in Attachment D)

As the SCWE self-assessment activities got underway, the OREM Manager distributed information to the staff introducing the purpose of the self-assessment and encouraging full and candid participation. The self-assessment was further introduced to the staff during an all-hands meeting before the survey was activated. The OREM staff was also provided the opportunity to take the online SCWE introductory training provided through the National Training Center.

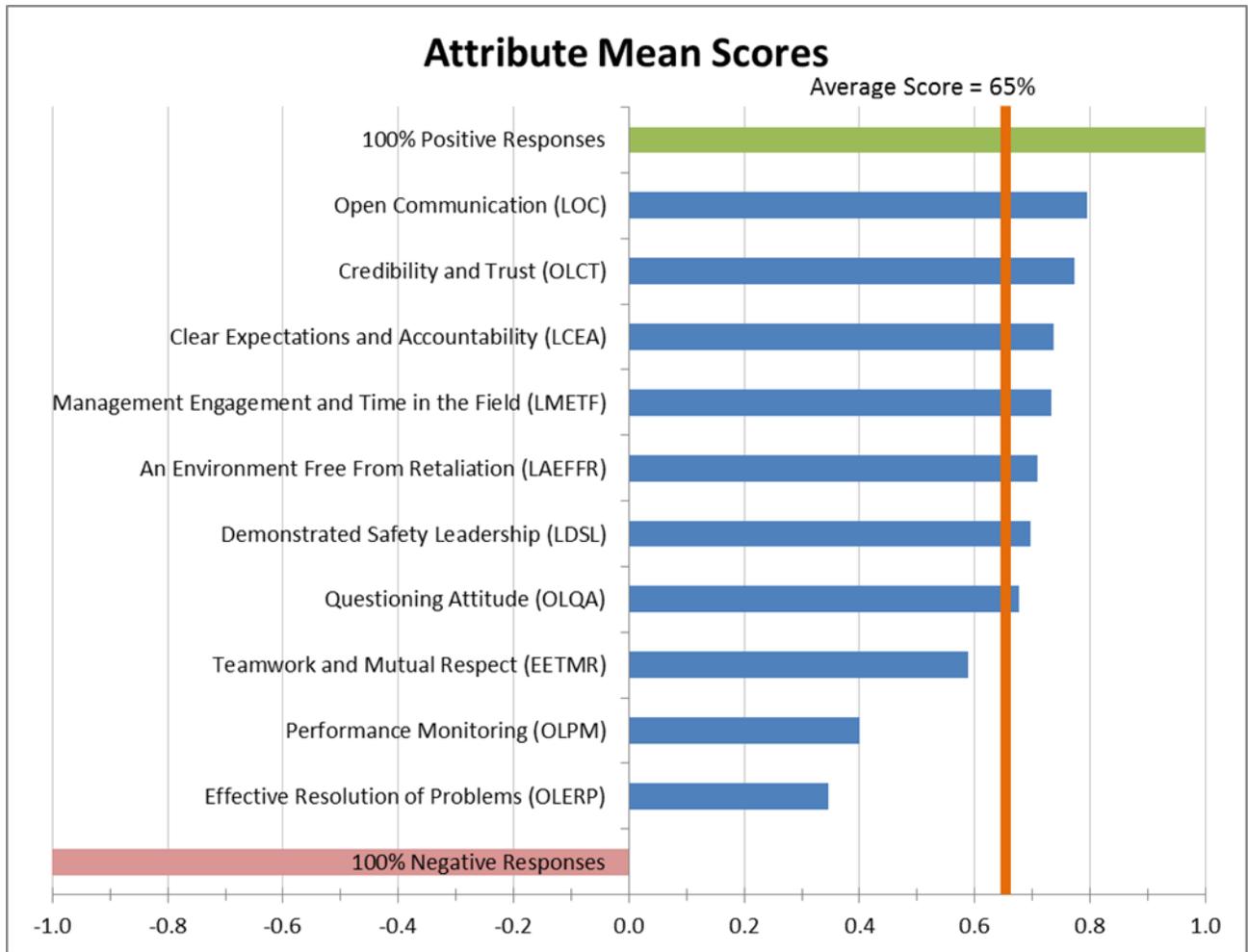
## 2.0 ASSESSMENT RESULTS

The fundamental question to be answered during this self-assessment was whether the work environment within OREM is one where workers feel free to raise safety concerns without fear of retaliation. In general, responses to the survey questions, in particular the seven focused questions, and responses from the interviews were substantially more positive than negative with respect to raising safety concerns without fear of retaliation (Attachment E). However, the lines of inquiry and questions derived from them lead to a much broader examination of organizational culture.

