

*Process Review and
Measurement System*



NOIU Objective

To provide the Secretary of the Navy with an independent and objective view of the state of occupational safety and health and environmental compliance in the Navy, and of the issues affecting compliance. To identify the risks and consequences associated with OSH compliance.

AS PRESENTED AT THE SAFETY PROFESSIONAL DEVELOPMENT CONFERENCE BY [REDACTED], DEPUTY DIRECTOR, NOIU.

NAVOSH Strategic Plan Goals

- Realistic, responsive to Navy needs, personnel and regulatory authorities
- Program that is customer oriented, technically competent, cost-effective, and protects people.

ENSURING APPROPRIATE PROTECTION OF PERSONNEL AND PROPERTY THRU INTEGRATION OF SAFETY AND OCCUPATIONAL HEALTH IN THE WORKPLACE

CUSTOMER ORIENTED -- CUSTOMER IS RECEIVING WHAT'S NEEDED.

TECHNICALLY COMPETENT -- KNOWLEDGEABLE INSPECTORS, FAMILIAR WITH REGULATORY REQUIREMENTS

COST-EFFECTIVE PROGRAM, MEETING PROGRAM NEEDS

PR&MS Structure/Goals

- New approach - NO NEW REQUIREMENTS
- Process is the driver, not compliance
- Evaluates efforts as well as outcomes
- Objective and subjective criteria
- Ensures command-wide OSH integration
- Supports readiness

REGULATIONS AND STANDARDS ARE THE SAME -- THIS IS A DIFFERENT WAY OF LOOKING AT THE EFFECTIVENESS OF IMPLEMENTATION

THIS IS NOT A SAFETY OFFICE INSPECTION -

IT IS GEARED TOWARD DETERMINING HOW WELL OSH PROGRAM IS INGRAINED INTO MISSION OF COMMAND

Historical Perspective

- OSH Strategic Plan Mandate - 1994
- Key Performance Indicators
- Goals: Review & Measurement Process for long-term continuous program improvement
- NOIU implementation - 1997
- CNO expectations

EFFECTIVE 2000 -- NO MORE 'OLD' NOSHIP INSPECTIONS. ALL ARE CONDUCTED USING PR&MS

PR&MS Results

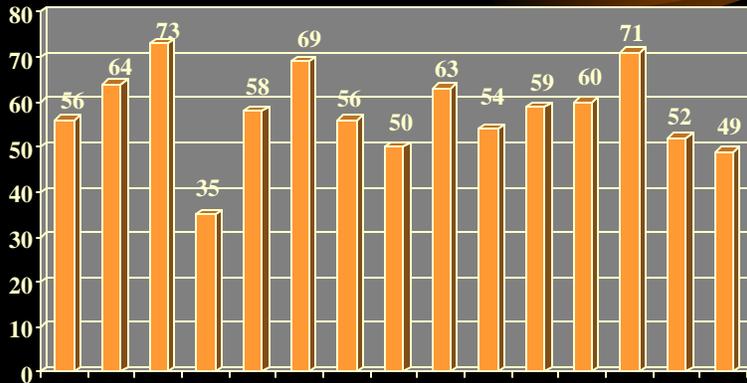


- More effective in measuring the benefits of NAVOSH investments and overall performance
- Institutionalize process

KEY IS PROCESS!

HOW DO YOU ACCOMPLISH THE ELEMENTS OF THE PROGRAM?

PR&MS Inspection Results



RESULTS FOR PR&MS INSPECTIONS CONDUCTED THUS FAR.

THE 'OLD HIGH SCORES' ARE NO MORE. SCORING IS BASED ON MALCOLM BALDRIDGE CONCEPT.

FIRST INSPECTION SCORE IS YOUR BASELINE.

