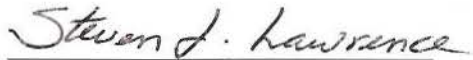


Nevada Enterprise Performance/Safety Culture Sustainment Plan - 2014



09/12/2014

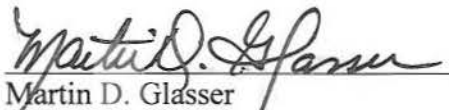
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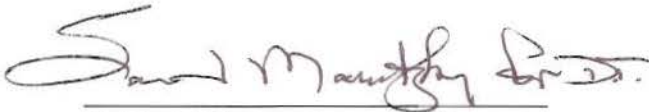
Steven J. Lawrence, Manager
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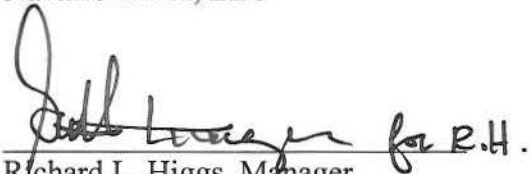
Raymond J. Juzaitis, Ph.D.
President
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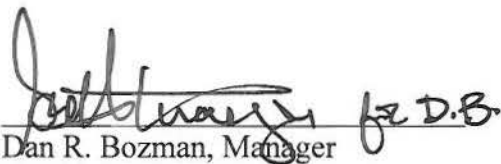
Martin D. Glasser
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09/12/2014

Executive Summary

The Nevada Enterprise (NvE) (the Nevada Field Office [NFO] and its contractor partners) has achieved progress in establishing and maintaining a strong performance/safety culture. As part of the NvE leadership focus, NvE management developed a set of cultural values and has implemented a set of meetings to foster those values and improve communication. Within individual organizations, the cultural values are incorporated into all-hands briefings and ongoing performance/safety culture training. As part of the effort to improve the performance/safety culture, the NvE developed four core values as well as five expectations on work discussions and activities. The following graphic highlights the four values (within the Nevada National Security Site [NNSS] outline) and the five leadership expectations.



The primary focus areas supporting the NvE core values and expectations fall under the focus areas of Leadership, Employee/Worker Engagement, and Organizational Learning. These three focus areas are aligned with the Safety and Security Culture Assessment (SSCA) results and the *Integrated Safety Management System Guide*, DOE G 450.4-1C, Attachment 10, “Safety Culture Focus Areas and Associated Attributes.”

NvE management spends time in the field fostering closer relationships between management and workers, and developing tools to communicate occurrences on a daily basis. Leadership focus and employee engagement has increased as a direct result of this time in the field. The NvE community has also increased communication channels to stimulate employee engagement. These communication channels include items such as employee surveys, management retreats, quarterly briefings, all-hands briefings, committees, news bulletins, and “brown-bag” lunches with the manager.

The NvE focus has improved the organizational learning through a number of actions. Part of these actions included training for NvE senior and mid-level managers to improve trust and communication. In addition, the NvE performs fact-finding and implementation of lessons learned to help minimize rework and the reoccurrence of past mistakes.

During the NNSA Safety Culture Sustainment Meeting held August 5–6, 2014, each Field Office briefed on the status and progress that has been made. As part of the briefings, each Field Office presented best practices in performance/safety culture sustainment. The NvE is reviewing these best practices and is evaluating the potential for implementing the most appropriate practices within the NvE community.

NSTec and WSI-NV are reinforcing the Occupational Safety and Health Administration Voluntary Protection Program (VPP) Star certification that directly supports the leadership, employee involvement, and learning organization focus areas.

In addition, NFO has begun to change the oversight culture, moving towards a risk-informed, performance-based oversight model using cross-functional teams to focus on systemic issues and overall outcomes.

