

Naval Safety Center STRATEGIC PLAN 2007-2008



Continuing the Transformation

Report Documentation Page

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Naval Safety Center/CNO N09F Strategic Plan 2007-2008

Background

This plan establishes the strategic goals and objectives for Naval Safety Center/CNO N09F for FY 2007-2008, in support of the Navy Strategic Plan (NSP), and as required by the Government Performance and Results Act. The NSP describes the Navy's new mission sets and the task of confronting and influencing the highly dynamic security environment of the 21st Century. "Successful organizations must think strategically," it says. The Navy cannot meet its new challenges, it says, by "simply maintaining our current capabilities and sustaining today's readiness." The Naval Safety Center helps prevent the mishaps that degrade fleet readiness; we also help ensure that new acquisitions are safe for personnel to operate. As part of its risk guidance, the NSP says, "Every recommendation made shall include an analysis of inherent risk and options for managing and mitigating it." The National Security Personnel System links our goals to employee performance objectives.

Two other documents provide strategic guidance to the Naval Safety Center and are of particular importance. Objective #4 of the Department of the Navy (DON) Objectives for 2007, says, "Emphasize Safety. Manage risk to improve mission effectiveness and to safeguard the people and resources of the Navy-Marine Corps Team." The Naval Safety Center, as the Operational Risk Management (ORM) model manager, performs an important role in the accomplishment of this objective. The Naval Safety Center has a number of critical tasks delineated as goals and metrics for the DON Objectives. The Naval Safety Strategy signed by the Secretary of the Navy in March 2006 contains detailed goals and objectives to guide DON in the attainment of the Secretary of Defense's guidance to achieve a 75% reduction in mishaps by the end of Fiscal Year (FY) 2008 using FY2002 as the baseline. Finally, OPNAVINST 5450.180D of May 20, 2005, details specific Naval Safety Center mission and functions.

Vision

We shall be the Navy and Marine Corps expert advisors and best advocates for safety, risk management, and a mishap-free Navy and USMC team.

Mission

Commander, Naval Safety Center/CNO N09F enhances the war fighting capability of the Department of the Navy by providing safety and risk management assistance and advice to Navy and Marine Corps forces and leadership.

Strategic Assessment, FY02 to Present

Overall visibility of safety increased markedly within DON during FY2002 because of the mishap-reduction campaigns mandated by the Secretary of Defense and endorsed by the Secretary of the Navy. The first Secretary of Defense mishap reduction campaign directed a 50% reduction in mishaps by the end of FY2005 using FY2002 as the baseline. This first mishap reduction campaign saw the Navy and Marine Corps achieve reductions in most mishap categories but not to the degree mandated by the Secretary of Defense. The second mishap reduction campaign began at the start of FY2006, directing a 75% reduction in mishaps by the end of FY2008 using the same baseline. The Naval Safety Center was at the forefront of DON's mishap reduction efforts and completed successfully numerous projects and initiatives to aid in the attainment of these mishap reduction goals. The establishment of a Navy & Marine Corps Safety Council in 2003 was an essential step to involve senior DON leadership in mishap reduction efforts. The council was disestablished in 2006 after the creation of the Navy Executive Safety Board (NESB), comprised of senior Navy flag officers and chaired by the Vice Chief of Naval Operations. The Marine Corps Executive Safety Board had been established in 2003.

Accountability increased when mishap data was tracked and reported at fleet and battle group levels for the first time. Significant reductions have been achieved in civilian injury rates, total Class A operational mishaps and number of destroyed aircraft. A lack of progress has been noted in PMV fatalities, and military injury rates. Impact on the acquisition system has been resource limited and primarily focused on requirements and regulatory oversight. A plethora of external information technology requirements were anticipated and met. We began capturing Best Practices. A significant step for naval industrial complexes was the acceptance by the Defense Safety Oversight Council (DSOC) of the Voluntary Protection Program (VPP) operated by the Occupational Safety and Health Administration (OSHA). More than a hundred Navy safety success stories were documented on the NAVSAFECEN website. Sailor and Marine mentorship programs for high-risk personnel began to be developed. NAVSAFECEN fleet support improved by increasing the number of safety surveys, which helped units identify and remove hazards. Numerous initiatives helped improve traffic-safety programs. Focus groups helped gather data and insight into the mindset of younger personnel. Media successes included *Traffic 5100*, a traffic-safety handbook, the annual Critical Days of Summer campaigns, and the safety planners.