The survey was partitioned into three focus areas, which were comprised of a total of ten attributes. A series of questions were asked pertaining to each attribute. The results from these questions were combined to provide a quantitative measure of the respondents' perception of each attribute. A positive/neutral/negative transform analysis was applied to the survey data. This analysis involved assigning a numeric value to each response based on whether the response reflected a positive, neutral, or negative perspective. All responses were assigned a value of either +1 for positive, 0 for neutral, or -1 for negative. A composite score for each attribute from all respondents was calculated by averaging these scores. For example, an attribute score of +1 would indicate that all responses to the series of questions related to that attribute were positive. For this survey scores for all responses fell in the range of 0 to +1 indicating overall generally positive responses. This same methodology was used in determining the focus area scores. The results of this analysis show the nature of the responses with respect to the three focus areas (Figure 1) and each of the attributes (Figure 2).

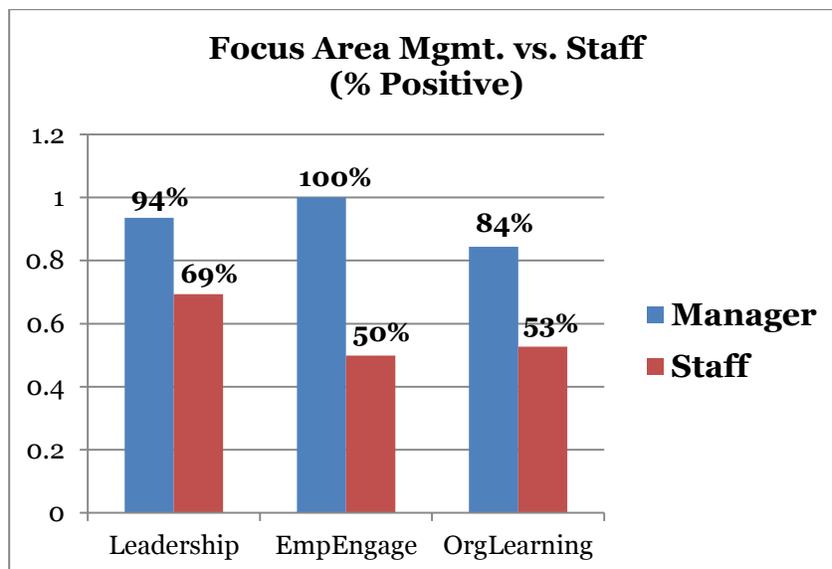


Percent Positive Responses  
Figure 1

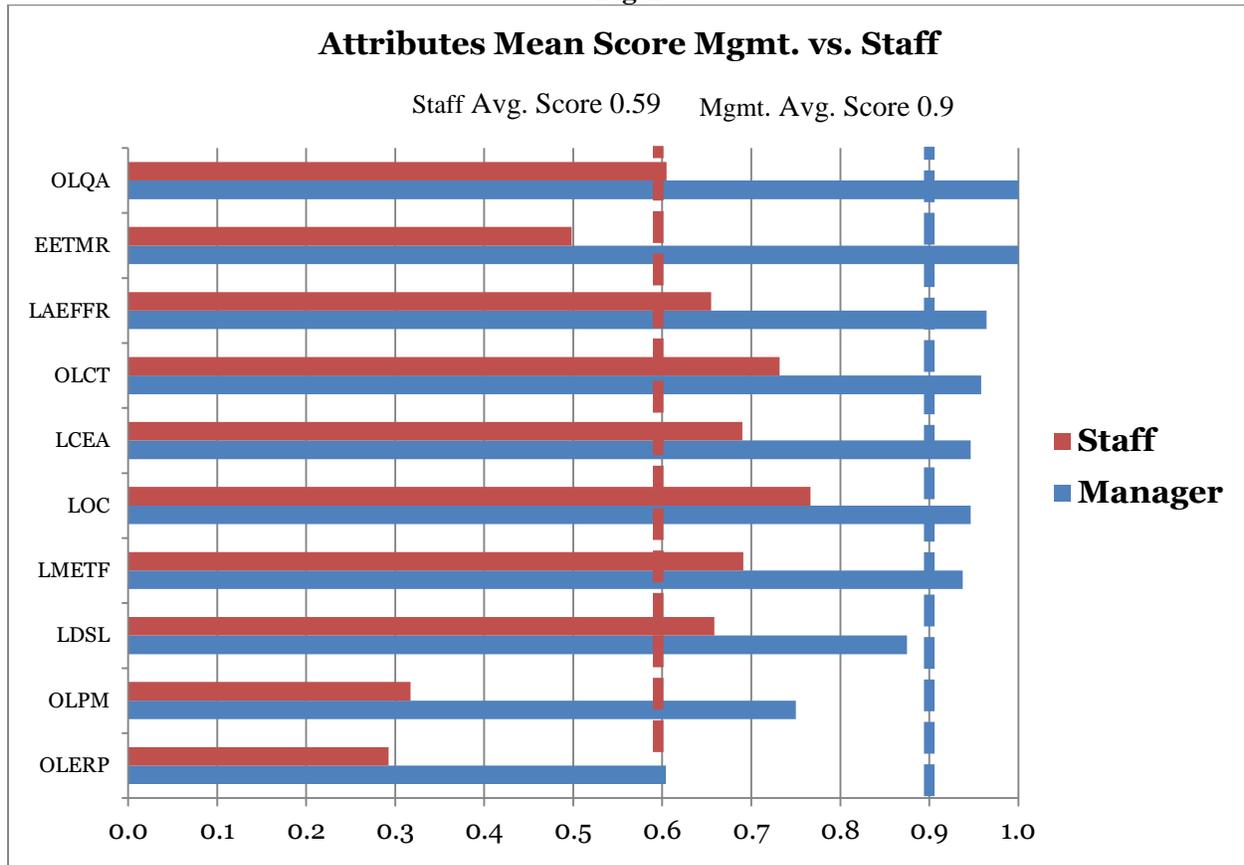


**Survey Response Scores by Attribute**  
**Figure 2**

Similar analysis using the demographic information included with the survey responses reflects the differences between responses from managers/supervisors and the staff (Figures 3 and 4).



