

**GROUP: E**

**RECORDS BEING RELEASED IN THEIR  
ENTIRETY**

## Williams, Joseph

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**From:** Johnson, Debby  
**Sent:** Thursday, December 17, 2009 8:16 AM  
**To:** Green, Jamie; Williams, Joseph; Cruz, Zahira; Bloom, Steven; Jenkins, Ronaldo; Mott, Kenneth; Donoghue, Joseph; Tetter, Keith; Moser, Michelle; Braden, Michael; Bernal, Sara; Burroughs, Eleasah; Whitaker, Barbara  
**Subject:** PLEASE TRY TO ATTEND THIS MORNING'S NRO All-Hands meeting  
**Attachments:** NRO Results to Action All Hands Presentation 12.17.09.ppt  
**Importance:** High  
**Categories:** Red Category

All,

Mike Johnson will be presenting Glenn with the NRO Vision of Success award for his role as NRO's Safety Culture Champion. It will be a surprise to Glenn, and they'd like the Results to Action Team members to join him on-stage and throw confetti. Immediately after this portion of the meeting, Jamie, Joe and I will be discussing the NRO Results to Action plan, which incorporates many of the elements from your division plans. Thanks again for all of your hard work.

Hope to see you this morning at 9:30,

Debby  
415-1415

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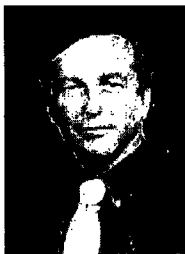
**From:** EDO Update [<mailto:nrc.announcement@nrc.gov>]  
**Sent:** Wednesday, December 16, 2009 5:18 PM  
**To:** Taylor, Renee  
**Subject:** EDO Update



## EDO Update

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Wednesday, December 16, 2009



### Safety Culture/Open, Collaborative Work Environment

I have mentioned in previous updates how gratified I was with the strong participation in this year's Office of the Inspector General's Safety Culture and Climate Survey. Now that we've had a chance to digest the results, I am asking the offices and regions to prepare plans to take action on your feedback and respond to specific concerns or criticisms revealed through the survey. The offices/regions are being asked to respond by the beginning of March, and to be prepared to share some best practices at an upcoming monthly meeting or a Senior Leadership Meeting in the spring.

Safety culture was also the theme of our recent Senior Leadership Meeting. In the course of our discussions we realized the term "Open, Collaborative Working Environment" (OCWE) could be seen as a more inclusive term to describe the model workplace. An OCWE includes many elements, such as coming together

to solve problems, continuous improvement, and employee suggestions. The level of collaboration we are striving to achieve is reflected in the more than 300 Communities of Practices representing dozens of disciplines at the Knowledge Center. OCWE recognizes that the entire staff contributes to the mission of the agency, and that everyone is encouraged to offer feedback into the decision-making process in an open and respectful way. I will be talking more about this in 2010.

#### Computers/Information Technology

An open and collaborative work environment requires the right tools; it's hard to collaborate if you can't communicate. That's why I am very pleased that the Office of Information Services (OIS) has made "Working From Anywhere" its top priority. This is a multi-faceted effort to allow the staff to securely access and use the systems and information they need to perform their job functions, regardless of where they are located. For more information on the Work From Anywhere effort, please visit this page: <http://www.internal.nrc.gov/ois/working-anywhere.html>.

In addition to installing these "virtual workplace" capabilities, OIS is also preparing to upgrade agency desktops to Microsoft Office 2007. This is a significant step for our computing resources, and will improve information sharing, data gathering, and communication internally and with external stakeholders. Look for the agency-wide roll-out to begin in February.

#### Happy Holidays

Finally, with the holiday season upon us, I hope you all will be able to spend some time with friends and family. Working for the government, we are more fortunate than many people this year, so I hope that you will consider giving something back through the Combined Federal Campaign, or some other way, if you have not already done so. I am on travel this week and I suspect that many of you will be off next week, so let me take this opportunity to mention that the entire agency had a great year and I truly appreciate the dedication and effort you have put forth to make that success possible. What's most impressive to me is that we're getting better every day. You're an inspirational group of people and I'm thankful to have the opportunity to work with you. Happy Holidays.

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Bill Borchardt, EDO

# **NRO Results to Action Plan**

**NRO All-Hands Meeting  
December 17, 2009**

## Results to Action Team

NRO Champion- Glenn Tracy

Analysts- Debby Johnson & Jamie Green

DNRL- Zahira Cruz & Steve Bloom

DE- Ronaldo Jenkins & Kenneth Mott

DSRA- Joe Donoghue & Keith Tetter

DSER- Michelle Moser & Michael Braden

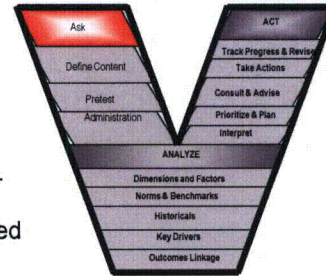
DCIP- Sara Bernal & Eleasah Burroughs

ARP/PMDA/FO- Joe Williams & Barbara Whitaker

# Survey Process Overview

## 1. ASK

- The NRC 2009 Safety Culture & Climate Survey consisted of:
  - A demographic section that asked for an employee's office/division/region, job function, grade level, and years of service.
  - 145 separate opinion items
  - The 145 survey opinion items were grouped into the following 17 categories:



- |                                |                                  |   |
|--------------------------------|----------------------------------|---|
| 1. Clarity of Responsibilities | 9. Performance Management        | 15. Continuous Improvement                  |
| 2. Management Leadership       | 10. Job Satisfaction             | 16. Commitment                              |
| 3. Supervision                 | 11. Engagement                   | 16. Quality Focus                           |
| 4. Working Relationships       | 12. NRC Mission & Strategic Plan | 17. Open, Collaborative Working Environment |
| 5. Empowerment                 | 13. NRC Image                    |   |
| 6. Communication               | 14. Organizational Change        |   |
| 7. Workload & Support          |                                  |   |
| 8. Training & Development      |                                  |   |

# Survey Process Overview

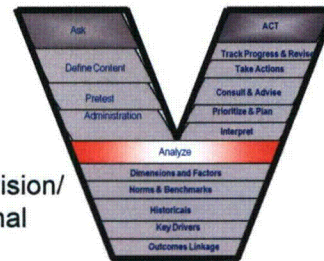
## 2. ANALYZE

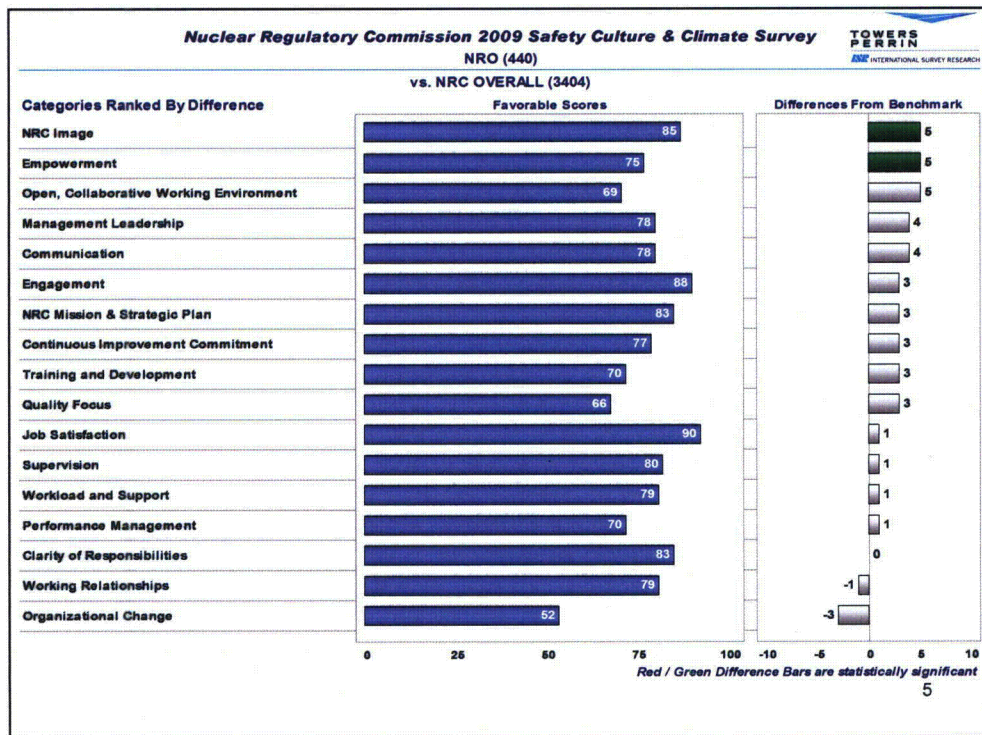
### – Dimensions & Factors

- Survey analysis for each Office/Division/Region included external and internal data-cuts