Significant reductions in mishaps, injuries and costs associated with injuries have resulted from implementation of the OSHA Voluntary Protection Program (VPP) at Navy shipyards. Over 3 million dollars alone was saved at Portsmouth Naval Shipyard after implementation of the VPP program. VPP recognizes effective safety programs and occupational health management systems. In VPP, management, labor and OSHA establish cooperative relationships. Only after demonstrating effective safety and health management systems can an installation achieve VPP recognition. The Portsmouth Naval Shipyard was selected as a VPP "STAR" site in 2005. The STAR status is awarded only when a worksite shows exceptional practices that demonstrate a reduction in lost time injuries. Two additional Navy shipyards, Norfolk Naval Shipyard and Puget Sound Naval Shipyard, were awarded STAR VPP status in 2006.

Problems and challenges remain. DON still does not have a way to hold commands and leaders accountable for results in the mishap-reduction campaign, nor to link the mishap-reduction campaign to programs and policies in a widespread manner. Requirements for application of system safety metrics in DoD/DON acquisition policy remain a critically underused method of raising common legacy safety issues present in “new” systems to the appropriate level of management attention. We lack predictive (leading) metrics to evaluate safety programs, and are unable to determine service-wide compliance with safety directives/policies. We aren’t sufficiently involved in the acquisition process for new aircraft, platforms and systems to assess and mitigate hazards. On the whole, the NAVSAFECEN system of data collection and management is not as effective as it could be. Questionable or incomplete data arrives in mishap reports without effective command oversight. When analyzing data, we can’t drill down to lower levels of command. NAVSAFECEN is unable to fully meet the fleet demand for media products, and needs to develop a better way to collect, analyze and disseminate best practices.

Organizationally, the Naval Safety Center has not achieved the most effective structure. As a result, we have difficulty redirecting manpower to quickly address emerging, high-priority tasks. We aren’t manned, trained and organized to effectively analyze mishap data and trends. Some of the skills, skill levels and tasking of staff hamper flexibility. Although fleet interaction is absolutely necessary in identifying hazards and assisting in mitigating risks, a lack of budget and staff sometimes interferes. In summary, NAVSAFECEN lacks sufficient staffing and resources to effectively do all that it is asked to do by its myriad customers and stakeholders.

In order to face these challenges, the NAVSAFECEN must examine and prioritize the many products and services it provides to customers, and adjust its focus based on priorities instead of historical or organizational precedent. In order to improve its performance and ability to respond quickly to emerging issues, the NAVSAFECEN must make changes to both its organizational structure and culture to emphasize a multi-disciplinary approach for dealing effectively with overarching issues. Staffing models must enhance organizational flexibility and cross-functionality, and NAVSAFECEN managers must embrace a “big picture” approach to cooperating on issues outside of their normal responsibilities.

Strategic Assessment, Present Through FY08

Challenges and Threats: DON must keep leadership engaged and focused on the 75% mishap-reduction campaign despite changes in senior military leadership at the DOD and service level. Specific challenges during the next two years include the need to fully field an effective data collection and management system that will be accepted and used by all customers, including the fleet and the acquisition/system safety community. Effective data collection and management is essential for the NAVSAFECEN to understand and prioritize risks and the need for countermeasures. Tasking for NAVSAFECEN is likely to increase, with more engagement with the NESB and its committees, the DSOC and its task forces, and in the joint environment. We may be required to investigate PMV traffic mishaps. We will have to leverage data that will become available through new technologies (for example, the Travel Risk Planning

System, culture assessments and workshops, and the Military Flight Operations Quality Assurance program (MFOQA). New program mandates for VPP may require additional staff. There is a greater need for NAVSAFECEN involvement in the procurement and acquisition process, which will require more system-safety personnel. NAVSAFECEN must develop a better way to drill down into mishap causes, using the Human Factors Analysis and Classification System (HFACS) and root-cause analysis. We may be required to track additional mishap categories, such as those that occur during Physical Readiness Testing. The Special Assistant for Safety Matters (CNO N09F) is not a resource sponsor. The result is that many mission requirements remain unfunded mandates. For example, development of the WESS mishap reporting system – a central safety requirement – lacks central funding. The result is a product developed with minimal resources and extended development timelines. A formal funding sponsor would improve resourcing of critical safety programs.