**Percent Positive Responses**  
**Figure 3**



**Survey Response Scores by Attribute**  
**Figure 4**

This analysis indicates that there are five attributes with the lowest positive scores and also with the greatest differences between management/supervisor responses and those of the staff. The five attributes in order of greatest to least differences are: (1) Employee/Worker Engagement – Teamwork and Mutual Respect, (2) Organizational Learning – Performance Monitoring through multiple means, (3) Organizational Learning – Questioning Attitude, (4) Organizational Learning – Effective resolution of reported problems, and (5) Leadership – Environment free from retaliation. The set of interview questions covering all attributes were tailored in particular to seek further clarification from both staff and management on these five attributes. Clarifications are included in the following discussion of each attribute. (Note that the survey results included in the following sections reflect a composite of management/supervisor and staff views and do not differentiate between those two groups.)

**2.1 Focus Area 1: Leadership**

**Attribute: Demonstrated safety leadership**

Results from the survey indicate generally positive perceptions that:

- OREM managers understand the major safety issues associated with the work scope and give consideration to safety practices and policies during project planning, scheduling, and execution,

- External pressures (from headquarters, contractors, or others) that could adversely affect safety are recognized and addressed,
- The Strategic Plan, Portfolio Plans, and project plans reflect a balance between production goals and safe work performance, and
- Managers proactively address safety issues.

Staff responses regarding this attribute during the interviews were mostly positive, reflecting a general perception that management is committed to and recognizes safety as a high priority. Safety topics are routine agenda items at all-hands meetings, but it was noted that the staff rather than management are typically called on to deliver the message. It was also noted that safety topics are not routinely discussed in most of the lower level staff and project meetings.

However, a perception expressed by some staff respondents is that the degree to which safety issues are well understood and to which emphasis is placed on safety during project planning and execution varies among the managers. Survey responses were mixed as to whether at least some of the managers “routinely” demonstrate their commitment to safety through their actions and behaviors.

Results from interviews of representatives from the management team reflect that OREM leadership is committed to safety and employee understanding of issues and focus areas.

**Attribute: Management engagement and time in the field**

The survey results indicate generally positive perceptions that:

- OREM managers routinely monitor critical safety performance elements and view operational awareness as a priority.
- Managers listen to input from the staff, appreciate timely notification of safety issues, and act on operational information.
- Managers address safety concerns in a timely manner
- Managers are committed to continuous learning for themselves and the staff.

There were mixed interview responses from the staff on this attribute with some making a distinction between senior management (SM), Federal Project Directors (FPDs), and Division Directors. There were also distinctions in defining “the field” and “time in the field.” In general, some FPDs and Division Directors have been more visible “walking their spaces” in both the Federal workspace and in the field than senior management and other FPDs and Division Directors. The staff sees more management visibility in the office workspaces or field sites when there are guest tours or at meetings. Direct interaction of management with individual staff members to observe and discuss ongoing work, ask questions, and reinforce safe work practices is seen much less frequently.

Interviews with managers found that they are generally engaged and stay informed through various means. However, there is recognition of the need for improvement in this area, although the managers meet their performance plan time in the field requirement.

**Attribute: Open communication and fostering an environment free from retribution**

The survey results for this attribute were generally positive. However, as indicated in Figure 4 above, perceptions of the managers/supervisors differ from those of the staff on the issue of possible retribution. For this attribute the survey provided a separate set of questions related to open communication and a set related to an environment free from retribution. The lower score for this

attribute is primarily associated with the issue of trust and perceptions of inconsistent application of recognition and rewards and of disciplinary actions.

- Respondents generally feel free to approach management with safety concerns and to communicate openly and honestly about these concerns with co-workers, supervisors, and management.
- Overall respondents do not hesitate to report errors or incidents or to offer suggestions for improvement and generally feel safe from reprisal when reporting safety concerns.
- The vast majority of respondents are aware of multiple ways to raise safety concerns.
- Respondents generally feel OREM managers encourage the staff to point out safety concerns with a lesser degree of encouragement for offering helpful criticism.
- Responses were very positive that everyone shows respect for anyone who identifies concerns.
- As a rule, respondents believe OREM managers do not tolerate retaliation for raising safety concerns.
- The level of trust is greater within individual divisions than across OREM as a whole.

Staff responses during interviews regarding this attribute were more negative than positive, particularly regarding the question of trust. Lack of trust was indicated primarily in senior management and, to a lesser degree in the entire management team. There was acknowledgement that the current management team has not necessarily been in place long enough as a team to earn a high level of trust. There are perceptions of favoritism, “game-playing” among members of the management team, and lack of communication with staff in general.

Regarding the question of management’s response to concerns, there was a more balanced staff response with some indicating management is willing to listen to concerns, particularly at the division director level. The responses were mostly positive with respect to staff’s ability to raise safety concerns to management without some form of retaliation. However, some did indicate reluctance to raise non-safety issues and concerns in general to certain managers. There were a few specific concerns that there could be some form of covert retribution, but not related directly to raising safety concerns, depending on the personality of the manager. There was also a perception that some members of the senior management team do not want to deal with problems and attempt to deflect or defer dealing with them.

Results from interviews with OREM managers and supervisors reflect an acknowledgement that trust in the Senior Management Team is not there yet but they believe it is growing. They also acknowledged communication weaknesses but believe there have been improvements in that area as well. They believe there is no hesitancy to address safety issues but recognize that responses depend on the level of concern and are not always consistent.