### – Normative Benchmarks

- The data were compared with three Towers Perrin-ISR benchmarks: U.S. Research & Development (R&D), U.S. High Performing Companies and U.S. National Norm – to provide external context in which to interpret the results







**Nuclear Regulatory Commission 2009 Safety Culture & Climate Survey**  
**NRO (440)**

**TOWERS  
PERRIN**  
INTERNATIONAL SURVEY RESEARCH

**CATEGORY SCORES**

Favorable Scores



## NRO Strengths and Opportunities

### Strengths

- Very high response rate
- NRO Image and Empowerment categories were statistically significantly above the NRC norm
- Highly engaged workforce

### Opportunities

- Challenge of sustainability due to positive results
- While no categories were statistically significant below the NRC norm, two questions were: future of the nuclear industry and communication between HQ and regions
- Division results varied and will be addressed by specific action plans

## NRO Focus Areas

- Quality Focus, Workload, and Organizational Change
- Open and Collaborative Working Environment
- Training & Development, and Performance Management

## Quality, Workload, & Organizational Change

- Prioritization of workload including staffing and contracting plans
- Communicate the context for metrics to improve understanding of relevance and benefits to the staff
- Develop tools for Branch Chief rotations to maintain stability in the leadership and direction of the branch
- Continue to implement NRO Vision of Success

Interactive discussion where divisions propose aligned actions to target categories

## Open and Collaborative Working Environment

- Reinforce expectations regarding NRO Vision of Success
- Avoid pre-determined outcomes
- Required periodic training for management and staff in NCP and DPO processes
- Establish NRO Differing Views Champion
- Conduct team-building activities at various levels

The first two recommendations are similar to recommendations for Quality Focus

•NRO can set a target for improved performance > where does NRO want to be?

•Reinforce expectations regarding Organizational Values and Principles of Good Regulation

•It is important for management to avoid becoming overly invested in a pre-determined outcome. As new information comes to light over the course of a project, expected outcomes can change. One source of such information is staff differing views.

•NRO should require all employees to be trained in the differing views processes

- Ensures consistent understanding of processes and expectations
- Increase familiarity with tools should help reduce staff uncertainty
- Managers can review experience gained from implementation
- Training expectation reinforces management's support of the processes
- Training on processes affecting core mission should be at least on equal footing with other training (i.e., Information Security)

•The team also proposes creation of an NRO point of contact for differing views issues

- Tangible evidence of the office's commitment. Can be a collateral duty depending on level of activity.
- Impartial 3rd party avoids placing management in position of having to take sides before a decision is made, especially in cases where there is a dispute between staff and management/supervision. This role is not provided by the agency's Differing Views Coordinator.
- Familiarity with processes to assist management and staff who have little or no experience with differing views procedures
- Ensure accountability, ensure process is followed and all issues rigorously addressed
- Assist identification of improvement opportunities as experience is gained

## OCWE Recommendations: Suggested Agency Action

- Finalize MD 10.158 (Non-concurrence process), with enhancements
- Publicize final procedure
- Training for all employees via iLearn
- Participate in survey follow-up focus groups that are being sponsored by OE

While the MD provides a good initial starting point, there are improvements that can be easily made that will substantially improve its effectiveness.

- Finalize MD 10.158, including requirements for
  - thorough and comprehensive response
  - consultation with originator(s) to ensure accurate understanding of issues
    - engineers aren't always the best communicators, so consultation is needed ensure understanding
    - Engagement with originator can help make them part of the solution, and avoids isolation
  - opportunity for rebuttal by originator helps ensure that the response doesn't miss an important point
  - originator participation in relevant discussions
    - avoids isolation
    - helps ensure views are appropriately represented and characterized
- Publicizing the final procedure should increase staff awareness, and reduce uncertainty
- Training should be mandatory for all employees
  - Reinforces management expectations
  - Training on processes affecting core mission should be at least on equal footing with other training (i.e., Information Security)

## Training & Development, and Performance Management

- Develop PM handbook to enhance knowledge transfer and standardization among branches
- Discuss IDP and training for upcoming year during performance appraisals
- Align training call with appraisal cycle
- Track % and reasons for cancelled courses
- Continue to implement NRO Vision of Success

- 1) Look to NRR PM Handbook as a guide
- 2) Pilot RII supervisor and employee checklists at mid-year appraisal
- 3) Run Ilearn reports to determine frequency of cancelled courses by division/branch, and drill in to understand why the cancellation is occurring
- 4) Review NRR's priority system for training funding?
- 5) Adequate time is allocated for training, appraisals, and performance feedback.

## NRO Plans for the Future

- Communicate the plan for NRO's future
- Develop communication protocols between NRO and RII
- Explain the NRC's budget process
- Continue developing the NRO Knowledge Management (KM) program
- Establish an NRO Differing Views Champion



## Agency Actions

### EDO Updates (11/23 and 12/16):

- OCWE & how this connects with the mission
- Knowledge Management strategies
- Staying connected with remote offices
- Internal communication mechanisms
- Sharing expectations, feedback, decisions
- Balancing work quality & productivity
- Availability of training
- Concerns with 1<sup>st</sup> line supervisory moves

## Next Steps

- Implement NRO and Division action plans
- Continue to implement NRO Vision of Success and NRC mission and values
- Strive to sustain positive results
- Participate in OE-led focus groups
- Hold NRO focus groups

## Questions?

Contact:

Debby Johnson (301) 415-1415

Joe Williams (301) 415-1470

## Rakovan, Lance

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**From:** Solorio, Ilka  
**Sent:** Monday, March 08, 2010 11:55 AM  
**To:** Rakovan, Lance  
**Subject:** HR ACTION PLAN 2 25 10 Final..doc  
**Attachments:** HR ACTION PLAN 2 25 10 Final..doc  
  
**Importance:** High

Lance,

Attached is HR's Action Plan.

Please let me know if you have any questions.