The implementation of the National Security Personnel System (NSPS) promises to increase efficiency and productivity, but in turn will require significantly more supervisory effort. Since NAVSAFECEN receives tasking from multiple levels and areas, lower priority missions and requirements can take away NAVSAFECEN resources (manpower & money) from higher priority missions. IT requirements, both internal and external, will continue to change. Manpower and budget could continue to decline, although customer demands continue to increase. Declining manning produces shortages of subject-matter experts, producing a situation where we are one deep or even “none deep.” NAVSAFECEN’s traditional stove-piped organizational mindset, along with ineffective internal communication, reduces our ability to tackle critical projects as effectively as possible. Many of the “end users” of NAVSAFECEN products have grown up in a world of increasingly sophisticated media. To deliver a truly effective safety message, we must develop media products that use the latest and best technology to capture and hold their attention, and ultimately reinforce safe behaviors. Our senior, experienced workforce provides an unparalleled level of expertise in the short term, but we must begin immediately to groom their replacements with solid and comprehensive professional development programs.

Strengths: We possess a senior, experienced work force, which adds to our credibility as safety experts. Our diversified manning means that we have widespread subject-matter knowledge. We are gathering new, important information from an expanding slate of culture workshops. Exploring new sources of information related to climate, culture, and human behavior, NESB standup, SECNAV guidance, our placement within the Enterprise (as an Echelon II command)—and our role as DON’s official repository for safety data—gives us excellent positional authority. Our regular fleet interaction enables us to understand deckplate-level requirements and problems, and modify/revise policy accordingly. Thanks to our print and digital media capability, we can disseminate safety information to both specific and general target audiences.

Strategic Theme #1: Increase organizational efficiency and effectiveness.

With the limited resources at hand we must create a more efficient and effective organization. We shall create more efficient internal business processes and practices that will enable us to better understand how our resources are used, improving coordination and overall organizational effectiveness. We shall also develop an organizational structure and culture that encourages the flexibility and versatility required to address emerging priorities quickly and effectively. Together, NAVSAFECEN will be better equipped to accomplish its mission and better support the attainment of the mishap reduction goals set for the Navy and the Marine Corps. Improving organizational efficiency and effectiveness will require NAVSAFECEN to review its organizational structure and devote sufficient manpower to its most important functions and tasks. The portions of the NAVSAFECEN organization devoted to supporting functions, for example, comptroller, business management, administration, legal and Information Technology must efficiently support the rest of the NAVSAFECEN staff who interact directly with DON customers performing hazard identification, mishap data collection and other mishap prevention efforts. For those functions and tasks that cannot be fully accomplished given our limited resources, we must produce solid Business Case Analyses identifying requirements and shortfalls and provide them to Navy leadership for adjudication.

Goal 1-1: NAVSAFECEN's organizational structure is improved. Sufficient manpower and resources are dedicated to its core functions and highest-priority tasks while sufficient manpower and resources are devoted to required support functions.

Goal 1-2: NAVSAFECEN internal business processes and practices are optimized enabling the command to shift financial resources to its highest-priority tasks.

Goal 1-3: N09FB mission, responsibilities, and lines of coordination are clearly delineated to maximize the effectiveness of NAVSAFECEN/CNO N09F interaction with CNO, SECNAV, and OSD and other Services' safety staffs.

Goal 1-4: NAVSAFECEN provides sufficient education and training opportunities to improve staff skill levels.

Goal 1-5: NAVSAFECEN uses Lean Six Sigma effectively to evaluate and improve internal processes.

Goal 1-6: Optimal NMCI support is provided to meet command requirements.

Goal 1-7: Responsive telephone support is provided to NAVSAFECEN staff.

Goal 1-8: Responsive audio/video support is provided to NAVSAFECEN staff.

Goal 1-9: NAVSAFECEN's operations, resources, technology projects, and contracts are effectively managed both technically and fiscally.

Goal 1-10: NAVSAFECEN's budget exhibits and impact statements meet higher HQ timelines and are persuasively written in order to identify the resources NAVSAFECEN needs to fully meet its core mission areas.

Goal 1-11: The National Security Personnel System (NSPS) has been successfully implemented.

Goal 1-12: Responsive general technical support is provided to NAVSAFECEN staff.

Goal 1-13: NAVSAFECEN provides legacy hardware and software support within the constraints of the DON/OPNAV N6 legacy reduction mandates.

Goal 1-14: NAVSAFECEN executes hardware and software legacy migration solutions in accordance with DoD and DON guidance for legacy reduction and the creation of enterprise IT environments.

Goal 1-15: NAVSAFECEN staff is kept fully informed about plans, projects, priorities and achievements through effective and redundant communications by all levels of the chain of command.

Goal 1-16. NAVSAFECEN has a comprehensive Management Internal Control Program (MICP) that verifies its compliance with appropriate directives and efficiently uses its resources.