**Attribute: Clear expectations and accountability**

Survey results for this attribute indicate that:

- Respondents readily acknowledge that they have the responsibility for identifying problems and are empowered to stop or suspend any activity that they perceive is unsafe.
- Performance reviews generally help with an understanding of management expectations, including safety responsibilities.
- Responses were mixed with regard to how well defined safety responsibilities and authorities are and if they are clearly understood.

- Responses were more mixed with regard to the consistency with which management holds personnel accountable for their work performance and addresses recognition, rewards, and disciplinary actions.
- Responses reflected a mix of perspectives on whether OREM Management positively acknowledges self-identification of unintended errors.
- The majority of respondents generally agree that willful violations of requirements or performance norms are rare but there were indications that some believe there may be some cases where requirements or performance norms have been violated.

During the interviews, most employees recognize their performance elements and position description elements as their standard of performance. They also observe that there is recognition for “high performers” during the annual performance evaluation. However, some feel more recognition of staff accomplishments throughout the year would be helpful and appreciated.

Staff responses regarding performance recognition and accountability were more negative than positive. There is a perception that excellent performance is not consistently well-recognized or rewarded and, even more so, that employees, including managers, are not held accountable for less-than-adequate performance. A common perception is that the outcome of poor performance is that the work is simply reassigned to those considered to be high performers with no negative consequence to the poor performer.

Interviews of managers and supervisors found a belief that their expectations are clearly articulated during individual and group meetings. The ePerformance system is being utilized for performance management and managers recognize good performance in meetings and through the awards system. Private coaching is used to address less than adequate performance.

## **2.2 Focus Area 2: Employee/Worker Engagement**

### **Attribute: Teamwork and mutual respect**

Although there were some reservations, survey results with respect to this attribute were generally positive. However, as indicated in Figure 4 above, views of the managers/supervisors are quite different from those of the staff. The primary differences are reflected in the responses to the questions related to acknowledgement and effective resolution of differing points of view and management’s practice of an “open door policy” and availability in the field.

- In general respondents feel there is open communication and teamwork across OREM and mission and goals are clearly communicated.
- Respondents believe management wants concerns reported, both good news and bad news are valued, and there is a willingness of management to listen to problems and concerns.
- Responses were mixed with respect to perceptions of an “open door” policy and managers making his or herself available in the field.
- Responses were also mixed with respect to management’s recognition and acknowledgement of differing points of view and the resolution of differing views with mutual understanding of the parties.

Staff responses during the interviews regarding this attribute were significantly more positive than negative. Teamwork and use of Integrated Project Teams (IPT) was cited by multiple staff, and there was recognition that project managers, facility representatives, and support staff (engineering, safety,

etc.) work well together to maintain a focus on safety. However, teamwork was largely believed to be a result of the length of time people have been in the organization and their ability to work together in spite of the changing nature of the organization and its structure. Consistently, employees feel that communications across the board need to continue to improve (in their Division as well across Divisions, up and down from management and staff). There were multiple suggestions and recommendations regarding improvement in teamwork and communication, including broadening and strengthening the IPTs, more teaming opportunities to provide input on decision making, clarifying and communicating details of the continuing interface OREM employees can/should have with the ORO ISC, and providing more opportunities for cross-training and mentoring.

Interviews with managers and supervisors reflected an acknowledgement that improvements are needed in the area of teamwork. That acknowledgement extended to the need for improved listening skills for some of the management team and concerns that there may not be equity in the application of employee (both staff and management) recognition and accountability (i.e., favoritism). Management responses in the area of communication were generally positive, believing that standing meetings support effective communication channels for operational activities, management actions, and general information sharing.

### **2.3 Focus Area 3: Organizational Learning**

#### **Attribute: Credibility, trust and reporting errors and problems**

Survey responses for this attribute are generally positive reflecting that:

- Respondents believe they routinely receive accurate, relevant, and timely safety information from OREM management and they generally trust most of the OREM managers to routinely demonstrate integrity and adhere to ethical values and practices.
- Their supervisors are accessible, communicate expectations, and value their employees as individuals and as members of the organization.
- Respondents believe line/senior management is promptly notified of safety concerns.
- With some reservations, respondents generally believe that mistakes are used as opportunities to learn rather than to blame and lessons learned are communicated and used. (A question was raised about ownership of the Lessons learned Program within OREM.)
- Perceptions are mixed as to whether members of the management team are totally unified in the approach and commitment to the vision, mission, values, and success of the organization, but in general believe they are for the most part.

Responses from the staff during the interviews were mixed. Some feel that managers and supervisors do encourage the staff to offer ideas, concerns, suggestions, or different opinions whereas others do not share that feeling. Trust appears to be an underlying issue.

Responses from managers and supervisors during the interviews indicate that they believe they openly solicit input from the staff. The OREM Strategic Plan, currently in final review, was cited as an example where staff input directly affected improvements in the quality of the end product. However, there was acknowledgement that the outcome of staff recommendations and management's openness to suggestions is not always apparent to the staff. The Senior Management Team (SMT) is currently taking the "Five Dysfunctions of a Team" training with the aim of improving SMT effectiveness and organizational performance.

**Attribute: Effective resolution of reported problems**

Survey responses for this attribute were generally positive, but with some notable exceptions. Analysis of the survey results (Figure 4 above) indicates that views of the managers/supervisors are quite different from those of the staff. The low survey score for this attribute is primarily the result of responses to the questions about the OREM organization. The responses reflect perceptions that there are organizational weaknesses that contribute to communication issues, work prioritization issues, and delays in responding to identified problems. The responses also reflect the perception that OREM Management may not be actively working to address those weaknesses.

- Respondents feel that normally when safety issues are reported they are investigated thoroughly and in a timely manner.
- In most cases OREM managers ensure that any concerns are addressed.
- Although somewhat mixed, most respondents indicated that they are familiar with the OREM corrective action management system and how to view and track actions related to their job function. However, a lesser number feel that they are routinely given the opportunity to review corrective actions related to their job function or to participate in the development of solutions to the issues.
- Most respondents feel that there are organizational weaknesses that may be contributing to communication problems, work prioritization issues, or responsiveness to identified problems.
- One person noted that the ISMS Guiding Principle “Line Management Responsibility for Safety” is confusing in a matrix organization. OREM roles and responsibilities documents define line management to be the OREM Manager, Deputy Manager, and FPDs, but it is unclear where the line goes from there. As an extension, another person noted that this results in lack of clarity as to the line of safety authority and accountability.
- Responses were mixed as to whether OREM managers are aware of organizational weaknesses and are working actively to address those weaknesses.

Staff responses during the interviews regarding this attribute were significantly more negative than positive, particularly related to organizational weaknesses. A number of weaknesses were cited, including lack of definition of roles and responsibilities in management positions (i.e. FPDs and division managers); lack of Senior Technical Safety Manager qualifications of some managers; no good system for sharing lessons learned among the project teams and divisions; confusion between the roles and responsibilities of the Federal staff and the support contractors; lack of direct SME support in the key functional areas of safety, industrial hygiene, and radiation protection; unclear interface with the ORO ISC for needed support; apparent lack of recognition or understanding by management of staff skills and strengths; and apparent lack of succession planning. The most common weakness mentioned was communications. Some responses reflected the perception that any organization can be made to work, but success depends on effective communication. Suggestions offered to improve communication included more communication from management regarding mission and goals and more cross-communication within the organization. Several responses also reflected the opinion that prioritization and responsiveness could be improved by FPDs having supervisory responsibilities, particularly related to project managers working under their portfolio, and/or deputies.

During the interviews when managers and supervisors were asked how employees were involved in the problem solving process, examples they provided included resolution of unclear responsibilities

associated with Lesson Learned activities and resolution of conflicting views of contractor performance regarding Bldg. 3026 at ORNL.

Regarding organizational issues the responses acknowledged that the matrix approach being used in the current organization is both a help and a hindrance to addressing issues. There is also recognition by some that a matrix organization in some instances has a lack of clarity in responsibilities and authorities. However, there is a belief that the matrix organization allows flexibility in responding to issues.