Background

In June 2013, the NvE conducted a site-wide SSCA through the processes of document reviews, analysis of surveys, observations of personnel interactions, and performance of interviews. More than 1,200 individuals participated in the survey, and more than 250 individuals (10% of the NvE) were interviewed. The assessment team and the interviewees/survey participants included both federal and contractor staff, and covered the full extent of operations under the NvE. The NvE SSCA Report issued August 23, 2013, captured the efforts of a multidiscipline group of contractor and federal staff that surveyed the safety and security culture of the NvE. The results

of the assessment were categorized under the four focus areas of Leadership, Employee/Worker Engagement, Organizational Learning, and Performance Measures/Contract Incentives. A total of 31 stressors to a healthy safety/security culture were identified across these focus areas. These stressors were distilled down to several key, overarching, and crosscutting issues that senior leadership determined were most appropriate to include in an initial corrective action plan. The key stressors to a healthy safety/security culture were summarized as follows:

1. Processes and behaviors that foster an environment free from retribution and prevent a chilling effect in the workplace are not fully mature, and their use is not widely and uniformly understood across the NvE.
2. The credibility and trust for identifying and reporting issues had noticeable differences across and down through the organizations.
3. Processes and behaviors that result in effective resolution of reported problems are not sufficiently mature to identify and implement lasting corrective actions.

The NvE key leaders put together a Corrective Action Team (CAT) to address the organizational overarching issues and develop specific corrective actions to the stressors identified in the report. The NvE CAT binned the stressors into categories that included Leadership, Employee/Worker Engagement, and Organizational Learning, which are the primary focus areas that support the NvE core values and expectations. The successes implemented in each focus area over the last year in response to the stressors and the path forward for sustaining culture improvements in each area are discussed below. The actions discussed below will be continued in the future, as appropriate, as part of the NvE performance/safety culture sustainment activities.

Leadership Focus Area

Each organization in the NvE had a company-focused set of values. While not mutually exclusive, this situation did not lead toward a unified approach and led to uncertainty regarding the values of the NvE. To address this, NvE leadership developed a common set of cultural values for the entire NvE:

We safely and securely achieve common goals.

We effectively solve problems.

We build trusting relationships.

We are a learning organization.

To demonstrate a commitment to these values, senior leadership implemented a number of successful actions. The NvE senior leadership held a series of enterprise-wide meetings to discuss the results of the SSCA and rolled out the NvE cultural values. Within individual NvE organizations, the cultural values were incorporated into all-hands briefings and ongoing performance/safety culture training classes.

The NvE leaders developed two management groups to increase communication flow and help ensure common understanding of strategic goals and objectives as well as the tactical implementation actions under way. The first group is the NvE-6, which comprises the top leader in each organization (i.e., NFO Manager, NSTec President, WSI-NV Vice President & General Manager, N-I Program Manager, JLON Manager, SNL/NNSS Remote Site Manager) and addresses strategic issues affecting the NvE. The second group is the NvE Community Forum, which includes senior leadership from all organizations. The NvE Community Forum helps to ensure a unified understanding of expectations across organizational boundaries. The NvE Community Forum increases cross-pollination between organizations and promotes a healthy exchange of ideas. These two groups are used to monitor and enhance performance/safety culture improvements.

NFO and NSTec senior management implemented biweekly Issues/Operations meetings to improve communications and foster the NvE cultural values. This has helped information flow down through the organizations with meetings that are held jointly to respond to issues or share operational challenges.

At NFO, the entire leadership team now completes operational awareness activities in the field on a monthly basis. These activities have developed a closer relationship between NFO management and the workers (both contractor and federal) in the field. These monthly operational awareness activities have also increased NFO senior management's awareness of the field operational activities and working conditions.

The NFO Manager's schedule was revised to eliminate routine one-on-one meetings with Assistant Managers and instead focus on group discussions in order to improve communications and transparency. The NFO Manager established Executive Council Check-in/Check-out meetings to enhance communication and provide consistent expectations.