Five PR&MS Models

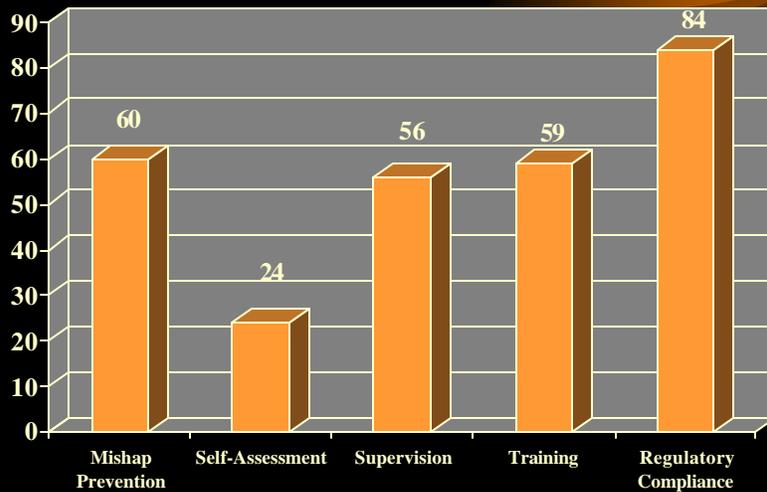
- Mishap Prevention
- Regulatory Compliance
- Supervision
- Training
- Self-Assessment
- *Customer Focused Support
 - Where applicable, scored separate (region)

REGION WILL BE EVALUATED USING THE CUSTOMER FOCUSED SUPPORT MODEL.

SCORED SEPARATELY, NOT FACTORED INTO SCORE FOR OTHER MODELS.

END RESULT WILL BE TWO NUMERICAL RATINGS -- ONE FOR THE FIRST 5 MODELS, SECOND FOR CUSTOMER FOCUS

Average Key Process Values



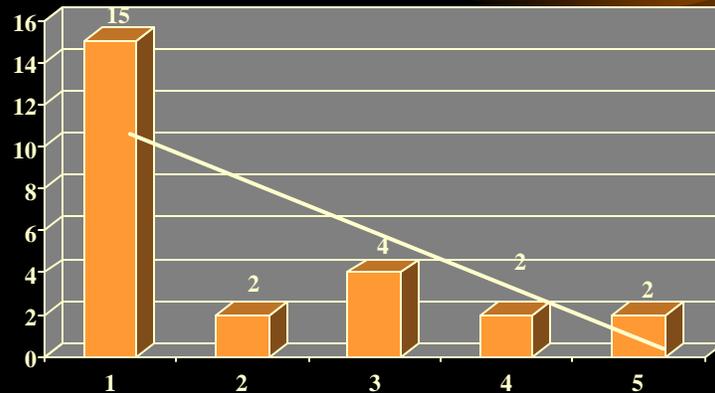
AVERAGES BASED ON 14 PREVIOUS INSPECTION SCORES.

IMPORTANT TO REALIZE THAT EACH MODEL OVERLAPS AND AFFECTS OTHER MODELS.

IF THERE'S A PROBLEM WITH A MISHAP, TRAINING MAY BE AFFECTED; SUPERVISION MAY BE AFFECTED; REGULATORY COMPLIANCE MAY BE AN ISSUE

THESE MODELS 'CLOSE THE LOOP' ON THE VARIOUS PROGRAM ELEMENTS IN NAVOSH PROGRAM

Feedback - Prior Knowledge of PR&MS



POST INSPECTION QUESTIONNAIRES SUBMITTED BY CUSTOMERS TO NAVINSGEN REVEALED THAT MOST PEOPLE WERE NOT FAMILIAR WITH THE PR&MS PROCESS BEFORE THE INSPECTION.

