

Focus Area 1: Leadership

- *Demonstrated Safety Leadership*
- Risk-informed, conservative decision-making
- *Management engagement and time in the field*
- Staff recruitment, selection, training, and development
- *Open communication and fostering an environment free from retribution*
- *Clear expectations and accountability*

Focus Area 2: Employee/Worker Engagement

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

Focus Area 3: Organizational Learning

- *Credibility, trust and reporting errors and problems*
- *Effective resolution of reported problems*
- *Performance monitoring through multiple means*
- Use of operational expertise
- *Questioning attitude*

Focus Area 4: Supplemental Information Topic: Performance Measures and Contract Measures

- *Contract incentives achieve a reasonable balance between cost/schedule and safety pressures*
- *Performance metric insights into SCWE*

SCWE Assessment
Focus Area 1 - Leadership

OBJECTIVE

SCWE.1: Leadership: DOE and contractor management have established strong safety culture embedded in the Department's objective of management and operational excellence. (Reference: DOE Guide 450.4-1C, Attachment 10, *Safety Culture Focus Areas and Associated Attributes*)

CRITERIA:

1. Demonstrated safety leadership:
 - Line managers enhance work activities, procedures and process with safety practices and policies.
 - Leaders acknowledge and address external influences that may impose changes that could result in safety concerns.
 - Line managers clearly understand their work activities and performance objectives, and how to safely conduct their work activities to accomplish their performance objectives.
 - Line managers demonstrate their commitment to safety through their actions and behaviors, and support the organization in successfully implementing safety culture attributes, by conducting walk-throughs, personal visits, and verifying that their expectations are met.
 - The organizational mission and operational goals clearly identify that production and safety goals are intertwined, demonstrating commitments consistent with highly reliable organizations.
2. Management engagement and time in the field
 - Maintaining operational awareness is a priority. Line managers are in close contact with the front-line employees. Line managers listen and act on real-time operational information. Line managers identify critical performance elements and monitor them closely.
 - Line managers spend time on the floor and in employee work areas. Line managers practice visible leadership by placing eyes on the work, asking questions, coaching, mentoring, and reinforcing standards and positive behaviors. Deviations from expectations are corrected promptly and, when appropriate, collectively analyzed to understand why the behaviors occurred.
 - Managers set an example for safety through their personal commitment to continuous learning and by direct involvement in high-quality training that consistently reinforces expected employee behaviors.
3. Open communication and fostering an environment free from retribution
 - A high level of trust is established in the organization.
 - Reporting individual errors is encouraged and valued. Individuals feel safe from reprisal when reporting errors and incidents.
 - Individuals at all levels of the organization promptly report errors and incidents and offer suggestions for improvements.
 - A variety of methods are available for personnel to raise safety issues and line managers promptly and effectively respond to personnel who raise safety issues.
 - Leaders proactively detect situations that could result in retaliation and take effective action to prevent a chilling effect.
 - The organization addresses disciplinary actions in a consistent manner; disciplinary actions are reviewed to ensure fair and consistent treatment of employees at all levels of the organization.
4. Clear expectations and accountability
 - Line managers provide ongoing performance reviews of assigned roles and responsibilities reinforcing expectations and ensuring key safety responsibilities and expectations are being met.
 - Personnel at all organizational levels are held accountable for standards and expectations. Accountability is demonstrated both by recognizing excellent performance as well as identifying less-than-adequate performance. Accountability considers intent and organizational factors that may contribute to undesirable

outcomes.

- Willful violations of requirements and performance norms are rare. Individuals and organizations are held accountable in the context of a just culture. Unintended failures to follow requirements are promptly reported, and personnel and organizations are acknowledged for self-identification and reporting errors.

