Naval Safety Command
Assurance Directorate
Code 60

Assurance Directorate Overview
Naval Safety Command

Outline

Naval Safety Command

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Vision
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Safety Management System

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Naval Safety Command

NAVSAFECOM Mission

- To preserve warfighting capability and combat lethality by identifying hazards and <u>reducing risk to people and resources.</u>

NAVSAFECOM Vision

- A continuously improving command that develops leading indicators of risks and hazards to empower all Sailors, Marines, civilians, and their families to embrace a <u>proactive culture of risk identification and management to achieve zero preventable mishaps.</u>

NAVSAFECOM Missions, Functions, & Tasks

- NAVSAFECOM continually assesses overall safety and risk management effectiveness of the Naval Enterprise. As such, NAVSAFECOM assesses commands to identify risk factors, promotes awareness of identified factors, and enables targeted risk mitigations and corrective actions by Navy and Marine Corps stakeholders. NAVSAFECOM also assures proper and effective accountability of Safety Management across the Naval Enterprise.

- Plan and execute formal, independent higher headquarters safety assurance assessments of Navy installations and commands worldwide (<u>Echelon II and III commands</u>).

RCS & SMS

- A formal, organizational-wide approach to managing risk and assuring the effectiveness of risk controls. An RCS/SMS often involves a system of systems approach that inculcates procedures and policies throughout the command to achieve desired goals:
Safe Place, Safe People, Safe Property/Material, Safe Processes/Procedures.

- An RCS/SMS must provide a resilient, defense-in-depth based system that inculcates continuous learning, identifying and fixing problems when they are small, risk ownership and accountability at the right level and formally communicates hazards and near misses.

- Trust & senior leadership buy-in (and the necessary resources) are critical to transforming behavior and safety culture.
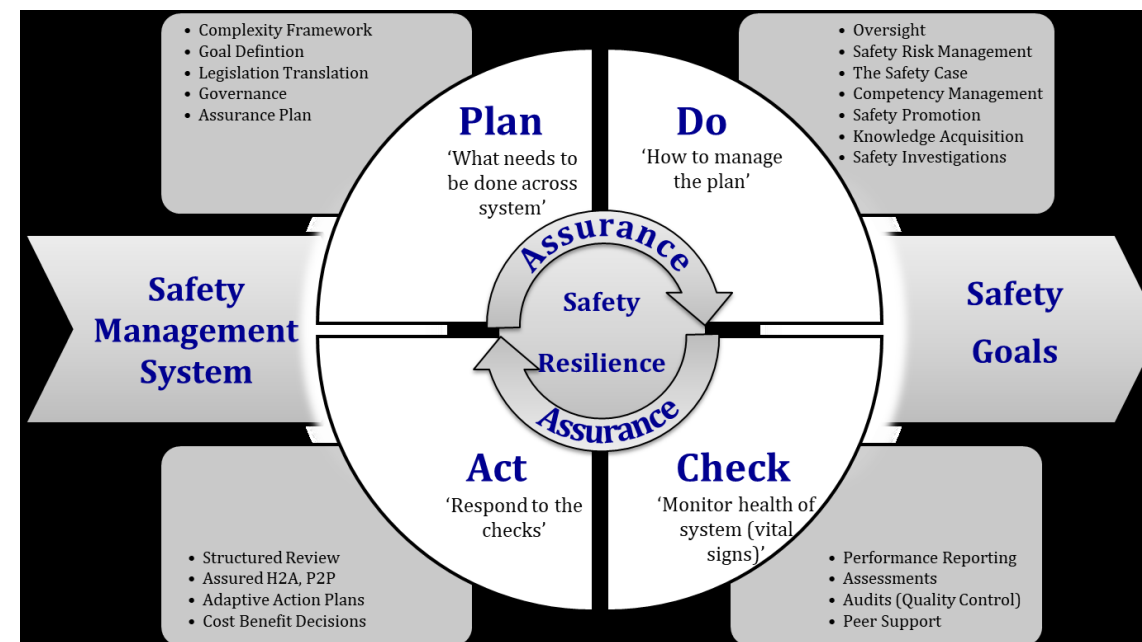
System of Systems | Levels & Tiers

3 LEVELS of Assessments

How well are you self-assessing and identifying risks?
How well are your subordinates assessing risks?