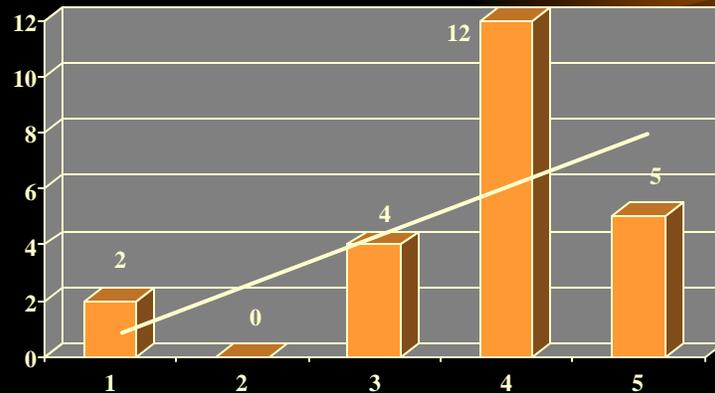
GUIDANCE ON PR&MS HAS BEEN OUT SINCE AT LEAST 1998. MOST OSH MANAGERS BRIEFED CO/XO AND DEPARTMENT HEADS ON PR&MS.

UNFORTUNATELY, BRIEFINGS WERE CONDUCTED WHEN THE GUIDANCE FIRST CAME OUT AND THERE HAVE NOT BEEN MANY CONTINUOUS BRIEFINGS ON THE PROCESS.

REGARDLESS OF INFO, WE STILL AREN'T COMFORTABLE WE TRULY UNDERSTAND.

WON'T KNOW WHAT IT'S REALLY LIKE UNTIL WE GO THRU IT.

Feedback-Value to NAVOSH Program



FEEDBACK FROM QUESTIONNAIRES --

MOST PERSONNEL FELT THAT THE PR&MS INSPECTION WAS OF VALUE

I'VE HAD DISCUSSIONS WITH SAFETY MANAGERS WHO'VE GONE THRU THE PROCESS. WHILE MOST SAID IT WAS EXTREMELY DIFFICULT AND UNCOMFORTABLE; THEY SAW THE VALUE.

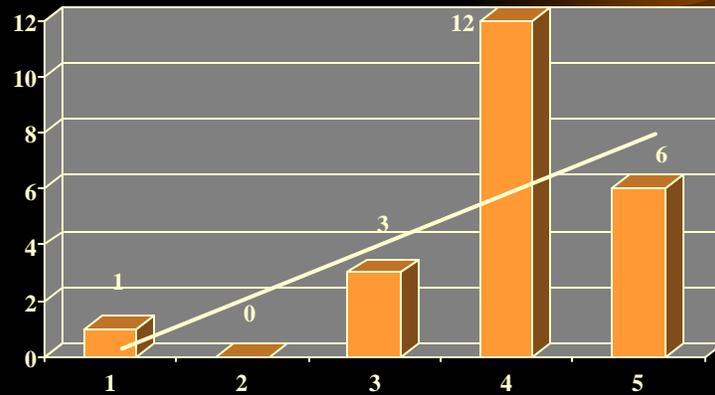
ONE MANAGER TOLD ME- 'FINALLY, OUR DEPARTMENT HEADS, CO & XO UNDERSTAND'

ONE ALMOST QUIT DURING THE INSPECTION, ALMOST HAD A NERVOUS BREAKDOWN.

MUST KEEP IN MIND THIS IS A NEW WAY OF LOOKING AT THE SAME PROGRAM. IT'S PROCESS DRIVEN.

IT'S NOT A SAFETY OFFICE INSPECTION.

Feedback - Effectiveness of PR&MS Inspection



FEEDBACK FROM QUESTIONNAIRES -

MOST FELT THE PROCESS WAS EXTREMELY EFFECTIVE AT IDENTIFYING PROBLEM AREAS AND EVALUATING HOW WELL SAFETY IS INGRAINED INTO COMMAND MISSION.

IT'S NOT PLEASANT -- BUT IT WORKS!

Systemic Issues - Mishap Prevention

- Mishap reporting inadequate
 - Not reporting mishaps to OSH Office
 - Logs inaccurate
- Actions determined by use of mishap log only
- No measurable goals or strategies

•PERFORMANCE MEASURES

•INJURY/ILLNESS RATE (LOST TIME, NO LOST TIME, FIRST AID INJURIES -- SLIGHTLY DIFFERENT FROM OLD MISHAP 'CASE RATE' WHICH DID NOT COUNT FIRST AID)

•ASSESSMENT OF PROGRAM

- INTERVIEWS
- RECORDS REVIEW
- SITE INSPECTIONS

• 30% OF OVERALL SCORE

•SLIDE SHOWS PROBLEMS FOUND NAVY-WIDE DURING PREVIOUS PR&MS INSPECTIONS

Systemic Issues - Supervision

- Military 'fit-reps' lack OSH performance accountability (Navy-wide)
- OSH performance criteria for civilians (supv/non-supv) lacked scope
- OSH not fully integrated
- Supervisor not accountable

- 20% OF OVERALL SCORE
- TEAM WILL BE CHECKING ON EFFECTIVENESS OF SUPERVISION.
- WILL SPEND A LOT OF TIME TALKING WITH CO'S/XO'S, HOW ARE THEY INVOLVED IN PROGRAM?
- SUPERVISORS -- HOW WELL ARE THEY DOING THEIR JOB RE SAFETY?
- LOT OF TIME TALKING WITH DEPT HEADS, SUPERVISORS, WORKERS
- OSH ELEMENTS IN PERFORMANCE APPRAISALS, MILITARY AND CIVILIAN
- COMPARE SUPV OSH PERFORMANCE RATING WITH INJURY LOGS
 - DOES SUPV WITH A LOT OF ACCIDENTS STILL RATE OUTSTANDING?
- HOW DOES COMMAND SET STANDARDS AND HOLD SUPV ACCOUNTABLE?
- FOCUS GROUPS - WILL INCLUDE EMPLOYEES, CLASSROOM SETTING
 - WORKER GROUP
 - SUPERVISOR GROUP
 - INJURY LOG GROUPS (INJURED EMPLOYEES)
- IG TEAM WILL NAME INDIVIDUALS THEY WANT IN FOCUS GROUPS

Systemic Issues - Training

- Incomplete training plan
 - Not all required training included
 - Target audience not always identified
- No review process
 - Instructor
 - Course Content
 - Post training behavior
- No process to determine training effectiveness

•PERFORMANCE MEASURES

•MATRIX MATCH AGAINST REQUIREMENTS

•REVIEW OF TRAINING PLAN

•CROSS CHECK OF TRAINING ACCOMPLISHED

•EMPLOYEE INTERFACE

•INTERVIEWS TO DETERMINE KNOWLEDGE

•15% OF OVERALL SCORE

•WHAT PROCESS DO YOU USE TO DETERMINE EACH STEP OF TRAINING?

• WHAT PROCESS TO DELIVER TRAINING?

•HOW IS TRAINING REINFORCED?

•PROOF OF TRAINING BY SHOWING A ROSTER IS INADEQ

•WHAT METHOD TO ENSURE EFFECTIVENESS OF TRAINING?

•TEAM WILL ASK SPECIFIC QUESTIONS FROM TRAINING

•HOW DO YOU CONTINUALLY IMPROVE TRAINING?

•HOW DO YOU MATCH TRAINING AGAINST REQUIREMENTS?

Systemic Issues - Self-Assessment

- No process to ensure each key process is evaluated during “self-evaluations” or “assessments”

15% OF OVERALL SCORE

- VERY IMPORTANT!
- DO PEOPLE UNDERSTAND ALL THEY NEED TO SO THEY CAN WORK SAFELY?
- WHERE ARE YOU? WHERE DO YOU NEED TO BE?
- HOW WELL ARE YOU DOING?
- HOW DO YOU KNOW?
 - INDUSTRIAL HYGIENE SURVEY RESULTS -- HAVE YOU REVIEWED?
 - MISHAP EXPERIENCE -- DO YOU KNOW? DEPT HEADS KEEPING YOU INFORMED? REVIEW ANNUAL MISHAP ANALYSIS, LOGS
 - MTGS WITH SAFETY STAFF, BRIEFINGS
- HOW DO YOU GET BETTER? POA&M?
- MEASURABLE RESULTS?
- TARGET COMPLETION DATES?