APPROACH:

Interviews: Interview site personnel to determine roles and responsibilities. Interviews will include both management and non-management personnel on both one-on-one interviews and interviews in small groups, if appropriate. The lines of inquiry (LOIs) listed below were developed from the DOE Safety Conscious Work Environment Self-Assessment Guidance and the NRC Best Practices – “95003.02-B, *Sample Questions for Safety Culture Components*” document that was specifically developed for use in focus groups or individual interviews. (List of interviews conducted by functional title) Lines of Inquiry for interviews: Management questions denoted by [m]. Employee questions denoted by [e]

1. Demonstrated safety leadership
 - a. [m] In the past year or so, have you experienced any barriers to meeting your safety responsibilities? Have you had any particular successes in meeting your safety responsibilities?
 - b. [m] [e] In the past year or so, have you experienced any situations where a manager, supervisor or co-worker stopped or paused work because of a safety issue or concern?
 - c. [m] [e] When a situation arises that requires a balance between safety and production, is the emphasis on safety or production and who makes this decision?
2. Management engagement and time in the field
 - a. [m] [e] Does the site have any kind of program to reward staff for improving safety such as spot awards for excellent work practices or awards for the best suggestions to improve safety?
 - b. [m] As a manager, how much time do you spend in the field observing work activities?
 - c. [m] [e] When you submit a safety concern, is it addressed in a timely manner?
3. Open communication and fostering an environment free from retribution
 - a. [e] Does your supervisor observe your work? Do other managers (upper level management) observe your work? If so, how often?
 - b. [m] [e] If supervisors observe your work, do their observations change how the work was performed?
 - c. [m] How do you typically address employee’s safety concerns?
 - d. [e] Do you feel that your manager typically addresses employee concerns from your group in a timely, effective manner?
 - e. [m] How do you actively encourage your employees to bring concerns to you?
 - f. [e] Does management encourage raising employee concerns? If so, how?
 - g. [m] Do you know what is expected of you in handling employee concerns? Do you feel able to effectively handle employee concerns? Are you held accountable for your handling of employee concerns?
 - h. [m] What kind of safety concerns do you receive most often? What actions do you take?
 - i. [m] [e] How do managers treat errors and incidents? Does management consider incidents as good learning opportunities or as bad (negative) for business? Or both?
4. Clear expectations and accountability
 - a. [m] [e] What are the safety responsibilities of your job? Is safety incorporated into your job performance review?
 - b. [m] [e] Does my supervisor set clear expectations for safety and hold people accountable to conduct the work safely? Any examples of how unsafe work activity was addressed?
 - c. [m][e] Do supervisors hold subcontractors accountable for following safety rules and requirements?

Field and/or Work Activities Reviewed: Direct observations of work place behavior will be used to determine management and leadership effectiveness in meeting these criteria. BARS forms will document observed behavior.

DISCUSSION OF RESULTS:

CONCLUSION:

SCWE Assessment Focus Area 2 – Employee/Worker Engagement

OBJECTIVE

SCWE.2: Employee/Worker Engagement-DOE and the contractor management have established and implemented effective Issues Management System for ongoing operational program activities.

CRITERIA:

1. Teamwork and mutual respect:
 - Open communications and teamwork are the norm.
 - Individuals at all levels of the organization listen to each other and effectively engage in crucial conversations to ensure meaning, intent and viewpoints are understood; and that differing points of view are acknowledged.
 - Discussion on issues focus on problem solving rather than on individuals.
 - Good news and bad news are both valued and shared.

APPROACH:

Interviews: Interview site personnel to determine roles and responsibilities. Interviews will include both management and non-management personnel on both one-on-one interviews and interviews in small groups, if appropriate. The lines of inquiry (LOIs) listed below were developed from the DOE Safety Conscious Work Environment Self-Assessment Guidance and the NRC Best Practices – “95003.02-B, *Sample Questions for Safety Culture Components*” document that was specifically developed for use in focus groups or individual interviews. (List of interviews conducted by functional title)

Lines of Inquiry for interviews: Management questions denoted by [m]. Employee questions denoted by [e]

1. Teamwork and mutual respect:
 - a. [m] [e] Are you aware of situations in the past year or so, where any employee or contractor may have been hesitant to raise concerns? If yes, please explain.
 - b. [m] [e] Where would you go to raise a safety issue? Are there other avenues or methods available and which is most effective?
 - c. [m] [e] Are you willing to raise a safety concern? Are there any conditions under which you would be hesitant to raise a safety concern?
 - d. [e] When management tells you about an incident do they say who was involved? Do they focus on the individual or do they focus on the incident?

