



New Oversight Process and Safety Culture Assessment Lessons Learned

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HS-45 Oversight Process



➤ **Previous Oversight Process**

- **Conducted Large Team Assessments**
- **Reviewed Operational Facilities Only**
- **ISM Core Functions Reviews**
- **Engineered Safety Features Reviews**
- **Five/six major reviews per year**
- **Burden on Site Resources to Support Reviews**
- **Visit a Site once every three years**



HS-45 Oversight Process



- **Previous Oversight Process (Continued)**
 - **Rated site performance**
 - **Tracked Findings in HQ Corrective Action Tracking System (CATS)**
 - **Corrective Action Progress Reviewed by HQ Senior Managers**
 - **HSS responsible to review corrective action plans**



HS-45 Oversight Process



➤ **New Oversight Process**

- **Established Site Leads**
- **Role of the Site Leads**
 - **Maintain operational awareness**
 - **Implement prioritized oversight activities**
 - **Focus on high-hazard nuclear facilities, design and construction projects, and poor performance areas**
 - **Point of contact for assessments and site awareness of nuclear safety and worker safety and health issues**



HS-45 Oversight Process



- **New Oversight Process (Continued)**
 - **Small Team Reviews (2-5)**
 - **Coordinate with Site's Annual Assessment Schedule**
 - **Perform tailored oversight when appropriate conditions exist**
 - **Continuous Awareness of Site Activities**



HS-45 Oversight Process



- **New Oversight Process (Continued)**
 - **Oversight performed as concurrent or shadow assessments**
 - **Results are tracked in site's system**
 - **Opportunities for Improvement or Findings**
 - **Reports validated with site contacts and formally sent to sites**
 - **Final reports posted on HSS web page**
<http://www.hss.doe.gov/nsrf/>



HS-45 Oversight Process



- **New Oversight Process (Continued)**
 - **Two Current Complex-Wide Targeted Areas**
 - **Implementation Verification Reviews**
 - **Procurement Reviews**
 - **Site Leads develop annual oversight strategy that considers input from Site points of contact**
 - **Site Leads provide informal communication path about HQ activities such as issuing new DOE Orders, Standards and/or Policy**



HS-45 Oversight Process



➤ **Current Site Leads**

- **Livermore, Los Alamos – Bob Freeman**
- **Oak Ridge Reservation – Tim Mengers**
- **Idaho – Aleem Boatright**
- **Savannah River – Phil Aiken**
- **Pantex, Nevada, Sandia – Bill Macon**
- **Office of River Protection – Bill Miller**
- **Richland Office – Jake Wechselberger**
- **ANL, PNNL, PPPO, WIPP, WVDP – Joe Drago**



Safety Culture Assessment Lessons Learned



- **Why is having a healthy safety culture important?**



Safety Culture Assessment Lessons Learned



- **Definitions**
 - **Safety Culture**
 - **Safety Conscious Work Environment**
- **Other Reviews**
 - **HSS Assessment 2010**
 - **DNFSB Recommendation 2011-1**
 - **BNI Self-Assessment November 2011**



Safety Culture Assessment Lessons Learned



- **Preparations for the Assessment**
 - **Re-baselined assessment methodology**
 - **Training**
 - **Human performance assessment experts**

- **Selected Nuclear Regulatory Commission Safety Culture Methodology**



Safety Culture Assessment Lessons Learned



Method

- **Emphasis on perceptions and influence of perceptions on safety performance**
- **Focus on human and organizational issues**
- **Method allows objective and systematic measurement of the organizational behaviors**



Safety Culture Assessment Lessons Learned



Organizational Behaviors

- **Attention to Safety**
- **Communication**
- **Coordination of Work**
- **Decision-making**
- **Formalization**
- **Goal Setting/
Prioritization**
- **Organizational
Culture**
- **Organizational
Learning**
- **Organizational
Knowledge**
- **Performance Evaluation**
- **Performance Quality**
- **Personnel Selection**
- **Problem Identification**
- **Resource Allocation**
- **Roles & Responsibilities**
- **Time Urgency**
- **Training**



Safety Culture Assessment Lessons Learned



Method -- Data Gathering Techniques

- **Surveys**
- **Behavioral Anchored Rating Scales (BARS)**
- **Focus Group Interviews**
- **Standard Interview Protocols**
- **Document Reviews**
- **Behavior Observations**
- **Hot Line Number**



Safety Culture Assessment Lessons Learned



- **Data Collection Conducted**
 - **Documents**
 - **Structured Focus Group/Individual Interviews**
 - **Behavioral Anchored Rating Scales (BARS)**
 - **Behavioral Observations and Checklists**
 - **Safety Culture Surveys (BNI and ORP)**

- **Data Convergence Evaluated**



Safety Culture Assessment Lessons Learned



➤ **Evaluate Nine NRC Safety Culture Traits**

- **Leadership Safety Values and Actions**
- **Problem Identification and Resolution**
- **Personal Accountability**
- **Work Processes**
- **Continuous Learning**
- **Effective Safety Communication**
- **Environment for Raising Concerns**
- **Respectful Work Environment**
- **Questioning Attitude**



Generic Safety Culture Recommendation



➤ **Establish Safety Culture Competence**

- **Core Values**
- **Accountability**
- **Employee Engagement**
- **Behavior Science Expertise**
- **Monitoring**
- **Change Management**



HS-45 Safety Culture Ongoing Tasks



- **Review WTP CAP and Conduct Follow-up Assessment**
- **Extent of Condition Project Reviews 2012**
 - **CMRR – Completed; Report being finalized**
 - **Uranium Processing Facility – April**
 - **Sodium Bearing Waste Treatment Facility – June**
 - **Waste Solidification Building Project – August**
 - **Salt Waste Processing Facility – October**
- **Review Line Management Safety Culture Self-Assessments**