NSTec has implemented an Integrated Management Improvement Plan (IMIP) that identifies and characterizes goals for establishing a culture of continuous improvement, including NSTec stressors from the NvE CAT. The associated corrective action plan is centered on five key focus areas at NSTec:

1. **Communications**, to improve internal and external communications (e.g., "Company Conversations")
2. **Safety/Quality/Process**, to improve how we work and how we get better long term
3. **Management Support/Involvement**, to eliminate the expectations/trust gap
4. **Personnel**, to eliminate knowledge/skills/accountability gap
5. **Event Recovery/Leverage**, to fix making the same mistake twice

Examples of actions to address the five key focus areas are included below. As an action to improve communication, NSTec has implemented a company-wide "Daily Awareness Call" to communicate major events or occurrences on a daily basis. The call is open to NSTec and NFO

personnel. In the safety/quality/process focus area, the dashboard metrics have been revised to better align with objectives and deliverables in order to facilitate better operational decision making. For the management support/involvement area, NSTec senior management is increasing presence in the field. The personnel focus area actions include developing a process for succession planning at NSTec and utilizing corporate resources for near-term support in critical areas. To improve event recovery/leverage, NSTec has developed causal analyses and corrective actions for recent major issues.

The WSI-NV Management Walkabout Program provides the opportunity for company managers, directors, and the Deputy General Manager to spend time on station with protective force members on a scheduled basis. In addition to observing specific station tasks, managers talk one on one with the security police officers (SPOs) to communicate current issues and note issues brought up by the SPOs. The discussion also includes a crosswalk between management duties and SPO duties and how they are related.

The WSI-NV General Manager has taken many additional steps to help increase the flow of information in both directions. The WSI-NV General Manager

- has taken a personal initiative to visit Protective Force muster at least once a week,
- personally recognizes special achievements such as award recognition,
- has initiated an immersion program (including a ride-along program) where he spends time on station with individual SPOs on a recurring basis, and
- personally stressed the importance of effective communication during the Protective Force Annual Training and Support Staff Annual Training.

To quickly get information out to the Protective Force, WSI-NV is sharing information via the Protective Force electronic Muster Board, which displays key information 24 hours a day. This allows personnel on all shifts to see the same information.

N-I has focused on supporting the NvE performance/safety culture by being a transparent organization through their communications within and across organizations. N-I's implementation and full participation in Crucial Conversations training is one example. Additional methods of demonstrating transparency internally to the N-I organization include the following:

- **Quarterly Level 1 and Level 2 Meetings.** These briefings provide a forum for senior management to discuss program initiatives, strategies, and concerns/issues in more detail with Level 2 Managers.
- **Lunch with the General Manager.** This provides an opportunity to all employees to have a face-to-face conversation with the Program Manager. The groups are small (five to six from various organizations within N-I), and are designed to enhance collaboration and the sharing of ideas.

Employee/Worker Engagement Focus Area

All NvE organizations have taken steps to increase employee engagement. The NvE published the annual NvE Top Ten Initiatives and Annual Operations Plan to improve focus and communication. In addition, joint assessments by NFO and contractor personnel have enhanced day-to-day working relationships.

The NFO Manager has been conducting brown-bag lunches with NFO staff (without their supervisors present) to help foster open communication. In addition, the NFO Manager and acting Deputy Manager have conducted walkthroughs of staff work areas, stopping to talk to each staff member and solicit the staff member's input. Employee-led retreats were also developed to improve the oversight process, which resulted in the shifting from compliance-based oversight to a balance of performance-based oversight with compliance verification.

NFO management implemented quarterly briefings by federal staff to obtain their perspective on risk and performance in each Mission and Functional Area and provide mentoring by senior managers on oversight responsibilities.

NFO management is driving changes to the federal staff oversight and oversight process to more effectively utilize limited NFO resources and foster greater cross-functional communication. These activities and expected outcomes include the following:

- **Team-based formal and informal oversight.** Cross-functional NFO teams coordinate to do one team assessment or oversight activity versus four independent activities.
- **Performance-based versus strict compliance-based oversight.** Focus on outcomes.
- **Systemic oversight versus simple function or task focused oversight.** Look at the overall picture, not just a small portion.
- **Drive to update local procedures and adjust local requirements (federal and contractor).** Ensure local procedures and requirements are current, meaningful, and germane to the current environment.
- **Redo how NFO defines and handles issues.** Focus on systemic issues versus individual problems to leverage resources to address the larger problem.
- **Utilizing data to drive decisions based on risk considerations.** Use data derived from contractor risk assessments to focus oversight on areas with increased risks and consequences.