Strategic Theme #2: Identify hazards and risks and collect safety data more quickly and more productively.

We will use all means available to collect data in order to better understand the culture, gauge local compliance and prevent mishaps. We must optimize the use of WESS to collect reliable and accurate data of mishaps and hazards including data that can be used as leading indicators. We must also make optimum use of the results of mishap investigations. Fleet interaction allows us to identify common hazards, recurring deficiencies, and violations at the unit level. This process helps us develop more effective safety products and services to reduce mishaps, as well as collect best practices and lessons learned. Effective data collection also provides insight on implementation of the naval safety strategy and the status of risk management throughout DON.

Goal 2-1: NAVSAFECEN collects the data that is necessary to conduct effective mishap and hazard analysis, trending, and prevention.

Goal 2-2: Safety surveys are provided to customers with sufficient frequency and scope, to produce the maximum impact on mishap rates and identify important and/or actionable hazards.

Goal 2-3: NAVSAFECEN advocates the establishment and use of an afloat hazard reporting system that is fully incorporated in WESS.

Goal 2-4: DON mishap reporting compliance is improved.

Goal 2-5: Data integrity is ensured.

Goal 2-6: NAVSAFECEN responds to legitimate data requests in a timely and accurate manner.

Goal 2-7: NAVSAFECEN supports the acquisition community with data and analysis of mishaps and hazards.

Goal 2-8: The NAVSAFECEN staff provides timely and effective mishap investigation advice and support.

Goal 2-9: The hazard reporting system is adapted or improved to more effectively encourage and capture reporting of human error. These adaptations and improvements support root cause analysis and identification of contributing factors that increase the likelihood and/or severity of human error through error-provocative designs.

Goal 2-10: NAVSAFECEN manages and maintains a uniform, consolidated Fire and Emergency Services Incident Reporting System (NFIRS) for DoD and other federal agencies.

Strategic Theme #3: Analyze and assess hazards, mishap reports, safety investigation reports and other safety data to produce meaningful, actionable mishap prevention information for Department of the Navy leaders and operators.

We must thoroughly and systematically analyze data from all available sources: mishap reports, hazard reports, results of surveys and risk assessments, workers compensation data, culture workshops, mishap investigations, interactions with the DON units and agencies, and data exchanged with non-DON agencies (industry, government and academia). The overall goal is to identify leading indicators, root causes, and predictive measures, which will allow the Department of the Navy to more effectively target areas for mishap reduction. In addition to analyzing mishaps and other risk-related data, we will also collect, evaluate and disseminate best practices for managing the identified risks.

Goal 3-1: The NAVSAFECEN staff effectively identifies emerging safety-related issues and concerns in order to assist DON activities with the identification and control of hazards.

Goal 3-2: NAVSAFECEN leverages U.S. and other military, federal and private partnerships to collect best practices, improve analysis, and provide mishap-prevention recommendations to all naval communities.

Goal 3-3: The NAVSAFECEN staff effectively and productively studies and analyzes mishaps and mishap data, yielding results that help guide fleet safety priorities and actions.

Goal 3-4: New initiatives are developed to address our most pressing mishap areas.

Goal 3-5: Solid Business Case Analyses are constructed to evaluate the return on investment for all proposed safety initiatives.

Strategic Theme #4: Develop effective risk controls and mishap-prevention strategies. Communicate this and other key safety information—including analyses, trends, best practices, lessons learned, news, accomplishments, priorities, programs and initiatives to targeted and/or DON-wide audiences.

NAVSAFECEN must use the results of our analysis to help naval leaders (including those in the acquisition, accession, and training communities) to develop and implement controls, mitigate hazards, and thereby prevent mishaps. We will use existing (and develop new) programs, products, software applications, media resources and services to provide DON with tools to mitigate risk and prevent mishaps, including best practices and lessons learned. As model manager for ORM and culture workshops, we will standardize both efforts and help ensure understanding and use of risk management throughout the fleet. As we issue, revise and recommend policy, we will better involve all stakeholders in the process. In order to improve acquisition safety and system safety, we must seek to improve relationships and mechanisms to transfer customer concerns and lessons learned from mishap investigations and hazard reports into the acquisition community.

Goal 4-1: NAVSAFECEN advances the campaign to get Operational Risk Management fully inculcated in naval operations and off-duty activities.

Goal 4-2: VPP is used more widely by the DON activities and has produced measurable benefits.

Goal 4-3: NAVSAFECEN participates as members on the various working groups for acquisition and system safety in order to mitigate potential risks in fielding new systems.