- Level 1: Self-Assessment
- Level 2: Senior Assessment
- **Level 3: External / 3rd Party Assessment = NAVSAFECOM**

3 TIERS of Assessments within NAVSAFECOM

NSC assuring the Risk Control System is effective AND Commands are **Safe to Operate** and **Operating Safely**

- **Tier I: NAVSAFECOM Code 60 Echelon II/III Assessments**
- Tier II: NAVSAFECOM Codes 10, 20, 30, & 40 Inspection/Certification Teams Assessments
- Tier III: NAVSAFECOM Codes 10, 20, 30, & 40 Area Assessments

Assurance Directorate

Assurance Directorate Vision

- A continuously learning and improving Directorate that assures Risk Resilience of the Naval Enterprise by assessing behaviors of self-awareness, self-assessment, self-correction, and continual learning as well as benchmarking the best practices of high-performing organizations.

Assurance Directorate Mission Statement

- The Assurance Directorate schedules a three-tiered assessment program and provides assurance of Echelon II-III risk resilience as well as risk control systems and policies to assure the Naval Enterprise is Safe to Operate and Operates Safely by Identifying, Communicating, and Accounting for Risk at the appropriate level.

Assurance Assessment Goal

- Does an assessed command inculcate behaviors of self-awareness, self-assessment, self-correction, and continual learning to enable a defense-in-depth that ensures the Command is Safe to Operate and Operating Safely through proper Risk Identification, Communication, and Accountability at the appropriate level?

Mission Safe *is* Mission Assured

# Assessment Principles – WHAT ARE WE LOOKING FOR?

Risk Identification

- Are you aware of your risks?
- Are you aware of your subordinates risks?
- What risks are normalized to the point they are now considered "the norm"?

Risk Communication

- How do you register / track risks?
- Who knows about your risks?
- How do you communicate your risks to higher echelon?
- How do you communicate risks to subordinates?
- How do you communicate your risks to stakeholders not within direct COC?

Risk Accountability

- Is the risk assigned to the correct decision making level?

Self Aware → Self Assess → Self Correct → Continuous Learning
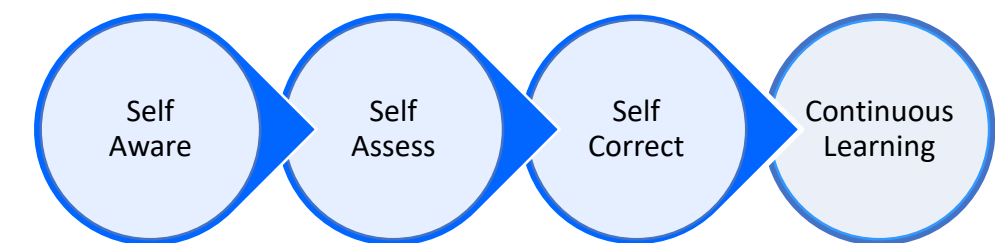
Assessment Principles – HOW WILL THE ASSESSMENTS WORK?

The focus of the ECH II/III level assessments is a <u>systems-based evaluation</u> of the organization's ability to <u>identify</u>, <u>communicate</u>, and <u>account</u> for risks at the appropriate level.

- 8-weeks prior to the Assessment, we will send a Precepts Letter outlining our intent and request for specific data / information to analyze prior to arrival.

- 4-weeks prior to the Assessment, we will send Questions for the Record to the Commander and Senior Enlisted in order to gain specific insight into risk management and concerns.

- Day 1 of Assessment, there will be a senior-level Inbrief with the Team Lead to provide an overview of the Assessment-purpose / intent and timeline of key events.

- The Assurance Assessment itself will consist primarily of interviews with directorate-level leadership as well as observing staff battle rhythm events. There will be additional requests for data, metrics, etc.

- At the end of the Risk Assurance Assessment, COMNAVSAFECOM will provide an Outbrief to the Commander and desired Staff of major and minor risks as well as gaps and observations. A more detailed report will follow within 30 days of the Risk Assurance Assessment completion.

Tier I Assessment Report Process

SECNAV/CNO
Reports sent to CNO via Semi-Annual | Annual Reports

CNO/ VCNO

Copy To:
Assessed Ech II Cmd

NSC

Echelon II Report
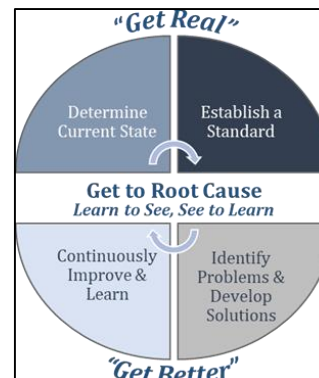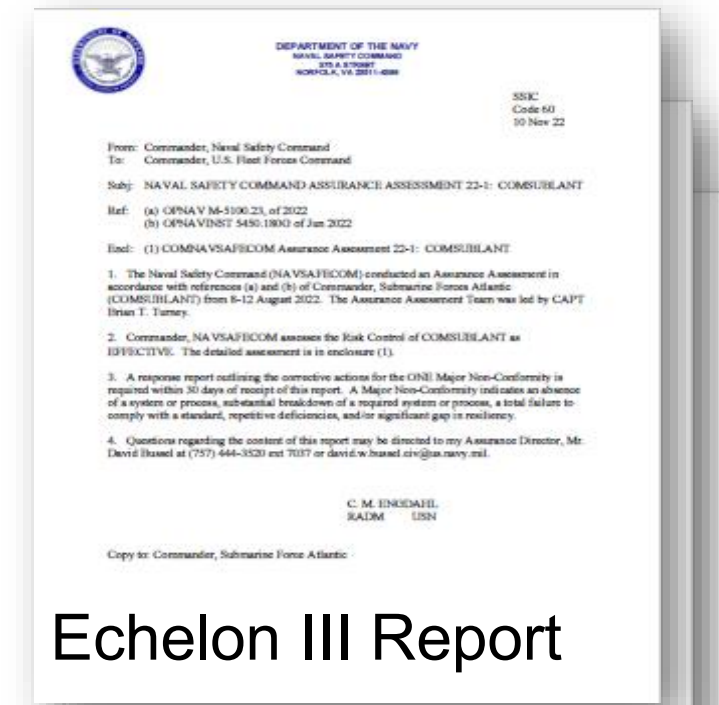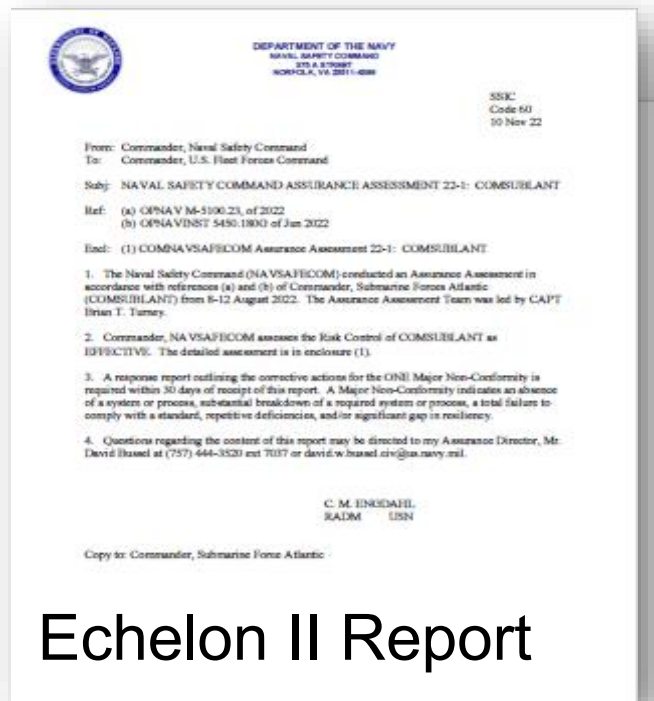
Response Reports
Required for Assessed Major Risk Areas
30 Days After Report Issued
From: Assessed Command
Sent To: VCNO (Ech II Assessed Commands)
Sent To: Ech II (Ech III Assessed Commands)
Copy To: NAVSAFECOM
Format: Naval Letter Format

Extensions
Requested & Granted between
Assessed Cmd & VCNO (Ech II) / Ech II Cmd (Ech III)
Copy NSC

CNO/ VCNO/MCPON

Ech III Reports sent
to CNO/VCNO
3-days after Reports
sent to Ech II Cmd

Ech II

Copy To:
Assessed Ech III Cmd

NSC

Echelon III Report

Authorities

Authorities
- Executive Order 12196
- Title 29 Code of Federal Regulations (CFR) 1960
- Occupational Safety & Health Act (OSHA) 1970
- DoDI 6055.01 Safety & Occupational Health (SOH) Program
- SECNAV 5100.10L SOH Program
- OPNAV 5100.23H SOH Program
- OPNAV-M 5100.23 Change 2
- OPNAV 5450.180G – NAVSAFECOM Missions, Functions, and Tasks
- CNO 09F – NAVSAFECOM Action Memo

Certifications
- International Standard Organization (ISO) 45001 and 9001

- **All Internationally Recognized <u>Certified Lead Auditors</u>**

Appointments
- Completed Job Qualification Requirement

- **<u>Appointed NAVSAFECOM Assessors</u>**

Contacts

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QUESTIONS

Definitions

The Naval Safety Command enables behaviors and empowers our people to engage in rigorous **self-awareness, self-assessment, self-correction, and continual learning**, providing a **defense-in-depth** that ensures the Naval Enterprise is both **SAFE TO OPERATE** and **OPERATING SAFELY**. *(M-5100.23 CH2)*

- **Safe to Operate**. *The **as-designed safety** for places, property/materiel, people, and processes/procedures. It is the **defining design**, policy, engineering, resourcing, and expectation management that sets the **safety risk envelope** for the hazardous activity or activities for a given operating environment. Original Equipment Manufacturers, Systems Commands, Program Offices, and upper echelon commands are primarily responsible for the Safe to Operate criteria.*

- **Operate Safely**. **Executing the mission within the designed safety envelope.** *The safety envelope is normally maintained by operating within established procedures. When unplanned or unforeseen safety risks manifest outside of the approved Safety Case and the military benefit (operationally defined objective) of taking the risk outweighs the cost of the risk exposure, then commands should apply the principles of operational risk management to control risk. The Commander, unit leadership team, and operators all have a duty to Operate Safely by preserving the Safe to Operate conditions.*

- **Defense-in-Depth**. *An approach to designing a system that prevents accidents and mitigates the severity of smaller events. The key is **creating multiple independent and redundant layers of defense** to compensate for potential human and mechanical failures so that no single layer, no matter how robust, is exclusively relied upon to prevent an accident. This approach defends against latent, unrealized weaknesses in a system that can be triggered by active errors (unsafe behaviors carried out by individual parties).*

- **Risk**. **Chance of adverse outcome** *such as failed or degraded mission, injury, illness, or loss. Risk level is expressed in terms of hazard probability and severity.*

Definitions

- **Risk Registry.** <u>**A repository for capturing and recording risks and associated information**</u>. **Accountable Persons** *should document risks and issues in a risk registry, using a consistent template to enable oversight, identification of risk accumulation, decision making, and risk communication up and down the chain of command.*

- **Resiliency.** *Ability of a system to adjust and sustain normal function in the face of disturbances;* <u>**ability to absorb disturbances**</u>. *Characteristics of a resilient system include: Defense-in-Depth; processes designed for both prevention of an issue and recovery when an issue occurs; processes to verify the effectiveness of the system.*

- **Risk to Force │Risk to Mission is** <u>**Risk to Readiness**</u>**. Applies to all Naval activities, in all operating environments, at all times.** *The principles of OPNAV M-5100.23 CH 2 apply across the* **entire spectrum of operations** *regardless of the operational or administrative chain of command. Focusing on* <u>*Resilience*</u> *and* <u>*Safe to Operate – Operating Safely*</u> *preserves the* <u>*4Ps*</u> *(Personnel, Places, Property/material, and Processes/procedures).*

- **Inspection.** *An Inspection is a process that evaluates, reviews, and/or analyzes* **programs, activities, or organizations** *for the purposes of evaluating* **compliance** *with governing documents, identifying risks to mission, evaluating effectiveness, and providing information for decision-making.*

- **Assessment.** *The evaluation or estimation of the nature,* <u>**quality**</u>*, or ability of someone or something. A* <u>*continuous*</u> <u>**process-based**</u> <u>*observation*</u> *that measures the overall* <u>**qualitative**</u> *effectiveness.* <u>**Improves operational readiness**</u> *through identification of unsafe conditions, practices, procedures, and to* <u>*increase the hazard awareness*</u> *of personnel through* <u>*proper application of risk management*</u>*.*

- **Safety Management System.** *A formal, organizational-wide approach to managing safety risk and assuring the effectiveness of safety risk controls. An SMS often involves a system of systems approach that inculcates procedures and policies throughout the command to achieve desired goals:* **Safe <u>P</u>lace, Safe <u>P</u>eople, Safe <u>P</u>roperty/Material, Safe <u>P</u>rocesses/Procedures.** *An SMS must provide a resilient, defense-in-depth based system that inculcates continuous learning.*