- SAFETY DEPT PREPARED SELF-ASSESSMENT, COPIES TO CO'S
- TAKE TIME TO REVIEW

Regulatory Compliance

- Old “checklist” inspections
- Review admin elements of 27 OSH programs
- Field inspections/evaluation
- Average scoring above 80%

•PERFORMANCE MEASURES

- ADMINISTRATIVE PROGRAM REVIEW USING CHECKLIST
- EACH PROGRAM WEIGHTED EVENLY @ 100 POINTS SO NO ONE PROGRAM SKEWS INSPECTION RESULTS
- WORKPLACE EVALUATIONS/INSPECTIONS

•20% OF OVERALL SCORE

•WHAT IS YOUR REGULATORY COMPLIANCE POSTURE?

•WHAT QA TO DETERMINE COMPLIANCE?

•HOW DO YOU IMPLEMENT REGULATIONS/STANDARDS, WHAT RESOURCES?

•HOW DO YOU FIGURE OUT, STAFF APPROPRIATELY, AND BUDGET TO DO MAINTAIN COMPLIANCE?

•EACH PROGRAM IMPACTS ALL OTHER PARTS OF THE MODULE, NOT JUST REGULATORY COMPLIANCE MODULE

*****REAL EMBARRASSMENT TO FIND FIELD/SHOP DISCREPANCIES...**

•ENSURE SPACES ARE CLEAN, ORDERLY. ENSURE PAST INSPECTION DEFICIENCIES NO LONGER EXIST!

Customer-Focused Support

- Goal: Meet customer's OSH support needs
- Strategy
 - ID customers and their needs
 - Evaluate products/services
 - Determine resource requirements
 - Develop customer survey
 - Develop implementation plan

•REGIONS & HOSPITALS GET THIS MODULE

INSPECTORS DON'T TALK TO OSH OFFICE -- THEY TALK TO THE CUSTOMERS

•WE HAVE ISSA'S PENDING WITH TENANT ACTIVITIES, NONE SIGNED.

•REGIONAL SAFETY PROVIDES FULL PROGRAM MANAGEMENT FOR 7 ACTIVITIES (COMNAVREG, FISC, NAVSTA, NAVMAG, NCTAMS, PWC & PACDIV). PROVIDE OSH SUPPORT TO TENANTS AND OTHER NAVY ACTIVITIES UPON REQUEST AT THIS TIME.

Customer-Focused Support (cont'd)

- Conduct survey
 - Evaluate results
 - Improve product/service delivery
 - ID improvements
 - Continuous process improvements
-
- Performance measure: Quality Assessment
 - 0-100% separate rating

•HOW DO YOU EVALUATE SERVICE?

•PLAN FOR CONTINUOUS IMPROVEMENT

•ASSESSMENT BASED ON INTERVIEWS WITH CURRENT CUSTOMERS (7 ACTIVITIES) MANAGEMENT, AND WITH OTHER COMMANDS WHO MAY RECEIVE SERVICE (E.G., PSD, METOC, NEX, ETC.)

Systemic PR&MS Problems

- Lack of knowledge concerning PR&MS
 - Lack of communication/guidance from Echelon 2 to subordinate activities
- Limited data points for accurate analysis
 - No SAT or UNSAT rating available

GENERAL OBSERVATION IS LACK OF GUIDANCE FROM ECHELON 2 TO FIELD ACTIVITIES DURING PAST INSPECTIONS.

NO PASS OR FAIL GRADE.

NUMERICAL RATING IS A BASELINE.