Field and/or Work Activities Reviewed: Direct observations of work place behavior will be used to determine management and leadership effectiveness in meeting these criteria. BARS forms will document observed behavior.

DISCUSSION OF RESULTS:

CONCLUSION:

SCWE Assessment
Focus Area 3 – Organizational Learning

OBJECTIVE

SCWE.3: Organizational Learning-DOE and contractor management have established performance improvement process and effectively integrated results from the performance assurance activities.

CRITERIA:

1. Credibility, trust and reporting errors and problems:
 - Credibility and trust are present and continuously nurtured so that a high level of trust is established in the organization.
 - Organizations, managers and line supervisors provide accurate, relevant and timely information to employees. Line managers are skilled in responding to employee questions in an open, honest manner.
 - Reporting individual errors is encouraged and valued. Individuals are recognized and rewarded for self-identification of errors.
 - Line managers encourage and appreciate safety issue and error reporting.
 - Managers and line supervisors demonstrate integrity and adhere to ethical values and practices to foster trust.
 - Managers and line supervisors demonstrate consistency in approach and a commitment to the vision, mission, values and success of the organization as well as the individuals (people).
 - Mistakes are used for opportunities to learn rather than blame.
 - Individuals are recognized and rewarded for demonstrating behaviors consistent with the safety culture principles.
2. Effective resolution of reported problems:
 - Vigorous corrective and improvement action programs are established and effectively implemented, providing both transparency and traceability of all corrective actions. Corrective action programs effectively prioritize issues, enabling rapid response to imminent problems while closing minor issues in a timely manner to prevent them from escalating into major issues.
 - Results from performance assurance activities are effectively integrated into the performance improvement processes, such that they receive adequate and timely attention. Linkages with other performance monitoring inputs are examined, high-quality causal analyses are conducted, as needed, and corrective actions are tracked to closure with effectiveness verified to prevent future occurrences.
 - Processes identify, examine and communicate latent organizational weaknesses that can aggravate relatively minor events if not corrected. Organizational trends are examined and communicated.
 - Organizational systems and processes are designed to provide layers of defenses, recognizing that people are fallible. Lessons learned are shared frequently; prevention and mitigation measures are used to preclude errors from occurring or propagating. Error-likely situations are sought out and corrected, and recurrent errors are carefully examined as indicators of latent organizational weaknesses.
 - Incident reviews are conducted promptly after an incident to ensure data quality and to identify improvement opportunities. Causal analysis expertise is applied effectively to examine events and improve safe work performance. Causal analysis is performed on a graded approach for major and minor incidents, and near-misses, to identify causes and follow-up actions. Causal analysis incorporates multi-discipline analytical perspectives. Even small failures are viewed as windows into the system that can spur learning.
 - Performance improvement processes require direct worker participation. Individuals are encouraged, recognized and rewarded for offering innovative ideas to improve performance and to solve problems.

3. Performance monitoring through multiple means:

- Line managers maintain a strong focus on the safe conduct of work activities. Line managers maintain awareness of key performance indicators related to safe work accomplishment, watch carefully for adverse trends or indications, and take prompt action to understand adverse trends and anomalies. Management employs processes and special expertise to be vigilant for organizational drift.
- Performance assurance consists of robust, frequent, and independent oversight conducted at all levels of the organization. Performance assurance includes independent evaluation of performance indicators and trend analysis.
- Line managers throughout the organization set an example for safety through their direct involvement in oversight activities and associated performance improvement.
- The organization actively and systematically monitors performance through multiple means, including leader walkarounds, issue reporting, performance indicators, trend analysis, benchmarking, industry experience reviews, self-assessments, peer reviews, and performance assessments.
- The organization demonstrates continuous improvement by integrating the information obtained from performance monitoring to improve systems, structures, processes, and procedures.
- Line managers are actively involved in all phases of performance monitoring, problem analysis, solution planning, and solution implementation to resolve safety issues.
- The organization maintains an awareness of its safety culture maturity. It actively and formally monitors and assesses its safety culture on a periodic basis.