Regards,

Ilka

## HR ACTION PLAN

### Key Focus Area: Performance Management

<b><u>ACTION STEPS:</u></b>	<b>Targeted START</b>	<b>Targeted END</b>	<b>Actual Completion Date</b>	<b>Responsibility</b>
<ul style="list-style-type: none"> <li>Continue to communicate clear expectations to staff, specifically about what constitutes highly successful and outstanding performance.</li> </ul>	Ongoing			All Managers
<ul style="list-style-type: none"> <li>Develop performance plans that are specifically tied to significant annual projects and activities.</li> </ul>	March 1, 2010	April 30, 2010		All Managers
<ul style="list-style-type: none"> <li>Continue to provide timely feedback to staff throughout the year.</li> </ul>	Ongoing			All Managers
<ul style="list-style-type: none"> <li>Continue to post information on the HR website pertaining to Performance Management.</li> </ul>	Ongoing			All Managers
<ul style="list-style-type: none"> <li>Advise and train executives on preparing appraisals and performance plans.</li> </ul>	March 1, 2010	October 30, 2010		HROP/HRTD
<ul style="list-style-type: none"> <li>Continue to provide supervisors and team leaders with performance management training.</li> </ul>	Ongoing			HRTD

## HR ACTION PLAN

### Key Focus Area: Training and Development

<b><u>ACTION STEPS:</u></b>	<b>Targeted START</b>	<b>Targeted END</b>	<b>Actual Completion Date</b>	<b>Responsibility</b>
<ul style="list-style-type: none"> <li>Encourage staff's participation in training activities including but not limited to HR conference, independent study, on the job training, etc.</li> </ul>	On going			All Managers
<ul style="list-style-type: none"> <li>Prepare recommendation for Qualifications Program.</li> </ul>	Q2	Ongoing		HROP

## HR ACTION PLAN

Key Focus Area: Management/Leadership				
<b><u>ACTION STEPS:</u></b>	<b>Targeted START</b>	<b>Targeted END</b>	<b>Actual Completion Date</b>	<b>Responsibility</b>
<ul style="list-style-type: none"> <li>Continue to provide timely and targeted information to staff that is relevant to their work, but also related to HR priorities. These efforts will help to keep staff abreast of HR priorities and activities and also possibly improve office efficiency and the effectiveness of the delivery of products and services.</li> </ul>	Ongoing			All Managers
<ul style="list-style-type: none"> <li>Continue to conduct "All HR staff meetings and Division meetings" and to publish the HR Newsletter "The Human Touch" so staff is kept abreast of the current HR events.</li> </ul>	Ongoing			All Managers

## HR ACTION PLAN

### Key Focus Area: Communication

<b><u>ACTION STEPS:</u></b>	<b>Targeted START</b>	<b>Targeted END</b>	<b>Actual Completion Date</b>	<b>Responsibility</b>
<p>Improve the quality/effectiveness of human capital communications by continuing to provide well thought out, sequenced communications using a variety of media such as:</p> <ul style="list-style-type: none"> <li>• HR intranet webpage as the main method to communicate HR news to Agency and HR employees.</li> <li>• Articles about HR news to be published in the "Human Touch" newsletter.</li> <li>• Sharing information with HR employees to help them understand how their contributions align with the Agency and HR goals.</li> </ul>	Ongoing			All HR Managers



## Rakovan, Lance

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**From:** Taylor, Renee  
**Sent:** Tuesday, September 21, 2010 3:36 PM  
**To:** Rakovan, Lance; Ash, Darren; Boger, Bruce; Boyce, Thomas (OIS); Brenner, Eliot; Brown, Milton; Burns, Stephen; Carpenter, Cynthia; Casto, Chuck; Cohen, Miriam; Collins, Elmo; Dapas, Marc; Dean, Bill; Doane, Margaret; Droggitis, Spiros; Dyer, Jim; Greene, Kathryn; Grobe, Jack; Hackett, Edwin; Haney, Catherine; Hayden, Elizabeth; Holahan, Gary; Howard, Patrick; Johnson, Michael; Kelley, Corenthis; Leeds, Eric; Lyons, James; Mamish, Nader; McCrary, Cheryl; McCree, Victor; McDermott, James; Miller, Charles; Moore, Scott; Pederson, Cynthia; Plisco, Loren; Poole, Brooke; Powell, Amy; Reyes, Luis; Satorius, Mark; Schaeffer, James; Schmidt, Rebecca; Sheron, Brian; Sosa, Belkys; Stewart, Sharon; Vietti-Cook, Annette; Virgilio, Martin; Weber, Michael; Wiggins, Jim; Williams, Barbara; Zimmerman, Roy; Campbell, Andy; Holahan, Patricia  
**Cc:** Akstulewicz, Brenda; Andersen, James; Bellosi, Susan; Belmore, Nancy; Blaney, Stephanie; Borchardt, Bill; Boyd, Lena; Buckley, Patricia; Casby, Marcia; Cianci, Sandra; Crawford, Carrie; Davis, Chon; Flory, Shirley; Garland, Stephanie; Higginbotham, Tina; Hudson, Sharon; Kreuter, Jane; Landau, Mindy; Matakas, Gina; Miles, Patricia; Pulley, Deborah; Rihm, Roger; Riner, Janet; Ronewicz, Lynn; Ross, Robin; Salus, Amy; Tannenbaum, Anita; Taylor, Renee; Thomas, Loretta; Walker, Dwight; Warner, MaryAnn; Wright, Darlene; Wyatt, Melissa; Cannady, Ashley; Lockhart, Denise; Perez-Ortiz, Aracelis; Riddick, Nicole; King, Shannon; Penny, Melissa; Sprogeris, Patricia; Burroughs, Eleasah; Nagel, Cheri; Hasan, Nasreen; Eng, Patricia; Hudson, Jody; Givvines, Mary; Zimmerman, Jacob; Gusack, Barbara; Garland, Stephanie; Beckford, Kaydian; Mamish, Nader  
**Subject:** Safety Culture Focus Group Report

Dear Colleagues,

Please find the Safety Culture Focus Group Report that I mentioned at Friday's monthly management meeting here:

[http://www.internal.nrc.gov/oedo/OIG\\_Survey/NRC\\_Final\\_Report.pdf](http://www.internal.nrc.gov/oedo/OIG_Survey/NRC_Final_Report.pdf)

A contractor hired by NRC held 20 focus groups with 115 employees in NRC headquarters and regional offices to gain further insights into specific improvement areas identified in the 2009 OIG Safety Culture and Climate survey.

They concentrated on the survey results that were generally less positive than the views expressed in the majority of other categories.

The focus groups clarified and confirmed some high level themes from the original survey:

- NRC performs high quality work and is a good place to work
- Administrative staff (agency-wide) and some Regional staff feel less valued
- Concerns about the performance management process still exist
- The abundance of communications vehicles drew mixed feedback
- There was positive feedback on collaboration and information sharing, but continuing concerns with reluctance to use the Differing Professional Opinion (DPO) and Non-Concurrence Processes, as well as the Open Door Policy
- Many staff feel over-surveyed and are not seeing substantive improvements based on their input

Because this report concentrates on a small subset of the OIG survey results, these results should not be over-interpreted. Instead, this report should be used along with other available sources of employee feedback data—such as the recent results from the Federal Employee Viewpoint Survey—to guide continuous improvement activities.

We plan to release this report internally to the staff later this week, and then place it in ADAMS as a public document shortly thereafter.

Contact me or one of the DEDO's if you have questions or concerns.

Bill

Cai, June

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**From:** Rihm, Roger OEDO  
**Sent:** Friday, May 04, 2012 10:41 AM  
**To:** Cai, June  
**Subject:** FW: Urgent Action Requested  
**Attachments:** NRO Focus Group Summary - Final 10\_29\_10.pdf; Communications plan for focus group report

Are we including this or is it too old?

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**From:** Holahan, Gary NRO  
**Sent:** Friday, May 04, 2012 8:21 AM  
**To:** Rihm, Roger  
**Cc:** Dudes, Laura; Williams, Donna; Johnson, Michael  
**Subject:** FW: Urgent Action Requested

Roger,

More info on Safety Culture. The focus groups were part of ... or follow-up to ... the OIG survey.

Gary

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**From:** Johnson, Debby NRO  
**Sent:** Friday, May 04, 2012 7:33 AM  
**To:** Holahan, Gary; Dudes, Laura; Johnson, Michael  
**Cc:** Williams, Joseph  
**Subject:** RE: Urgent Action Requested

Gary,

The attached communication plan describes 20 focus groups that were held throughout the agency as follow-up actions after the last OIG Safety Culture survey. NRO conducted 2 focus groups, which are summarized in the attached and shared with NRO management. June Cai in OE was the POC for this effort, and an overall report summarizing this effort can be found on the EDO website: [http://www.internal.nrc.gov/oedo/OIG\\_Survey/index.html](http://www.internal.nrc.gov/oedo/OIG_Survey/index.html)

Thanks,

Debby  
(301) 415-1415

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**From:** Holahan, Gary NRO  
**Sent:** Thursday, May 03, 2012 6:00 PM  
**To:** Dudes, Laura; Johnson, Debby; Rihm, Roger; Johnson, Michael  
**Subject:** RE: Urgent Action Requested

Laura,  
Roger,

I think that Laura is correct. There were no NRO reports that I am aware of. The NMSS report was "NMSS Internal Safety Culture Assessment" prepared by Suntiva, LLC November 7, 2011

Gary

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**From:** Dudes, Laura NRO  
**Sent:** Thursday, May 03, 2012 5:20 PM  
**To:** Johnson, Debby; Rihm, Roger; Johnson, Michael; Holahan, Gary  
**Subject:** FW: Urgent Action Requested  
**Importance:** High

Roger,

I know of no such reports issued to the NRO OD beyond the survey results that are available to all.

Thanks,  
Laura

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**From:** Rihm, Roger OEDD  
**Sent:** Thursday, May 03, 2012 10:57 AM  
**To:** Glitter, Joseph; Mohseni, Aby; Wert, Leonard; Webber, Robert; Dudes, Laura; Ross-Lee, MaryJane; Thaggard, Mark; McAndrew, Sara; Ficks, Ben; Case, Michael; Rough, Richard; Barnes, Anthony; Widmayer, Derek; Wittick, Brian  
**Cc:** Cai, June; Suto-Goldsby, Lori; Powell, Dawn; Hudson, Jody  
**Subject:** Urgent Action Requested  
**Importance:** High

We have just received a letter from Rep Upton and other members of Congress requesting some information on a quick turnaround basis. I am seeking your support in responding to the following request:

5. Please provide all reports issued within the past two years to any office director, the Executive Director for Operations, or the Commission, that assess safety culture within the NRC.

OE advises that the Agency Culture Advisory Group may be the most effective way to quickly identify any relevant reports that might have been issued to an OD/RA. I believe there was one in NMSS and there may have been some NRR focus groups that touched on safety culture (and for which a report may have been produced). Len, can you quickly poll the regions? Are there any others we need to submit?

I am hoping to get your input by sometime tomorrow, if possible. If we get more time, I will let you know.

Thanks for your prompt attention to this matter.

**Roger S. Rihm**  
**Communications and Performance Management Staff**  
**Office of the Executive Director for Operations**  
**US NRC**  
**301.415.1717**  
**[roger.rihm@nrc.gov](mailto:roger.rihm@nrc.gov)**



## **NRC Safety Culture**

**Marty Virgilio**

### **Senior Leadership Meeting**

**November 17 , 2009**

1

Good Afternoon

I want to thank Chairman Jaczko for sharing his thoughts on internal safety culture as well as Bill Borchardt

As Bill described we have a number of speakers as well as facilitated discussion on safety culture planned over the next 2 ½ days

I think it is important that we stay engaged on this topic and avoid getting distracted over these two days with other business to the extent that is reasonable

At the outset I think we have the following objectives to achieve to make this meeting successful:

1. Establish a common understanding of safety culture, how it applies here at the NRC, and the role of senior management in this area
2. Understand the key insights from the Internal Safety Culture Task Force, the OIG survey, and the aggregated 360 assessment results
3. Develop a specific goal, outcomes and strategies for use in providing direction to staff in developing activities (Model Next Slide)

E-5  
1

## Presentation Overview

- Purpose of meeting
- Internal Safety Culture Task Force refresher and update
- OIG Safety Culture and Climate Survey results comparison
- Identify some proposed strategic elements
- Next steps for meeting

2

- I will discuss the purpose and approach to this meeting.
- I will provide a quick refresher on the purpose of the Internal Safety Culture Task Force, the activities they conducted, and their results and recommendations. In addition, I will provide an update on status of implementation of recommendations.
- Then I will discuss highlights from a comparison of the OIG survey results against what the Task Force found. There were a number of similarities and converging themes, but there were also some areas unique to the OIG survey results. I will also go over an additional recommendation, based on this comparison.
- After discussion of the results, I will present some proposed strategic elements (goal, strategies, activities, outcomes) and suggest we review these and add to them to provide further direction to the staff in developing activities to support the strategic direction we provide them

## Purpose of Meeting

- Common understanding of internal safety culture and management role
- Analysis and synthesis of data from safety culture and leadership perspectives
- Engagement through facilitated discussions and sharing of experiences
- Develop strategic direction for Staff
- Agreement to lead by example

3

We are devoting a lot of time to this meeting over the next 2 ½ days and it is important to all of us to make the most of this time

I want to re-emphasize that this meeting should:

- Provide us with a common understand of what safety culture means for the agency and the impact we, as senior managers, have on creating, maintaining and reinforcing the safety culture.
- Achieve a common understanding of the key insights from the multiple data sources we'll be discussing – from both the organizational culture perspective (the OIG survey and the Internal Safety Culture Task Force results) and from the management perspective (the aggregated 360 assessment results).
- Wide engagement from all participants in facilitated discussions, including sharing insights from past experiences.
- Identify strategies, activities, and outcomes to facilitate continuous improvement of safety culture in our organizations in a coordinated fashion. Some of these will be through confirmation of work already done and presented.
- Agree to help create, maintain, and promote a strong safety culture at the NRC through leadership by example, to make us a better regulator and to show our licensees that we are willing to hold ourselves to the same standards we expect of them.

outside of  
SARE



For the visual learners-- during this meeting we should be working at the strategic level (yellow) to provide the initial direction for further action by the staff (light blue)

- The SLM should identify a safety culture goal and strategies, along with the desired outcomes and some suggested measures. Some of these maybe developed during the meeting, some will be confirmation of work already completed. Yellow Boxes Identify actions already identified by staff to support strategies (Yellow/Blue Box)

- Following the meeting, staff and organizational elements with key roles in SC should develop activities based on the goal and strategies to achieve the proposed outcomes and further develop measures. (Light Blue Box)

- This is the same framework used in the NRC's strategic plan; for a quick refresher on goals, strategies, outcomes and means (activities) the following quick example is from the NRC strategic plan safety goal.



outside of  
scope



## Goals, Outcomes, Strategies and Activities

From NRC Strategic Plan (Safety Goal Example)

### **Safety Goal**

Ensure adequate protection of public health and safety and the environment

### **Safety Outcomes (All measurable)**

Prevent occurrence of any nuclear reactor accidents

Prevent occurrence of any inadvertent criticality events

Prevent occurrence of any acute radiation exposure resulting in fatalities

Prevent occurrence of any radioactive release results in significant exposures

Prevent occurrence of any radioactive release results in significant environmental impact

5

The following is taken directly from the NRC's current strategic plan (2008-2013) to help demonstrate the nature of goals, outcomes, strategies and activities (means).

Outside of  
Scope



## Goals, Outcomes, Strategies and Activities

### Safety Goal Strategies (Some examples)

1. Develop, maintain, and implement licensing and regulatory programs for reactors, fuel facilities, materials users, spent fuel management, uranium recovery, and decommissioning activities to ensure the adequate protection of public health and safety and the environment.
2. Continue to oversee the safe operation of existing plants while preparing for and managing the review of applications for new power reactors.
3. Conduct NRC safety, security, and emergency preparedness programs in an integrated manner.
4. Improve the NRC's regulatory programs and apply safety-focused research to anticipate and resolve safety issues.

### Safety Goal Means (Activities) (Some examples – note linkage to strategies)

Conduct environmental reviews as appropriate to ensure that actions comply with the National Environmental Policy Act of 1969. [Supports Strategies 1 and 2.]

Implement, review, and refine the Reactor Oversight Process, the principal program for overseeing nuclear power plant operation, to better identify significant performance issues and to ensure that licensees take appropriate actions to maintain acceptable safety performance. [Supports Strategies 5 and 8.]

outside of  
SURE



## Internal Safety Culture Goals

- Align with External Safety Culture Policy Statement expectations
- Continuous improvement of the internal safety culture at the NRC

## **Information from OIG Safety Culture and Climate Survey**

- The data from the OIG survey has been fully rolled out at this time
- Reviews and initiatives development by offices underway
- Consider how these fit into an agency wide coordinated effort

8

You all should have seen the OIG safety culture and climate survey results by now

- Many organizations have begun to review the information and develop initiatives within their own organizations in response to the Chairman's call to action.
- During the course of this meeting consider how those ongoing activities can be coordinated with what is being done within the agency and how it fits within the framework discussed during this meeting



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## Internal Safety Culture Task Force Refresher

- Scope of activities
- Overall results
- Recommendations
  - Status of implementation

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- At this point in my presentation I'm going to transition to providing information, which should be useful as inputs to inform us as we identify strategies, outcomes as well as any activities the staff has already defined.
- The information will come from the Internal Task Force and a comparative analysis of the task force results to the OIG survey.
- First I will talk about the safety culture task force

## Scope of Internal SC Task Force

- April 2008 Commission Direction
  - Identify potential initiatives that could improve the agency's internal safety culture
  - Increase awareness of safety culture internally
- Inter-office Task Force established
  - Series of data collection activities (qualitative methods)

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- After the Davis Besse reactor vessel head incident back in 2002, the agency started focusing on the topic safety culture in our oversight of reactor licensees. In response to Commission direction, we make changes to the Reactor Oversight Program in 2006 to better address safety culture. Based on insights from our experience in the reactor arena, in the past several years we have started exploring options for addressing safety culture in the materials area, specifically for fuel cycle facilities, and in certain enforcement cases. In addition, in February of last year, the Commission asked the staff to expand the Policy Statement on safety culture to apply to the full range of licensees and stakeholders and to incorporate security.
- As a progression of this focus externally on safety culture, in April 2008 the Commission asked us to know focus inward, to see what value it might hold for our own internal processes, to ensure we are doing everything possible to keep safety foremost in our priorities.
- This Task Force was led by Office of Enforcement (OE), with representatives from across the agency from most of the offices and all the Regions. The group was very diverse, with different backgrounds and levels of experience with the agency (from NSDPs to supervisors), and represented the range of agency demographics well.
- The Task Force conducted a series of data collection activities, including focus groups, interviews, internal and external benchmarking, and communications and outreach efforts, to inform the formulation of its recommendations.
- The Task Force was interested in gathering views and suggestions internally, from all levels and organizations in the agency, and externally by soliciting views of stakeholders and collecting information from external organizations (including other government agencies and private organizations). The Task Force took a broad approach of considering all the inputs gathered.

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## Overall Results from Task Force

- Employees communicated strong sense of support for NRC mission and pride in their work
- Agency has many existing processes and practices that support strong safety culture

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•The internal data collected by the Task Force clearly indicated that all employees, from staff through management levels, showed a strong sense of support for NRC's mission and pride in their work. This is consistent with results from past agency wide employee surveys, and as I will discuss later in the presentation, the most recent OIG survey.

•The Task Force also found that the agency already has many existing processes and practices that provide support for a strong safety culture.

•Although the agency is doing well in many areas, the focus of this initiative was to identify areas for improvement. Therefore, based on review of the data, the Task Force identified several high-level themes for continuous improvement. Most of the themes were developed based on converging supporting information from multiple data sources.

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## Areas of Focus from Task Force (Themes)

- Need for clarity on what is meant by “internal safety culture”
- Importance of clear expectations, feedback on performance, and bases for decisions
- Strong leaders model safety culture behaviors (from external benchmarking)

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There was not a broad or consistent level of understanding about how individuals fit into the agency’s safety culture, why safety culture is important, or the agency’s expectations for safety culture.

- Staff with technical responsibilities were most aware of the concept of safety culture (although knowledge levels varied), but most nontechnical staff were not certain what the term meant or if safety culture even applied to them.
- Results from management interviews generally demonstrated an understanding of safety culture and what supports a strong internal safety culture.

The second theme centers on the importance of communications, in a variety of formats:

- Staff wants to understand the expectations and standards for their performance in their current work environment.
- Staff wants consistent and timely feedback from their supervisors and managers.
- Staff wants to understand the bases of decisions, especially where they may have expressed differing views during the decision-making process.

During the external benchmarking, agencies and organizations we engaged with all described the importance of having strong leaders throughout the organization who modeled safety culture behaviors. These organizations also had systems, processes, and goals in place that were aligned with their stated safety culture principles.



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## More Areas of Focus from Task Force (Themes)

- Effectiveness of the agency's differing views processes
- Communicating and demonstrating the appropriate focus in meeting potentially conflicting goals of quality and production or timeliness

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Several of the focus groups and some employee inputs questioned the effectiveness of the agency's differing views processes (e.g., Open Door Policy, Non-Concurrence Process, and Differing Professional Opinions Program).

- Overall, there appeared to be some mixed opinions from the focus groups regarding willingness to raise concerns.
- There are some continuing perceptions that using these processes may lead to some form of adverse consequences in the work environment. These types of consequences seemed to be more subtle (such as being excluded or viewed negatively), rather than the types of personnel actions traditionally thought of as retaliation, such as a demotion or reassignment. These types of treatment could be from peers as well as from supervisors/managers.

This theme centers on the challenge of communicating and demonstrating the appropriate focus in meeting the potentially conflicting goals of production or timeliness and quality.

- There was the perception among some participants in some of the focus groups that the agency may be too "metrics" (quantity) oriented, versus "quality-driven," in producing work products.
- The data from management generally agreed that there is potential for sending mixed messages in this area and the importance of establishing clear expectations about quality.



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## Additional Insights from Task Force Focus Groups

- Concern regarding knowledge transfer from departing employees
- Concern about turnover rate of first line supervisors

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•Two additional noteworthy insights from the focus groups were concerns regarding

- Knowledge transfer from experienced employees leaving the agency.
- The Task Force acknowledged the ongoing efforts the agency has to improve this area, and recommend continuing that focus.

•High rate of turnover of first line supervisors

- The Task Force did not make any specific recommendations on this issue.

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## Task Force Recommendation 1

- Incorporate proposed internal safety culture framework into NRC Strategic Plan and performance management tools
  - Activity (A)
- Status
  - Representation on FY 2011 - 2015 Strategic Plan Work Group

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Based on the results and experience of the members, the Task Force made the following recommendations. These were all approved by the EDO in May 2009 and communicated to the Commission (SECY 09-0068).

- The first recommendation is to incorporate the Task Force's proposed internal safety culture framework into the NRC Strategic Plan. The Task Force described this framework as being composed of a set of characteristics (i.e., programs, processes, and other readily observable elements) and a set of attitudes (i.e., values and shared meanings). The internal safety culture framework should also be integrated into the agency's performance management tools.
- Implementing this recommendation would set the foundation for clearly defining and communicating the agency's internal safety culture framework and expectations, and translate those expectations into how individuals and groups are held accountable.
- This recommendation appears to be an Activity (A) in the strategic framework
- Status
  - OE safety culture staff, which I will discuss in more detail in one of the later recommendations, is on the work group (led by OCFO), and the group is working through the process for the next revision. OE safety culture staff also worked with HR to develop guidance for supervisors on discussing safety culture concepts and organizational value during performance discussions, and that has been posted on HR's website.

(Marty – additional detailed provided for your info):

- The framework the Task Force recommended included a definition and set of descriptions on what constitutes a strong safety culture, that was based on what was being developed for a draft Commission Policy Statement on safety culture. This Policy Statement is mainly aimed at our licensees, but would apply internally as well. As part of this activity, we will be working with our stakeholders to develop a common set of terminology for defining and describing safety culture, that would be incorporated into the final Policy Statement.

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- We will have to wait until that Policy Statement and common terminology are finalized (currently scheduled for 2011 timeframe), and then evaluate how to include that content into our Strategic Plan, so that it's aligned with what we're communicating externally as our expectations in this area.

- However, in the mean time for this next update, we will move forward with parts of the proposed framework that have already been developed and communicated – e.g., the organizational values and principles of good regulation.

- Specifically regarding the organizational values, this is in alignment with the current SES CDP class project, which recommended that the values be incorporated into the plan.

## Task Force Recommendation 2

- Provide training for all employees on internal safety culture expectations and behaviors
  - Special focus on new employees and first line supervisors
    - Activity (A)
- Status
  - Seminars for senior leaders at this meeting
  - New Culture and Values Management course for supervisors
  - Development of comprehensive training for new employees in FY 2010

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The training should focus on principles and expectations for internal safety culture to increase awareness as well as on the interpersonal skills that are critical to supporting a strong safety culture.

- There should be particular emphasis on new employees, so that they are introduced to the agency's safety culture expectations from the very beginning.
- There should also be particular focus on first-line supervisors, because the relationship between staff and their direct supervisors is critical to a strong safety culture.
- This recommendation appears to be an Activity (A) in the strategic framework

### • Status

- Coordination with Leader's Academy – Culture and Values Management course for supervisors has been developed and will be piloted in December.
- Will develop training for new employees (would be available for all employees) next year. This training will likely be self-paced and include the SES CDP class's video for new employees on values and overview of the agency's differing views programs (DPO, non concurrence, open door). This would be a comprehensive training and incorporates all these related areas.

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## Task Force Recommendations 3 & 4

- Assess and improve issue-resolution processes
  - Strategy (S)
- Status:
  - Contract established; evaluation initiated
    - Activity (A)
- Establish expectations and accountability for maintaining internal policies and procedures
  - Strategy (S)
- Status:
  - Evaluating options for incorporating into FY 2011 operating plans, as appropriate
    - Activity (A)

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•The agency should assess the effectiveness of the current set of systems for problem identification, evaluation, and resolution, and based on the results, develop improvements to address any weaknesses identified.

•This recommendation appears to be a Strategy (S) in the strategic framework

•Status

•Contract has been put in place, contractor working on project plan and will be getting started soon.

•The agency should establish clear expectations and improved accountability for keeping policies and procedures current and aligned and for maintaining their quality. This effort should complement existing efforts to improve agency-level procedures.

•This recommendation appears to be a Strategy (S) in the strategic framework

•Status

•OE safety culture staff working with OEDO staff to evaluate

options for accomplishing this recommendation for FY 2011 operating plans, as appropriate.

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## Task Force Recommendation 5

- Establish a dedicated advisor position
  - Activity (A)
- Status:
  - Position developed and permanently filled in October (in Office of Enforcement)
  - Coordination with range of agency activities to ensure consistent and efficiency
  - Lead for coordinating continuous improvement plan for the OIG survey results

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Given the wide variety of improvement initiatives and activities that could be undertaken, the agency should establish a dedicated position or organization to lead and coordinate efforts.

- This position/organization would serve as an advocate by conducting and coordinating activities to monitor and strengthen the internal safety culture.
  - This position/organization should work closely with the individuals or organization responsible for activities related to the safety culture of licensees to ensure there is alignment and consistency, where appropriate.
- This recommendation appears to be an Activity (A) in the strategic framework

### Status

• The position of the Senior Safety Culture Program Manager has been developed and was permanently filled in Oct, in OE (June Cai). The EDO made the decision to locate this position in OE in order to coordinate with related activities OE already has the lead for (e.g., external safety culture activities, the agency allegations program, the agency differing views program (differing professional opinion program and non-concurrence process), and the Open Collaborative Working Environment (OCWE) initiative. OE is hiring additional staff to assist in this area.

• OE safety culture staff has already been coordinating with a range of agency activities and groups to ensure consistency and to work efficiently (e.g., OCFO on Strategic Plan, HR on training, SES CDP class on values project, internally in OE with external safety culture and OCWE activities, etc.).

• OE safety culture staff will also have the lead in developing coordinated agency continuous improvement plan for the OIG survey results, which I will be discussing in more detail later in the presentation.

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## **Comparison of OIG Survey and Task Force Results**

- Scope and context of review
- Similarities and supporting data
- Additional trends and issues
- Additional recommendations

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When the Task Force provided its report and recommendations to the Commission back in May, the staff committed to conducting a review of the OIG survey results, when they became available, against the Task Force results and suggest additional actions or modifications to the original recommendations, as appropriate. OE safety culture staff will be providing an update with all this information to the Commission in January 2010.

OE safety culture staff, with assistance from HR, NRO, and NRR staff, recently conducted this review, and I will go over some highlights from their analysis. I will not go over the survey results in detail, since the OIG contractor provided a comprehensive presentation on the results a few weeks ago. I will be focusing on the results in the context of comparison with the Task Force results.

- First, I will provide some details on the scope of the review, to help set the context of the approach the OE safety culture staff took.
- Then, I will discuss similarities in the data. You will see that in general, the OIG survey results supported the Task Force results.
- I will highlight some additional issues/themes from the OIG survey results.
- Finally, I will discuss additional recommendations OE safety culture staff is making based on this review.

## Scope of Review

- Differences in methodology and scope
- Review conducted on general topic areas
- HR conducted additional review from organizational development perspective
  - Insights incorporated into overall review
  - Results provided support and validation

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There are some important differences between what the OIG and the Task Force did, that I want to point out to set the context for understanding the review that was done.

- Different methodologies were used: the Task Force used qualitative techniques (mainly focus groups and interviews, supplemented by benchmarking and communications/outreach), and the OIG survey is a quantitative method.
- In addition, the OIG survey had a wider scope of focus than the Internal Safety Culture Task Force. It explored some additional areas related to the general work environment, morale, etc. The OIG results also provides richer level of detail in terms of being able to break out results based on demographic type information. The Task Force did not break down the information based on such variables. Allows for analysis of insights by subgroups (tie to Rosa's presentation).
- Therefore, a one-for-one comparison could not be made. The review was conducted by focusing on general topic areas both activities evaluated.

In addition to review against the Task Force results, Office of Human Resources conducted a review of the survey results from an organizational development perspective using the high performing companies framework. The elements of the framework are:

- Highly Engaged Employees
- Belief in Leadership
- A Connection to Company Strategy
- Accountability and Emphasis on Achievement
- An Innovative Culture

The results of HR's review have been incorporated into this overall analysis, and in general provided supporting information and validation of the results.

## **Overall Strengths / Positive Themes from OIG Survey Results**

- Several very positive themes
  - Even where areas for improvement noted, majority showed improvement from previous survey and/or favorable comparison with norms
- Strong positive responses in job satisfaction
  - Supports Task Force finding of pride in work and personal accomplishment
- Strong positive responses in engagement
  - Supports Task Force finding of feeling connected to mission

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Overall, there were several general trends from the overall survey results that were very positive:

- High participation rate
- All but one category had more positive responses from 2005, and even more significant increases when compared with 2002 and 1998 results.
- When compared against the U.S. Research & Development norm, all categories had more positive responses.
- When compared against U.S. High Performance norm, most categories had more positive responses.

Strong positive results in job satisfaction – feeling fulfilled and considering their job to be important. Supports Task Force finding of employees having pride in their work and proud of personal accomplishments.

Strong positive results in engagement – belief in goals/values of the organizations, sense of belonging, pride, attachment to the organization, etc. Supports Task Force finding of employees feeling connected and feeling support for the mission.

## **Task Force Theme Comparison**

### Theme 1 – Need for clarity on what is meant by “internal safety culture”

- OIG results does not offer direct support on overall theme, because of limited information
- New question – no trending available
- OIG results does support Task Force theme regarding differences in subgroups

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There was one direct question – regarding clear understanding of NRC’s culture – which had an overall high positive responses. The overall high positive OIG results do not necessarily support the Task Force theme regarding confusion. However, the Task Force explored this issue in much more detail in the focus groups than the survey, which just had the one question, so there is limitation in the interpretation (for example, the survey does not provide insights on consistency of interpretation).

However, there were some differences noted from subgroups:

- Staff in engineering positions and senior residents had more positive responses than staff in scientific and administrative/support positions.
- Senior management had more positive responses than lower levels.

These subgroup difference results does support the Task Force theme.

## Task Force Theme Comparison

Theme 2 – Importance of clear expectations, feedback on performance, and bases for decisions

- Results show improvements in this area
- Continued focus needed
- OIG results support Task Force theme

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- Questions related to understanding of goals and objectives had generally fairly positive responses.
- However, there is room for improvement regarding communications at office/regional management level and regarding policies and decisions made by the agency.
- There were a number of questions related to performance management that had lower positive responses.
  - OIG contractor indicated this is typically an area companies have lower positive responses in.
- OIG results supported this task force theme

## **Task Force Theme Comparison**

### **Theme 3 – Strong leaders model safety culture behaviors (from external benchmarking)**

- No direct relation with OIG survey categories
- Reviewed general questions on management and leadership
  - Overall generally favorable responses
  - Results showed improvement
  - Continuous focus needed:
    - Office/Regional management level
    - Trust by management in employees, particularly for admin/support functions and lower grade levels

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Because this recommendation was focused on insights from external benchmarking, and the Task Force did not make an evaluation about the agency's effectiveness in this area, a direct comparison with the OIG survey results could not be made.

However, general questions on the area of management and leadership were reviewed, with the following results:

- Overall there were generally positive responses, with improvements from 2005. A majority of NRC employees have confidence in the NRC senior management and believe that they provide a clear sense of direction for the agency.

There is need for continuous improvement based on the following results:

- There were somewhat low positive responses regarding leadership and management skills at the Office/Regional level in areas such as communicating with people, establishing priorities, making decisions promptly, etc.
- There were lower positive response rates by administrative/support functions and lower grade levels on the issue of trust by management in employees.

**(Tie to 360/Lappin Discussion – which will go into much more detail on leadership effectiveness)**

## Task Force Theme Comparison

### Theme 4 – Effectiveness of the agency's differing views processes

- Results show improvement in awareness
- Continuous focus needed:
  - Views on effectiveness of processes
  - Perceptions of potential negative consequences for differing views
- OIG results support Task Force theme

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#### Specific data from survey results (tie to JB Kelly's presentation on SCWE/OCWE):

- Significant improvements in awareness of programs from 2005.
- However, when asked about perceptions of effectiveness, there were lower positive responses.
- Regarding negative reaction for raising differing views, the positive response rate was fairly low.
- The results showed that most were willing to use DPO program if needed. However, there was very high "?" responses regarding whether using engaging in the DPO process would have a negative impact on career development
- The results showed that the comfort level in expressing differing views decreased for employees as interactions go up in the levels of organization (i.e., with co-worker, supervisor, office/regional management, and senior management). In this area, in general administrative/support functions had less positive responses.
- OIG results support task force theme.



## Task Force Theme Comparison

- Theme 5 – Communicating and demonstrating the appropriate focus in meeting potentially conflicting goals of quality and production or timeliness
  - Results show improvement in area
  - Continuous focus needed - positive responses fairly low
  - OIG results support Task Force theme

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•OIG results supported task force theme regarding potential conflict between quality and production

•In this category, the positive response rates regarding NRC not sacrificing quality in order to meet established metrics or to satisfy a personal or political need, were fair low, particularly when compared to the types of positive response rates in other categories.

## **Additional Focus Group Insights Comparison**

- OIG survey supported additional insights from Task Force focus groups regarding:
  - Knowledge transfer departing employees
  - Supervisor turnover rates

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OIG results supported additional insights from Task Force focus groups :

- Focus group results indicated concerns about capturing and transferring knowledge from people leaving the agency/their positions. This was supported by the survey results, which showed significant improvement in positive responses on this topic, but there is still much room for improvement. Recall the Task Force did not make a specific recommendation in this area because it acknowledge the ongoing KM initiatives and recommended continued support. I will mention later on in the presentation OE safety culture staff ensuring staff working in the KM area is aware of the OIG survey data.
- Focus group results also indicated concerns about turnover rates in supervisors. The survey results showed much more positive responses from management in this area than from staff, and there was no improvement from 2005. Recall the Task Force did not make a specific recommendation in this area. I will be taking later in the presentation about use of focus groups to follow up on issues from the survey results, including this one.

## **Additional Insights/Trends from OIG Survey**

- Employees being held to same standards of ethical behavior – need better understanding of issue
- Future of nuclear industry – subgroup differences
- Computer support systems – mixed results
- Empowerment – room for improvement
- Availability of classes/courses interfering with training – subgroup differences
- General subgroup trends – lower positive responses from:
  - Admin/support functions and several support offices
  - GG1-10 and GG-14 (in particular)

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The OE safety culture staff's review identified a number of additional trends and insights from OIG survey that warrant further attention and evaluation. There was no comparative analysis against the Task Force themes in these areas, however this information is provided for further consideration when developing objectives and strategies. On the next slide I will be discussing an additional recommendation made by OE safety culture staff regarding these issues.

- Employees being held to same standards of ethical behavior – need better understanding of what this question means and how it was interpreted by staff. Also, there was wide variance in results among offices and differences by job functions.
- Concerns about the future of the nuclear industry – several subgroup differences.
- Having the computer systems support needed to do job effectively – mixed results from contractor focus groups, and some subgroup differences.
- Empowerment questions regarding being able to challenge traditional way of doing things, innovative ideas can fail without penalty, frequently afraid to make mistake – increased positive responses from 2005 but room for improvement. Some subgroup differences. In the Task Force's external benchmarking results, empowering front line staff and giving them ownership was highlighted.
- Availability of classes/courses interfering with training – many subgroup differences.
- General subgroup trends
  - Administrative/support functions and several support offices had less positive responses across multiple categories (although improved from 2005).
  - GG 1-10 and GG-14 in particular had significantly lower positive response rates in several categories.

## Recommendations

- No change to original Task Force recommendations, based on review of OIG survey results
- New recommendation: conduct analysis of additional issues identified by OIG survey to inform development of appropriate actions
  - Strategy (S)
  - Use of focus groups
    - Activity (A)

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As part of May Commission paper transmitting the Task Force report, the staff indicated it would identify if changes to the original recommendations or additional recommendations are needed to address the OIG survey results.

Because the OIG survey results generally supported the Task Force findings, OE safety culture staff is not recommending any changes to the original recommendations based on the survey results. OE safety culture staff, in implementing the recommendations, has taken into consideration relevant factors that have risen since the time the recommendations were originally made. Example – the development of the Safety Culture policy statement and common terminology, which would apply to the NRC and how safety culture should be integrated into the Strategic Plan.

OE safety culture staff is making one new recommendation based on review of the survey results, which is to conduct further analysis of the additional issues identified by the OIG survey, as I discussed on the previous slide, in order to fully understand the issues to develop appropriate actions. This new recommendations will be included in the January update to the Commission on this topic.

OE safety culture staff is proposing to use the tool of focus groups to conduct this analysis. The focus groups would follow up, at a minimum, on those issues described in the previous slide. OE safety culture staff is currently in the process of identifying if there are other issues (e.g., specific trends related to one of the themes that provide additional insights/nuances) which should be included. One example would be the issue of the supervisor turnover rates.

OE plans to also offer offices the option of using the groups for exploring office specific issues, for those interested.

## OE Coordination

- **OIG survey results:**
  - Combination of agency wide and office specific plans (Strategy)
  - Coordination with related agency activities and initiatives (Activity)
  - Program area leads made aware of relevant results (Activity)
- **Establishment of staff group to continue efforts, including external benchmarking (Activity)**

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OE safety culture staff is currently considering the following strategy and actions to follow up on the OIG survey results and for focusing on continuous improvement in general:

- There should be an agency wide action plan that addresses agency wide issues. In addition, offices/regions should evaluate their data and develop additional office specific actions, as needed, taking into account agency wide actions.
- There should be effective awareness and coordination with related agency activities and initiatives. The agency has many efforts going on or being developed that are not necessarily in direct response to the survey results, but that address issues identified by the survey. OE safety culture staff should look for initiatives and activities that are related to issues identified by the survey, and communicate/coordinate as appropriate with the responsible offices/individuals. This would ensure alignment and awareness of various agency activities, that may be owned by different offices, and prevent duplication of activities and silos.
- In addition to offices examining the data for their offices, OE safety culture staff should make groups which work on areas that were addressed by the survey aware of the results, so they can consider how to use those insights in their activities.
  - For example, the agency Knowledge Management coordinator and Steering Group should review the data in that area, the Differing Views Program Manager should review the data for those programs, etc.
- The original Task Force ended when it completed its report in May. There should be an ongoing group, led by OE safety culture staff, with diverse representation across offices, established to continue the improvement initiatives and to oversee and coordinate agency efforts in this area. This would ensure ownership, buy in, and alignment across the agency.
  - In addition to focusing on internal efforts, the group should periodically conduct benchmarking types of activities to be aware and stay informed of best practices and innovative efforts done by external organizations. This would help broaden the agency's knowledge base in this area and inform continuous improvement efforts.

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## Summary of Proposed Strategic Elements

- Internal Safety Culture Goals
  - Align with External Safety Culture Policy Statement expectations
  - Continuous improvement of the internal safety culture at the NRC

## Summary of Proposed Strategic Elements

- Supporting Strategies
  - Assess and improve issue-resolution processes
  - Establish expectations and accountability for maintaining internal policies and procedures
  - Conduct analysis of additional issues identified by OIG survey to inform development of appropriate actions
  - Combination of agency wide and office specific plans

## Summary of Proposed Strategic Elements

- Activities (Need to Identify Linkage Strategies)
  - Incorporate proposed internal safety culture framework into NRC Strategic Plan and performance management tools
  - Provide training for all employees on internal safety culture expectations and behaviors
  - Contract established; evaluation initiated (for issues identification and resolution evaluation)
  - Evaluating options for incorporating procedures accountability into FY 2011 operating plans, as appropriate
  - Establish a dedicated advisor position
  - Use of focus groups (to evaluate OIG survey additional issues)

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The staff should review these activities and determine whether or not they have linkage to the strategies and which strategies.

If there is no linkage the staff should consider if new strategies are needed and whether the activity is appropriate and why.



## **Summary of Proposed Strategic Elements**

- Activities (Need to Identify Linkage Strategies) - continued
  - Combination of agency wide and office specific plan should be developed
  - Effective awareness and coordination with related agency activities and initiatives
  - Program area leads should be made aware of relevant results
  - Establishment of staff group to continue efforts, including external benchmarking

## Summary of Proposed Strategic Elements

- Outcomes (Measures)

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None identified yet.

A possibility would be the OIG surveys.

(For background info – examples from industry include different types of surveys and trends from sources such as NRC allegations, corrective action programs, and employee concerns programs)

## Meeting Next Steps

- Consider range of insights and information presented
- Discuss and provide input during facilitated discussions
- Reach overall direction/strategy
- Seek agreement on goal, strategies, activities, outcomes
- Provide direction to staff on development of activities

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Over the next couple of days, consider all the data presented (OIG survey, Task Force results, 360 assessment data) and have some discussions with each other on what it means, at both the agency level and for us a senior leadership team.

Give some thought and provide feedback on the proposed strategic framework I just discussed.

At the end of these three days, we should reach consensus on some overall direction or strategy for moving forward and our next steps. Chip Cameron will be facilitating most of the discussions and will have a series of questions to help us get to that point.

The conclusions/outcomes from this meeting will be provided as direction back to staff specifically asking them to develop a plan of activities to support the goal and suggested strategies. The staff should also consider any needed revisions to the proposed strategies or new ones. In addition, they should review the currently identified goals to determine the linkage to existing strategies. If any activities are not linked to strategies the staff should critically review the reason for the activity or if there is need for a new strategy. Finally, the staff should review the outcomes and develop proposed measures.

Cai, June

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**From:** Barkley, Richard OEDO  
**Sent:** Monday, November 22, 2010 1:49 PM  
**To:** Landau, Mindy; Rihm, Roger; Ellmers, Glenn; Cai, June; Harrington, Holly; Loyd, Susan  
**Cc:** Rakovan, Lance  
**Subject:** Request for Comments on the Communications Council Minutes  
**Attachments:** 11-17-10 Communications Council Minutes.docx

Barring any objections, I would like to publish the meeting minutes that Lance so ably recorded during the meeting. Thanks Lance!

Nuclear and Environmental Engineer  
OEDO Communication Assistant (Acting)  
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(610) 608-1517 (Cell)

E-6

## COMMUNICATIONS COUNCIL MEETING MINUTES

November 17, 2010  
3:00 – 4:00 p.m. EST  
O-17B4

### Attendees:

Mindy Landau, OEDO  
Rich Barkley, OEDO  
Glenn Ellmers, OEDO  
Lance Rakovan, OEDO  
Roger Rihm, OEDO  
Michelle Ryan, FSME  
Rosetta Virgilio, FSME  
Christine Steger, NRR

Sara Mroz, NSIR  
Susan Loyd, OCM  
June Cai, OE  
Sean Croston, OGC  
Ivonne Couret, OPA  
Holly Harrington, OPA  
Beth Janbergs, OPA

by phone:  
Ann Thomas, OEDO  
Jordan Pulaski, ADM  
Susan Salter, HR  
Bob Jasinski, NRO  
Fran Goldberg, OIS  
Jared Heck, Region III  
Amy Bonaccorso, RES

### Minutes:

#### **Focus Groups to Follow-up on OIG Safety Culture & Climate Survey Results and Improving and Simplifying Our Internal Communication**

June Cai provided a brief overview of the focus group meetings being conducted as a follow-up to the results of the 2009 NRC Office of Inspector General (OIG) Safety Culture & Climate survey. She discussed the process for conducting the focus groups, high-level themes that came out of the focus groups, and potential approaches and strategies for addressing the communications-related results. Ms. Cai's discussions led directly into the topic Susan Loyd addressed at the meeting: simplifying our internal communication. Ms. Loyd noted that after a question was asked at the recent NRC All-Hands meeting involving the complexities and possible over abundance of internal communication mechanisms at the agency, the Chairman is interested in hearing recommendations as to if/how we could simplify the agency's internal communications.

Council members discussed a number of topics related to internal communications, including: using more videos; distribution methods; revising the NRC intranet; revising the format for agency announcements; providing feedback to survey takers; the proper use of e-mail; and a "consolidated survey" website. It was suggested that a group of Council members work on the initiative of simplifying NRC's internal communications. Roger Rihm, OEDO, will lead the group. Other members will include: Susan Loyd, OCM; Jordan Pulaski, ADM; June Cai, OE; Jared Heck, Region III; Fran Goldberg (or another staffer from OIS), OIS; and a NSIR staffer to be named later. The goal is to provide a report to the Chairman by June.

#### **NRC Blog**

Holly Harrington provided a short overview of blogging and how the new NRC Blog will work, including some general guidelines for writing blogs and the process that will be used in creating and posting NRC Blog entries. She mentioned a memo from Bill Borchardt, EDO, and Eliot Brenner, Director, OPA, that asks for offices to provide their intended NRC Bloggers to OPA by December 3<sup>rd</sup>. The Council briefly discussed what role OGC would have in the Blog and how staffers could send ideas for blog topics to Ms. Harrington.

#### **Open Discussion**

Sara Mroz mentioned that details would be forthcoming involving a 9-11 commemoration. Anyone is interested in helping out with the event is asked to contact Ms. Mroz.