NSTec, WSI-NV, and N-I management use the following methods to ensure effective employee engagement and communication:

- The Employee Safety Committee
- The company's computer network
- Company news bulletins
- Safety bulletins
- Lessons Learned program

- Weekly company staff meetings
- Daily supervisor conversations with employees

As part of an NSTec Operational Pause in June 2014, each manager and supervisor discussed safety concerns and expectations, and solicited comments and feedback from their employees on performing work more safely and to higher standards of quality. More than 60 pages and approximately 1,100 feedback statements were received. The feedback was sorted and summarized to approximately 500 concerns and opportunities for improvement that were binned into 12 categories for corrective action.

The categories included work scope development, management oversight, safety and quality practices, procedures, communications, issues management, hazard analysis and controls, housekeeping, pre-job briefing, time out/stop work, and conduct of operations. Major themes identified areas for improvement such as establishing an environment more conducive to raising concerns without fear of retaliation; encouraging a questioning attitude; increasing management presence in the field; and improving work practices, physical environment, and work space.

NSTec employee comments and feedback are being addressed and communicated back to the employees. Any identified major issues and concerns are entered into the NSTec issues management system for more formal corrective action as part of the NSTec IMIP.

WSI-NV management uses the following to ensure effective employee engagement and communication:

- The annual Safety Summit
- The Protective Force Safety Committee
- The Senior Safety Committee
- WSI-NV Broadcasts
- Daily Protective Force shift change announcements

N-I plan of the day meetings were improved to address the implementation of relevant corrective actions, emphasize the importance of reporting and resolving issues on a daily basis, and expand the attendance to include organizations such as Quality Assurance. Based on employee feedback, N-I recently gave employees the option of working different schedules (e.g., 4-10s).

Organizational Learning Focus Area

The NvE is improving organizational learning through a number of diverse actions. All organizations expanded their issue screening teams from strictly a Quality Assurance function to include line organizations that are ultimately responsible for implementing and sustaining corrective actions. The NvE has an active “lessons learned” program that utilizes operating experience but it is “company-centric” instead of being a cross-organizational learning tool. In addition, performance/safety culture lessons learned are now routinely shared.

The NvE has had 180 managers and staff (70 federal, 110 contractor) attend the “Safety Conscious Work Environment” (SAF-200) training. NFO and NSTec implemented a joint leadership training series for all senior and mid-level managers to improve trust and communication between organizations. This training was expanded to include additional NvE members.

The NFO Manager established regular communications and required reading to all employees on various culture topics, including social media.

NFO management implemented quarterly briefings by federal staff to obtain their perspective on risk and performance in each Mission and Functional Area and provide mentoring by senior managers on oversight responsibilities.

As part of the Lessons Learned program to evaluate risk from events that occurred at other sites, NSTec conducted a Vulnerability Assessment to problems that occurred at the Waste Isolation Pilot Plant (WIPP). This assessment looked at both fire protection and radiological vulnerabilities in NNSS underground facilities.

NSTec conducted an Independent Assessment of Environmental Programs and the Chemical Management program as a result of a chemical drum explosion at the NNSS. An accident investigation was conducted with the results and lessons learned shared with the complex, and corrective actions were included in the NSTec IMIP and issues management system.

NSTec has rolled out an Enterprise Risk Management Framework and project plan to improve the awareness and communication of risk within the company and within the NvE. This framework enhances the communication of risk vertically and horizontally within the company as well as with NSTec’s program and project stakeholders. It also places a focus on risk identification, handling, and monitoring to support risk-informed decision making.

NSTec is also reinforcing the tenets and principles of the ISO-9001 and VPP Star certifications that directly support the leadership, employee involvement, and learning organization focus areas. For example, as part of the IMIP, there will be an increased emphasis on Integrated Safety Management System employee and management expectations communicated throughout the work force.