4. Questioning attitude:

- Line managers encourage a vigorous questioning attitude toward safety, and foster constructive dialogues and discussions on safety matters.
- Individuals cultivate a constructive, questioning attitude and healthy skepticism when it comes to safety. Individuals question deviations, and avoid complacency or arrogance based on past successes. Team members support one another through awareness of each other's actions and constructive feedback when necessary.
- Individuals pay keen attention to current operations and focus on identifying situations where conditions and/or actions are diverging from what was assumed, expected, or planned. Individuals and leaders act to resolve these deviations early before issues escalate and consequences become large.

APPROACH:

Interviews: Interview site personnel to determine roles and responsibilities. Interviews will include both management and non-management personnel on both one-on-one interviews and interviews in small groups, if appropriate. The lines of inquiry (LOIs) listed below were developed from the DOE Safety Conscious Work Environment Self-Assessment Guidance and the NRC Best Practices – “95003.02-B, *Sample Questions for Safety Culture Components*” document that was specifically developed for use in focus groups or individual interviews. (List of interviews conducted by functional title)

Lines of Inquiry for interviews: Management questions denoted by [m]. Employee questions denoted by [e]

1. Credibility, trust and reporting errors and problems:
 - a. [m] [e] Do you trust your supervisor to make good decisions in regards to you and your co-worker’s safety?
 - b. [m] [e] Does management show integrity and maintain ethical standards to promote a trusting atmosphere?
 - c. [m] [e] How are employees recognized for reporting issues or identifying problems? Do you have any specific recognition or reward systems for identifying issues or problem areas? Does a reward system also apply to subcontractors?
2. Effective resolution of reported problems:
 - a. [m] Do you believe the site’s corrective action program is effective in identifying and resolving issues?
 - b. [m] Does your organization conduct assessments and similar activities to identify areas for improvement in the organization? (Communication of organization weaknesses)
 - c. [m] What organizational systems are in place that provides layers of defenses, recognizing human fallibility? (e.g., CONOPs, lessons learned)
 - d. [m] [e] Are incident reviews conducted promptly and thoroughly?
 - e. [m] [e] How are employees involved in problem solving process?
3. Performance monitoring through multiple means:
 - a. [m] Does the site have effective performance indicators relative to both safe work accomplishment and identifying adverse trends?
 - b. [m] Is the site Contractor Assurance System (CAS) program effective in independently identifying and analyzing trends?
 - c. [m] Are performance indicators and lessons learned incorporated into the work planning and control process?
 - d. [m] How do you monitor safety culture?
4. Questioning attitude:
 - a. [m] [e] Does your organization promote discussion on different approaches before work is performed?
 - b. [m] [e] How does your workgroup address complacency? Are suggestions offered by the workgroup?
 - c. [m] [e] Does my supervision actively seek out and support differences in opinion on how to get the job done when conditions change from the planned work?
 - d. [e] If a co-worker saw you using the wrong tool for the job, or taking a shortcut in the process, would they be likely to stop you? Can you give any examples where that type of thing has happened?

Field and/or Work Activities Reviewed: Direct observations of work place behavior will be used to determine management and leadership effectiveness in meeting these criteria. BARS forms will document observed behavior.

DISCUSSION OF RESULTS:

CONCLUSION:

SCWE Assessment
Focus Area 4 – Supplemental
Performance Measures and Contract Incentives

OBJECTIVE

SCWE.4: Performance Measures and Contract Incentives - DOE and contractor management have established contract incentives for safety performance and established performance metrics that reinforce SCWE.