What to Expect



- Departure from Checklist
- Review based on objective/subjective criteria
- Review of integration of NAVOSH in all command operations
- Focus Groups
- Longer Inspection Time (2 Weeks)
- Greater Number of Inspectors (9)

**OLD CHECKLIST METHOD IS GONE
KNOWLEDGE/PROCESS BASED EVALUATION
HOW WELL DO YOU KNOW WHAT YOU SHOULD KNOW?**

**LOOKING TO ENSURE SAFETY EVIDENT AT ALL LEVELS
THROUGHOUT COMMAND.**

**IT'S NOT A 'SAFETY OFFICE' PROGRAM -- SAFETY IS A LINE
MANAGEMENT FUNCTION.**

PREVIOUS INSPECTIONS:

- 1 WEEK -- NOW 2 WEEKS
- 4-5 INSPECTORS -- NOW 9 INSPECTORS

What to Expect (continued)

- Only executive summaries left at the Command
- Report to share good news & bad
- Overall baseline score - No SAT/UNSAT
- Feedback questionnaires for process improvement

- EVENTUALLY WILL PROBABLY HAVE SAT/UNSAT RATINGS
- SCORE IS YOUR BASELINE -- CAN'T COMPARE OUR SCORE TO ANY OTHER ACTIVITY.
- LOW SCORE DOES NOT MEAN YOU HAVE BAD PROGRAM
- IT MEANS YOUR PROCESSES HAVE NOT BEEN WELL IMPLEMENTED AND/OR DOCUMENTED
- NOIU HAS FOUND MANY PROGRAMS WELL MANAGED, BUT NOT WELL DOCUMENTED
- SCORING METHOD IS SIMILAR TO MALCOLM BALDRIDGE -- BEHAPPY WITH YOUR FIRST SCORE REGARDLESS!

What to Expect (continued)

- No draft report left with Command
- Executive Summaries (each model)
- Overall benchmark score
- Inspection questionnaire

- TEAM TRIES TO ENSURE SAFETY DIRECTOR IS NOT KEPT IN THE DARK -- COMMUNICATION IS KEY TO SUCCESS
- EACH PILLAR WILL HAVE AN EXECUTIVE SUMMARY ONLY LEFT AT THE END OF THE INSPECTION
- FINAL REPORT HAS RECOMMENDATIONS REQUIRING ISR'S
- FIX THE 'PROBLEM' - NOT 'FIX THE DEFICIENCY'
 - FOR EXAMPLE, MACHINE GUARD MISSING, REPLACE MACHINE GUARD BUT ALSO FIX ENFORCEMENT, TRAINING, BEHAVIOR PROBLEM THAT ALLOWED GUARD TO BE REMOVED!
- FIRST INSPECTION IS YOUR BASELINE SCORE.
- EVALUATES HOW WELL YOU INTEGRATED THE CONCEPT OF PROCESSES, NOT STRICTLY COMPLIANCE
- QUESTIONNAIRES ARE FOR COMMAND PERSONNEL OPINION OF INSPECTION (CUSTOMER SURVEY).
- TO BE RETURNED DIRECTLY TO NAVINSGEN
- POOR RESPONSE ON QUESTIONNAIRES THUS FAR
- ENCOURAGE EVERYONE TO RETURN QUESTIONNAIRE TO IG!

Comments on PR&MS

- Ensure safety program is so ingrained into worker that he wouldn't consider working unsafely
- Trying to lead Command to point that Safety Office doesn't "do safety"
- Process is always changing

SAFETY DEPARTMENT IS YOUR RESOURCE -- GUIDANCE, COUNSEL, ADVICE, INVESTIGATION, TRAINING, EXPERTISE.

SAFETY DEPT IS NOT SOLELY RESPONSIBLE FOR SAFETY.

REMEMBER, THIS IS NOT A SAFETY DEPARTMENT INSPECTION, IT IS AN EVALUATION OF THE INTEGRATION OF SAFETY AND OCCUPATIONAL HEALTH PROGRAM THROUGHOUT COMMAND.