WSI-NV is reinforcing the VPP Star certification that directly supports the leadership, employee involvement, and learning organization focus areas. WSI-NV is currently implementing a Senior Management Injury and Illness Review. The intent is to establish a fact-finding review to discover more information about the causes of occupational recordable and non-recordable injuries and illnesses, learn how to prevent them, and inform WSI-NV employees on ways to avoid similar incidents and injuries. This review is in addition to the current accident review board in place.

WSI-NV has a television monitor in the muster room that allows managers and supervisors to display current data and pass along information to the SPOs. The display circulates through data from corrective actions, safety topics, and pertinent information throughout the day on a 24/7 basis.

Issues and questions presented to the WSI-NV General Manager during Protective Force Annual Training were compiled and answered, and then were posted in the muster room for all SPOs to review.

In several different venues, the WSI-NV General Manager continually makes it clear that “retaliation” will not be tolerated within WSI-NV. As an example, an Electronic Security Systems Technician reported a safety issue concerning climbing camera towers for maintenance around a nuclear facility. Work was stopped and not resumed until a safer method was determined and accepted by leadership. The technician was given praise for reporting the issue.

N-I has been effective at supporting the NvE performance/safety culture through the use of N-I Annual Safety Leadership Training that has been instituted within the organization. This training enhances N-I’s abilities to address the current NvE initiatives and incorporate them within the N-I performance/safety culture. In FY14, N-I developed several tools to support the NvE cultural values and expectations.

N-I successfully launched the use of an “Easy” button on the N-I Intranet Page. This provides a tool for employees to report any issue, concern, or opportunity and have it addressed in a timely manner with management support. This allows everyone in N-I to work together to do the right thing, helps to clarify issues, and brings an understanding of a different perspective to the organization. The issues are compiled into a Trend Report, which tracks and trends issues and is reviewed by management and Quality Assurance. This review allows N-I to identify trends of concerns and issues earlier to enable quick turnaround for closure.

Path Forward

The NvE has made significant progress in improving the performance/safety culture of the organization, but there are opportunities for improvement. The following sustainment tools will be implemented across the NvE to eliminate the stressors identified in the SSICA and to improve the performance/safety culture within the organization.

Senior NvE leadership will reinforce the importance of improving the performance/safety culture by linking actions to the NvE core values and expectations. This provides the reinforcement to the organization that the performance/safety culture initiative is more than just a “flavor of the month” activity.

Organizational learning will be enhanced through expansion of the leadership training that NFO and NSTec have engaged in. This expansion will include other NvE contractors and staff as well as the next level of NFO and NSTec staff. In addition, training and communication will be

completed on detecting and preventing retaliation, issues management/corrective action program importance, and conservative decision making. Performance/safety culture lessons learned will be enhanced by communicating these lessons learned throughout the NvE as a cross-organization learning tool.

The NvE performance in improving and sustaining a healthy performance/safety culture will be monitored via assessments, metrics, and trending of the results of these activities. NvE senior leadership will use this data and trend information to calibrate their messaging and management of the overall performance/safety culture.

The NvE will partner with the other seven NNSA sites through regular communication of “what works” and “what doesn’t work” to reinforce the implementation of common values and behaviors across the NNSA.

In addition, the NvE has reviewed the presentations given at the Safety Culture Sustainment Meeting held August 5–6, 2014, and collected some of the “best practices.” The NvE will evaluate these for implementation, looking at improvement and sustainability actions such as the following:

- Provide training to equip managers to receive concerns and issues without creating a chilled work environment.
- Form employee-led performance/safety culture committees composed of federal and contractor personnel.
- Conduct performance/safety culture self-assessments (no more than one per year to avoid employee burnout).
- Improve award recognition for issue identification.
- Educate and provide employees multiple methods for raising safety concerns.

In order to place accountability on the individual to strive to meet the NvE core values, adhering to the values will become part of every NFO employee’s performance plan (individually as well as organizationally).

As the NvE moves forward in improving the performance/safety culture, this plan will be modified to reflect any new initiatives.