Goal 4-4: Key safety information e.g. lessons learned and best practices, are effectively collected and shared with applicable DON activities.

Goal 4-5: Fire mishap data is disseminated to the field as requested.

Goal 4-6: Safety and occupational health guidance and standards interpretation are provided to the field.

Goal 4-7: The results of studies and analyses are disseminated in a variety of media.

Goal 4-8: Tailored communications, news coverage, and media and marketing products support the on-going DON mishap reduction efforts.

Goal 4-9: NAVSAFECEN increases safety awareness through its products and services.

Goal 4-10: The NAVSAFECEN website is well-designed, functional, and easy to use.

Strategic Theme #5: Continuously monitor and positively impact safety climate to improve naval safety culture. Provide safety and risk management oversight and assistance to naval leadership.

Much of the work conducted by NAVSAFECEN is designed to positively impact safety culture whether through direct interaction during safety surveys and culture workshops or indirectly with our various media products and distribution of safety data and statistics. Our understanding of naval safety climate also enables us to develop safety initiatives that have a greater likelihood of being effective in preventing mishaps. NAVSAFECEN shall continue to work to monitor naval safety climate and improve naval safety culture through all of the activities that we do. Additionally, NAVSAFECEN must improve our ability to measure overall naval safety climate. Tools are currently available to measure safety climate at the unit level. NAVSAFECEN must continue to build upon these tools and seek methods to aggregate the results in order to more effectively monitor overall naval safety climate and keep naval leadership apprised of its findings. As Executive Agent for the Navy Executive Safety Board, and in support of the Marine Corps ESB, we will assist naval leadership in achieving the 75% reduction from baseline data year FY02 through the end of FY08. We will ensure that the methodology for our face-to-face and on-line unit-level culture, risk management and safety assessments is consistent and defined. As model manager for Navy ORM, we will assess the application and effectiveness of the risk-management program and policies throughout the fleet.

Goal 5-1: Naval safety climate is measured and assessed, and effective intervention strategies are developed when required.

Goal 5-2: Naval leadership is kept informed of the status of the naval safety climate.

Goal 5-3: COMNAVSAFECEN positively impacts naval safety culture through interaction with prospective Commanding Officers across the naval enterprise.

Goal 5-4: The culture-workshop program is standardized and specifies the required training and qualifications for facilitators.

Goal 5-5: The Naval Safety Strategy POA&M is consistently evaluated and modified as necessary to remain relevant and focused on attainment of the goals and objectives contained in the Naval Safety strategy.

Goal 5-6: NAVSAFECEN maintains effective communications with Echelon II/III Commands and Marine Corps Safety Division.

Goal 5-7: NAVSAFECEN effectively executes its responsibilities as Executive Agent for the Navy Executive Safety Board.

Goal 5-8: Safety-related OPNAV Instructions are effectively reviewed, staffed through applicable stakeholders and updated.

Goal 5-9: The DON and CNO safety award programs are managed effectively.

Goal 5-10: Safety related SECNAV and DOD Instructions are adequately staffed.

Goal 5-11: NAVSAFECEN adequately responds to all OPNAV taskers.

Goal 5-12: NAVSAFECEN has made recommendations to the Naval leadership to clarify its role within the Navy and Marine Corps.

Strategic Theme #6: NAVSAFECEN's safety information management systems provide user-friendly, reliable, and cost efficient capabilities for collecting, analyzing, and reporting critical safety data elements for both fleet and shore commands.

Department of the Navy leaders need mishap data in order to make informed decisions on the application of appropriate risk controls that will lead to the reduction of preventable mishaps. Accordingly, we must attempt to increase mishap reporting by enforcing policies, improving mishap reporting training, communicating with the fleet, and creating the proper balance between user-friendly data entry and the number/type of required data fields. We must also continue to provide DON personnel fast and easy access to quality mishap data while continually seeking to enhance the effectiveness of

our data extraction tools and ensure that all customers have easy access to common mishap data fields for their own unit and those of their subordinate chain of command.

Goal 6-1: NAVSAFECEN automatically produces accurate mishap rates.

Goal 6-2: Web-enabled data collection and dissemination systems and processes perform well and are 98% reliable.

Goal 6-3: NAVSAFECEN complies with DON Information Assurance policies.

Goal 6-4: DON customers have access to efficient data collection and dissemination tools.

Goal 6-5: Web-enabled data collection and dissemination systems effectively interface with other OSD and DON data management systems as required.

Goal 6-6: The DON safety management and reporting IT portfolio is effectively managed.