**Attribute: Performance monitoring through multiple means**

Survey results for this attribute were mixed, but with more positive responses than negative. However, as indicated in Figure 4 above, views of the managers/supervisors are quite different from those of the staff.

- OREM managers are perceived to monitor for adverse safety trends in varying degrees and generally respond promptly,
- OREM managers encourage the staff to offer ways to improve the organization's processes and procedures but not necessarily consistently.
- A large number of the respondents, although not the majority, are unaware of any OREM process that routinely evaluates the safety culture of the organization or the EM contractors.

Staff responses during the interviews regarding this attribute were slightly more negative than positive, and distinguished between performance monitoring for contractors versus Federal staff. For contractors, the responses indicate that OREM does a good job of monitoring performance. However, for Federal staff the responses indicate that OREM does not do a good job of monitoring performance. Additionally, some responses indicate a general lack of understanding regarding safety in the Federal workplace. The responses also indicate that numbers and measures are monitored, but these are not necessarily a reflection of the culture. There was also a perception from the staff that employees are more concerned about safety than management.

The perceptions of the managers/supervisors expressed during the interviews are that performance measures/goals are contained in the organizational Annual Performance Plan, individual performance plans, and at the project level. These goals and performance metrics are reviewed through established meetings and periodic reporting.

**Attribute: Questioning Attitude**

Survey responses for this attribute were generally positive, with one notable exception. Analysis of the survey results (Figure 4 above) indicate that again the perceptions of the managers/supervisors differ from those of the staff. The lower overall score and the differing views between management and staff for this attribute is related to apparent reluctance of many of the respondents to openly challenge decisions made by management.

- With very few exceptions the respondents believe that OREM managers encourage the staff to voice their safety concerns.
- Similarly, when conditions or actions deviate from what is expected or planned, individuals in OREM freely report the condition.

- Respondents were very positive in their belief that people in their organization watch out for each other's safety.
- Although responses were still generally positive, there was some reservation expressed that staff and management deal with safety issues quickly before they become big problems.
- The overall survey responses indicated greater reservations in their willingness to openly challenge decisions made by management.

Staff responses during the interviews regarding this attribute were more negative than positive. The staff interviewed indicated that in most cases they are comfortable expressing a different opinion, with work experience and number of work years as factors. However, it was generally felt that openness is dependent on the individual manager. It was expressed that certain management attitudes inhibit some employees from raising concerns. Some of those interviewed distinguished between senior management and some FPDs/division directors. At the division level, staff interviewed generally feel comfortable expressing a differing opinion and feel a questioning attitude is encouraged. However, the negative responses indicate this is not necessarily true at the senior management/FPD level.

Interviews of managers/supervisors indicated that while staff confidence to express differing opinions may vary depending on the setting, interviewee responses indicate a belief that there is a strong questioning attitude present in OREM.

**2.4 Supplemental Information Topic: Contract Incentives** (Contract incentives achieve a reasonable balance between cost/schedule and safety pressures.)

Survey results for this topic indicate a general belief that current contract incentives do provide a good balance between safe work performance and production. However, the large number of neutral responses likely reflects that many of the OREM staff are not familiar with the specifics of contract incentives.

Staff responses during the interviews were generally positive although respondents indicated that they were generally unaware of any specific safety incentives in the prime contracts. They were generally aware of cost and schedule incentives. Some respondents expressed the perception that there is some pressure on the staff to support the contractors in meeting their milestones, but not at the expense of safety.

Interviews with managers/supervisors indicate that contract incentives do not have a negative impact on safety and that the importance of safety above production is clearly understood on the federal and contractor sides. There are basic expectations expressed in contracts for safe work performance. Contractors are subject to enforcement through Federal regulations for failure to abide by worker safety and nuclear safety requirements that are included in each contract. OREM contracts also typically include monetary penalties for poor safety performance.

### 3.0 CONCLUSIONS AND RECOMMENDATIONS

#### 3.1 Conclusions

As articulated in DOE's Implementation Plan in response to *DNFSB Recommendation 2011-1*, SCWE is an important subset of a safety culture that emphasizes the willingness of employees to identify and raise safety concerns without fear of retaliation. Responses to the survey and interviews with the OREM Federal staff and management generally reflect an overall willingness to raise safety concerns without fear of retribution for raising those concerns.

However, results from the broader examination of organizational culture driven by the lines of inquiry revealed that communication weaknesses and lack of trust are themes that resonate to varying degrees in all three focus areas. Failure to promptly deal with these issues could ultimately manifest into conditions where employees are reluctant to raise safety concerns.

Analysis of the results from both the survey and the interviews indicates that views of the staff generally differ from those of the managers/supervisors. For some of the attributes the differences are significant. In several cases, responses to the interviews of the managers/supervisors revealed an acknowledgement of some of the same organizational culture issues identified by the staff and that the management team is working on those issues. However, highlighting the basic organizational communication issue, results of interviews of the staff indicate a general lack of awareness or direct evidence of actions being taken by the management team to address the issues.

OREM has been in various stages of organizational transition since mid-2010 when a shift from the more traditional project/functional structure to a full matrix structure began. Since that time there have been changes in virtually every position of the management team, including the Manager, Deputy Manager, and each Division Director. There have also been changes in assignments and in the portfolios of the FPDs. The organization chart that reflects the structure and personnel at the time of this self-assessment was signed by the Manager in April of this year. (See Attachment F)

Currently teamwork and communication rely heavily on informal networks that have evolved over time and are generally independent of the organization or its structure. Some of the roles, responsibilities, and accountabilities of the organizational units remain unclear and the informal network is often the means by which changes of personnel assignments and responsibilities are communicated throughout the organization. The IPTs facilitate teamwork and communication within the teams, but there is a need for improvements in coordination and sharing of lessons learned among the teams.

Feelings expressed by some of those interviewed that there is apparent favoritism and inequity in the application of employee (both staff and management) recognition and accountability is a reflection of the underlying trust issue. The trust issue also results in reluctance to raise some issues and concerns in general to certain managers. Openness and willingness to express opinions different from certain managers and under certain circumstances is also inhibited by the perceptions of how certain managers will react.

#### 3.2 Recommendations

Borrowing words from the November 2012 *Independent Oversight Assessment of Safety Culture* at EM Headquarters, "A healthy safety culture is most often found within an aligned organization that has effective processes, and motivated people." The Oak Ridge Office officially reorganized in July 2012. Since then, while continuing to move forward with the critical mission objectives, OREM has been in the process of standing up an independent office, transitioning through some management changes, and responding to changes in the EM Headquarters organization.

Recognizing these conditions along with the results and conclusions from this self-assessment, the following recommendations are offered for consideration by the OREM SMT.

- Become a more visible part of the safety message. Include SMT members in delivering the safety message at all-hands meetings. Encourage the practice of beginning each meeting with a relevant safety topic.
- Seek to provide more clarity regarding the roles, responsibilities, authorities, and accountability of each member of the SMT and of the OREM organizational units, particularly with respect to the ISMS principle of Line Management Responsibility for Safety.
- Accelerate the process of updating the OREM processes and procedures with a focus of making them meaningful, understandable, and usable by management and staff and reinforce the importance and necessity for using the established processes and procedures.
- Champion a communication improvement initiative with worker involvement and engagement.
- Develop a plan for staff cross-training and mentoring and share the OREM approach to succession planning with the staff.
- Establish an OREM liaison with the Oak Ridge Office Employee Concerns Manager and periodically remind the staff of the employee concerns and differing professional opinion processes available to them.
- Evaluate the survey and interview results provided in Section 2 to help prioritize areas needing focused attention. Communicate SMT improvement initiatives to the staff.
- Repeat the SCWE survey as part of the 2014 ISMS declaration to measure progress in addressing the fundamental issues identified during this self-assessment.
- Validate the UCOR Safety Conscious Work Environment Self-Assessment results through the OREM Assessment Program.