CRITERIA:

Supplemental Information Topic: Performance Measures and Contract Incentives

1. Contract incentives achieve a reasonable balance between cost/schedule and safety pressures
 - a. What incentives are in place to prevent budget or schedule pressures from impairing the effectiveness of formal processes for identifying, documenting, and resolving: nuclear safety, quality, and technical concerns; along with issues raised by employees; and issues associated with the management of complex technical issues?
2. Performance metric insights into SCWE
 - a. What insight does Performance Assurance System data provide regarding SCWE and whether the organization learns from safety concerns? The recommended team approach is to evaluate the issues management system to determine whether: 1) when employees raise issues, are they involved in determining the solution, 2) do they receive feedback on the resolution of their concerns, 3) do workers actively participate in the preparation and execution of corrective actions, 4) are employees a part of improvement initiatives at their work locations, and 5) whether performance indicator trends show that the system is being effectively used by workers and managers to identify and address issues (e.g., trends could exist in: the rate of corrective action completion, the number of overdue corrective actions, the average age of incomplete corrective actions, or the number of issues deemed as recurring).
 - b. What evidence exists to show decision making reflects a safety first attitude? The recommended approach is to evaluate operations and management information/metrics to determine whether trends and changes are present in performance indicators, such as: 1) rate of unplanned LCO entries; 2) rate and nature of procedural violations; 3) the rate of deferred/overdue training; 4) currency of SCWE-related procedures and policies (e.g., Differing Professional Opinion process, Employee Concerns Program); and 5) number of problem identification reports submitted on a periodic basis (e.g., monthly).
 - c. What evidence exists to show how effectively the organization monitors the SCWE aspects of their safety culture? The recommended team approach is to evaluate performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) rates of overdue/delayed/cancelled audits & assessments; 2) the number and quality of findings; 3) turnover in audit/assessment staff; 4) rate and nature of externally- vs. internally-identified findings; and 5) the rate and nature of reportable events.
 - d. What evidence exists that demonstrates managers/supervisors perform first hand observations of the work environment, listen to workers, and make changes where necessary? The recommended team approach is to evaluate performance assurance system information to determine what trends and changes are present in performance indicators such as: 1) the number of management observations by senior managers; 2) the number of management observations that identify deficiencies or best practices; and 3) the number of deficiencies or best practices that result in change.
 - e. What evidence exists that demonstrates the organization maintains nuclear facilities in a manner that supports both production and the safe performance of work? The recommended team approach is to evaluate facility performance metrics to determine what trends and changes are present in performance indicators such as: 1) the number and age of LO/TO hanging; 2) the number and age of temporary modifications; 3) the rates of deferred maintenance; and 4) the number and age of inoperable or impaired safety systems.

APPROACH:

Record Reviews: Review procedures, employee concerns program, SCWE survey results, assessment reports and any other documents applicable to assessing compliance with SCWE criteria. The documentation review should include but not be limited to the following documents:

- Human resource policies and procedures pertinent to harassment and retaliation
- Organizational improvement training materials
- Employee Concerns Program procedures
- Contract mechanisms including subcontractor flow down of safety performance
- Performance measures and indicators
- Communication plans and programs for promoting safety
- Contractor Assurance Systems (CAS) compliance and performance
- Stop Work Authority policies and procedures
- Assessment process – procedures, schedules, completed assessments
- SCWE survey data

(List of documents with title, date, revision)

Lines of Inquiry:

1. Contract incentives as identified in the criteria above.
2. Performance metric insights into SCWE
 - a. Describe the site Contractor Assurance System (CAS) program as it is applicable to data collected and evaluated for SCWE? Is worker involvement for improvement encouraged?
 - b. Describe the site metrics that are collected and evaluated to indicate a safety first attitude?
 - c. How does the site monitor the effectiveness of both SCWE/safety culture?
 - d. What are the organizations expectations or requirements for management spending time in the field regarding the work environment?
 - e. What are some examples that demonstrate the balance between safety and schedule? (specific examples provide in criteria above)

Interviews: Interviews will focus on procedures, programs and contract documents and their implementation. (List of interviews conducted by functional title)

Field and/or Work Activities Reviewed: (If any)

DISCUSSION OF RESULTS:

CONCLUSION: