



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
1000 NAVY PENTAGON  
WASHINGTON DC 20350-1000

SECNAVINST 5100.10L  
ASN (EI&E)  
09 Apr 2021

SECNAV INSTRUCTION 5100.10L

From: Secretary of the Navy

Subj: DEPARTMENT OF THE NAVY SAFETY PROGRAM

Ref: See enclosure (1)

Encl: (1) References  
(2) Responsibilities  
(3) Management Systems in Naval Safety  
(4) Safety and Occupational Health Functional Community Management  
(5) Secretary of the Navy Safety Excellence Awards

1. Purpose. Establish Department of the Navy (DON) Safety Program policy and assign responsibilities for administering a comprehensive DON Safety Program. This instruction has been substantially revised and should be reviewed in its entirety. See enclosures (1) through (5) for additional information regarding the DON Safety Program.

2. Cancellation. SECNAVINST 5100.10K.

3. Applicability

a. This instruction considers limitations on the applicability of federal safety requirements to DON military personnel, civilian personnel in a duty status, and military unique operations, and applies to:

(1) The Offices of the Secretary of the Navy (SECNAV), the Chief of Naval Operations (CNO) and the Commandant of the Marine Corps (CMC), and all U.S. Navy and U.S. Marine Corps operational forces, installations, commands, activities, field offices, and other organizational entities within the DON.

(2) All safety-related policies, programs, and functions including, but not limited to, acquisition safety, environmental health, emergency response, explosives safety, Fire and Emergency Services (F&ES), industrial hygiene, occupational

health, occupational safety, radiation safety, operational safety, and public safety.

(3) All DON organizational entities and activities engaged in all aspects of capability definition; requirements establishment; acquisition; manpower development and training; operations and sustainment; and demilitarization and/or demobilization and materiel disposal.

(4) All DON military on and off-duty and civilian personnel in a duty status and engaged in operations.

(5) DON contractors directly supervised by DON personnel where contract terms specify DON responsibility for the safety and health of contractor personnel.

b. This instruction does not apply to DON contractor personnel and operations where the contractor is directly responsible for complying with federal and state safety and health standards. The requirements in this instruction do not apply to activities specifically involving reactor safety and associated nuclear propulsion plants. Director, Naval Nuclear Propulsion Program, is responsible for the safety of reactors and associated naval nuclear propulsion plants, and the control of radiation and radioactivity associated with naval nuclear propulsion plant activities. This includes prescribing and enforcing standards and regulations for these areas as they affect the environment, safety, and health of workers, operators, and the general public.

4. Policy. All DON applicable organizations and activities, as described in paragraph 3 above, shall comply with the requirements set forth in this instruction to include applicable requirements of references (a) through (ag) and shall demonstrate effective alignment with enclosure (3) of this instruction.

5. Responsibilities. See enclosure (2).

6. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules

found on the Directives and Records Management Division (DRMD) portal page:

<https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local Records Manager or the DRMD program office.

7. Information Management Control

a. Information Collections Control. The reporting requirements in enclosure (2), paragraph 2j and enclosure (5), paragraph 5c are exempt from information collections control in accordance with reference (ag), Part IV, paragraph 7p and 7q.

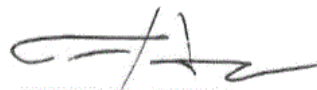
b. Forms. The following SECNAV forms may be obtained from the Department of the Navy Issuances website at <https://www.secnav.navy.mil/doni/default.aspx>.

(1) SECNAV 5100/1 (Rev. 2/2021), Supervisor's Medical Surveillance and Certification Exam Referral.

(2) SECNAV 5100/2 (Rev. 2/2021), Site-Specific Fall Hazard Assessment.

(3) SECNAV 5100/3 (Rev. 2/2021), Fall Protection and Prevention Plan.

(4) SECNAV 5100/4 (Rev. 2/2021), Site-Specific Fall Arrest Rescue Plan.



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Distribution:

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<http://www.secnav.navy.mil/doni/>

**REFERENCES**

- (a) E.O. 12196
- (b) 29 CFR 1960
- (c) SECNAVINST 5000.2F
- (d) DoD Directive 6055.09E of 18 November 2016
- (e) DoD Instruction 6055.16 of 29 July 2008
- (f) DoD Instruction 6055.07 of 6 June 2011
- (g) DoD Instruction 1400.25 Volume 250 of 7 June 2016
- (h) SECNAVINST 12273.1B
- (i) General Accounting Office (GAO) Report, DoD Needs Complete Assessments to Improve Future Civilian Strategic Workforce Plans, GAO-12-1014 of 27 September 2012
- (j) Memorandum, DASN (HR) to DASN (Safety), Designation as Safety & Public Safety Functional Community Manager of 17 April 2012 (NOTAL)
- (k) Policy Memo: Incorporation of Health-Based Criteria into Chemical, Biological, Radiological, and Nuclear Defense Plans, Policies, and Acquisition Programs as of 29 June 2013
- (l) SECNAVINST 3300.2C
- (m) SECNAVINST 5100.14E
- (n) SECNAVINST 5100.16C
- (o) SECNAVINST 11260.2B
- (p) DoD Standard Practice System Safety MILSTD 882.E of 11 May 2012
- (q) DoD Instruction 6055.01 of 14 October 2014
- (r) DoD Instruction 6055.04 of 20 April 2009
- (s) DoD Instruction 6055.06 of 3 October 2019
- (t) OPNAVINST 11320.23G
- (u) MCO 11000.11A
- (v) 10 U.S.C. §8011
- (w) DoD Instruction 6055.05 of 11 November 2008
- (x) DoD Directive 5010.42 of 15 May 2008
- (y) Department of the Navy Transformation Plan FY 2014-2016 of 2 July 2014
- (z) SECNAV Memorandum, Department of the Navy (DON) Safety of 6 July 2009 (NOTAL)
- (aa) DoD Mission Assurance Strategy of April 2012 (NOTAL)
- (ab) American National Standards Institute/American Industrial Hygiene Association (ANSI/AIHA) Z10-2012(R2017), Occupational Health and Safety Management Systems, February 2017

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- (ac) International Maritime Organization, International Safety Management (ISM) Code, 1993
- (ad) International Standardization Organization 45001, Occupational Health and Safety Management Systems, 2018
- (ae) Federal Aviation Administration, Safety Management System (SMS) Doctrine, Order VS 8000.1, August 2006
- (af) Naval Sea Systems Command, Submarine Safety (SUBSAFE) Program, Submarine Safety (SUBSAFE) Certification Manual, NAVSEA 0924-062-0010, Rev. C.
- (ag) SECNAV M-5214.1

**RESPONSIBILITIES**

1. The SECNAV:

a. Oversees implementation of this instruction.

b. Delegates authority for DON Safety Program oversight, direction, management, and execution to the Assistant Secretary of the Navy (Energy, Installations and Environment) (ASN (EI&E)).

2. The ASN (EI&E):

a. Serves as the principal advisor to SECNAV on policy and administration of the DON Safety Program including guidance and accountability.

b. Serves as the DON Headquarters-level liaison to federal regulators and agencies and national level, non-governmental organizations for the purpose of communicating official DON positions and negotiating agreements related to the DON Safety Program, including all requests for alternate standards.

c. Serves as the DON Designated Agency Safety and Health Official, per references (a) and (b).

d. Oversees safety requirements implementation across the DON and is responsible for ensuring safety issues are highlighted in SECNAV level venues.

e. Establishes Special Emphasis Areas (SEAs) to focus enterprise-wide attention on hazards of significant, enduring, or emerging risk to the Department.

f. Serves as the Program Decision Principal Advisor for safety for Acquisition Program Decision Meetings (PDMs), Program Reviews (PRs), and Gate reviews, per reference (c).

g. Acts as authority and grantor of Explosives Secretarial Certifications and Exemptions when operational necessity requires deviation from the requirements of references (d) and (e).

h. Appoints two qualified voting members (one primary and one alternate) for the Navy and two qualified voting members (one primary and one alternate) for the Marine Corps to the Department of Defense (DoD) Explosives Safety Board, per references (d) and (e).

i. Oversees the Office of the Deputy Assistant Secretary of the Navy for Safety (DASN (Safety)) and delegates authority to DASN (Safety) to provide strategic direction, oversight, and advocacy for the DON Safety Program.

j. Submits requirements and advocates for the DON Safety Program in the Planning, Programming, Budgeting and Execution (PPBE) process.

k. Delegates authority to the CNO and CMC to accept the risk when DON activities need to deviate from explosives safety criteria for a strategic or compelling operational necessity, per references (d) and (e).

3. The Assistant Secretary of the Navy (Research, Development and Acquisition) (ASN (RD&A)):

a. Oversees the performance of the DON acquisition system, which includes the application of system safety engineering throughout the life cycle.

b. Ensures DON Science and Technology (S&T) projects and acquisition programs comply with DON Environment, Safety and Occupational Health (SOH) policy no later than technology transition.

c. Informs ASN (EI&E) on the status of High Risk Acceptance decisions and associated user concurrence.

d. Advises on Department-wide acquisition safety policy, guidance, and safety risk management.

e. Leads and oversees the Acquisition Safety Steering Committee (ASSC) to ensure safety is addressed in the acquisition process.

4. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) coordinates with ASN (EI&E), the Surgeon General of the

Navy, and the Medical Officer of the Marine Corps on strategic direction and management of programs involving military and civilian personnel injury and occupational illness.

5. The Assistant Secretary of the Navy (Financial Management and Comptroller) (ASN (FM&C)):

a. Advises ASN (EI&E) on the application of ASN (FM&C) fiscal data to characterize costs to DON from mishaps and assess return on investment for mishap prevention strategies and initiatives.

b. Collaborates with ASN (EI&E) in support and execution of safety related fiscal requirements in the PPBE process.

6. The General Counsel of the DON and the Judge Advocate General of the Navy:

a. Provides legal review and advice regarding DON Safety Program compliance with statutory and regulatory requirements, and Department policies.

b. Provides legal support on safety-related legislative change proposals.

c. Provides legal review and advice ensuring the protection of privileged DON safety investigation information from use in military and civil litigation, per the provisions set forth in reference (f).

7. The Naval Inspector General and Inspector General of the Marine Corps conduct oversight inspections of their respective services to determine the status of Navy and Marine Corps implementation of this instruction and SEAs of safety concern.

8. The Auditor General of the Navy (AUDGEN) may conduct audits to assess the Navy and Marine Corps' required performance and operations as identified in this instruction.

9. The Chief of Information coordinates with DASN (Safety) on safety matters of public interest and assists in development of safety communication.



10. DASN (Safety):

a. Serves as the principal policy developer for and advisor to ASN (EI&E) on DON Safety Program matters.

b. Reviews implementation of applicable Federal, DoD, and SECNAV policies and ensures DON compliance with them.

c. Develops PPBE requirements for ASN (EI&E) to execute the DON Safety Program effectively and efficiently.

d. Serves as the single conduit for formal communications regarding official DON safety program positions between the DON the other military Departments, with the Office of the Secretary of Defense, across federal agencies, and with private sector entities.

e. Approves DON representatives to inter-governmental, regulator-chaired working groups and committees, e.g., Maritime Advisory Committee for SOH, where such representatives represent official DON positions.

f. Prepares ASN (EI&E) to participate in safety related decisions at PDMs, PRs, and Gate reviews.

g. Performs continuous oversight of the DON Safety Program, including the implementation of management systems in naval safety, to inform strategic program direction and ensure continuous safety performance improvement.

h. Coordinates and presents an annual DON Safety Program Review (SPR) to the Assistant Secretary of Defense (Readiness) and DON executive leadership.

i. Participates in the ASN (RD&A) ASSC.

j. Serves as the DON Functional Community Manager for the Safety and Public Safety Community, per references (g), (h), (i), and (j), ensuring a competent, high performing DON safety and public safety workforce. Detailed responsibilities are provided in enclosure (4).

k. Oversees integration of references (k) and (l) into DON installation emergency management policy and programs.

l. Oversees the DON Laser Safety Program and the activities of the DON Laser Safety Review Board, per reference (m).

m. Ensures the provisions of Occupational Safety and Health Administration (OSHA) granted DON Alternate Standards are maintained.

(1) Appoints the Chair, DON Gas-Free Engineer Certification Board for maritime operations per reference (n).

(2) Appoints the Navy Crane Center as the Program Manager who oversees the Navy and Marine Corps Weight Handling Program for Shore Activities, per reference (o).

n. Endorses personnel representing DON on external consensus standard and advisory committees for safety program-related matters, e.g. National Fire Protection Association, American National Standards Institute, American Society of Mechanical Engineers, American Conference of Governmental Industrial Hygienists.

11. The CNO and the CMC:

a. Ensure implementation of the policy set forth in this instruction.

b. Align safety policies, programs, and procedures and the necessary data and analytical capability to support strategic and programmatic policy, risk management, and safety assurance elements delineated in enclosure (3) of this instruction.

c. Ensure safety requirements are given appropriate consideration and prioritization, and when validated, are funded throughout the lifecycle, including requirements that support safety in Integration and Interoperability.

d. Ensure safety considerations are included in the Concept of Operations, Joint Capabilities Integration and Development System, Capability Definition documentation, and Middle Tier of Acquisition programs.

e. Per reference (p), for all system and/or platform-related Class A and B mishaps, develop and implement policy to ensure that the respective Program Office's System Safety

Engineer or similarly qualified individual is identified to assist the Safety Investigation Board. Annotate in the Safety Incident Report findings the program office's analysis of those systems-related hazards that contributed to the mishap and recommendations for risk mitigation.

f. When formally requested, provide to the SECNAV, through DASN (Safety), the necessary Service-specific and technical subject matter advisement, expertise, and administrative support as delineated in this instruction.

g. When formally requested, provide funding to ensure development and Service-wide implementation of the DON Risk Management Information capability.

h. Ensure that activities, units, and occupational health clinics use SECNAV Form 5100/1 (DON Supervisor's Medical Surveillance and Certification Exam Referral), or equivalent electronic version, to document, track, and communicate medical surveillance and certification program requirements, exam completions, and general dispositions (medically qualified, not medically qualified, medically qualified with limitations, etc.) for applicable DON military and civilian personnel. SECNAV Form 5100/1 can be downloaded from the following Department of the Navy Issuance website location:  
<https://www.secnav.navy.mil/doni/default.aspx>.

i. Ensure all personnel are protected from coercion, discrimination, or reprisal for reporting mishaps, hazards, and near misses.

j. Ensure commands perform annual self-assessments to monitor their own safety performance.

k. Per reference (q), ensure higher echelons and/or headquarters conduct SOH program assessments to evaluate program the effectiveness (compliance and performance) and conformance with DON Safety Program policy. The frequency of assessments should be data-driven and informed by the risks identified within the individual command, but must occur at least once every four years.

l. In support of reference (q), provide an annual SPR, through DASN (Safety), that incorporates select metrics from

existing safety reporting requirements or other high priority indicators of DON safety performance.

m. Ensure staffing, including collateral or additional duty personnel, is of sufficient quantity and that personnel are adequately trained to competently support mission-specific safety requirements.

n. Provide training of sufficient quantity, quality, and duration to ensure that all full-time, collateral, and additional duty safety personnel perform assigned safety functions effectively.

o. Designate, in writing, a career program manager, for each respective Service (Navy and Marine Corps), for each civilian job series that comprise the DON Safety and Public Safety Functional Community, and provide DASN (Safety) with a copy of such written designation. The career manager shall be a senior civilian (General Schedule (GS)-14 or GS-15) and a recognized expert in responsibilities of the corresponding job series. The career program manager may be employed anywhere throughout the Department. The job series include:

- (1) GS-0017 - Explosives Safety.
- (2) GS-0018 - Safety and Occupational Health Management.
- (3) GS-0019 - Safety Technician.
- (4) GS-0081 - Fire Protection and Prevention.
- (5) GS-0089 - Emergency Management.
- (6) GS-0803 - Safety Engineer.
- (7) GS-1815 - Air Safety Investigating.
- (8) GS-1825 - Aviation Safety.

p. Ensure that OSHA Notices of Unsafe and or Unhealthful Working Conditions arising from OSHA inspections are reported promptly to the chain of command, the Naval Safety Center, and DASN (Safety) immediately upon indication of OSHA intent to issue a Notice of an Unsafe or Unhealthful Working Condition.

q. Collaborate with DASN (Safety) to support elevating acquisition related challenges to the ASSC.

r. Ensure all Navy and Marine Corps commands identify and track all motorcycle riders, per reference (r).

s. Serves as the responsible agent for component level F&ES requirements under references (s), (t), and (u). Responsible for developing policy while ensuring proper alignment and resourcing of F&ES.

t. Ensure activities use SECNAV Form 5100/2 (Site-Specific Fall Hazard Assessment), SECNAV Form 5100/3 (Fall Protection and Prevention Plan), and SECNAV Form 5100/4 (Site-Specific Fall Arrest Rescue Plan) or equivalent electronic version, to support the execution of their managed fall protection program. SECNAV Form 5100/2, SECNAV Form 5100/3, and SECNAV Form 5100/4 can be downloaded from the following Department of the Navy Issuance website location: <https://www.secnav.navy.mil/doni/default.aspx>.

12. The Surgeon General of the Navy shall:

a. In addition to the primary reporting relationship to the CNO, provide occupational and environmental health program advisement and assistance to ASN (EI&E), when formally requested through DASN (Safety), in alignment with references (v), (w), and (x).

b. Participate in community and platform and/or system based groups that identify and address occupational and environmental health program concerns, e.g., system safety working groups, operational advisory groups, and human performance requirements reviews to:

(1) Provide occupational and environmental health expertise; and facilitate access to requisite hazard, lessons learned, mishap, and exposure data.

(2) Support the development, funding, and implementation of risk-based platform occupational and environmental health requirements, systems, and equipment.

13. CNO Special Assistant for Safety Matters (CNO N09F), and Director, CMC Safety Division (SD) shall:

a. In addition to their primary respective reporting relationships to the CNO and CMC, and when formally requested, provide safety program advisement and assistance to the ASN (EI&E), through DASN (Safety), in alignment with references (q), (v) and (w).

b. Participate in community and platform and/or system based groups that identify and address safety concerns, e.g., system safety working groups, operational advisory groups, and human performance requirements reviews, in order to:

(1) Provide SOH expertise and facilitation of access to requisite hazard, lessons learned, mishap, and exposure data.

(2) Support the development, funding, and implementation of risk-based platform safety requirements, systems, and equipment.

14. DON System Commands, Program Executive Offices and Program Managers shall:

a. Use reference (p) to implement system safety for all S&T projects planned for transition and all acquisition programs to optimize safety throughout the entire life cycle of the platform or system.

b. Establish minimum qualifications for personnel to be designated as a system safety lead, and designate in writing a system safety lead for each S&T project planned for transition and all acquisition programs.

c. Provide subject matter experts to assist Safety Investigation Boards as they conduct hazard analysis for mishaps involving their respective fielded system.

15. Naval Research and Laboratory Activities shall:

a. Use reference (p) to implement system safety for all S&T projects planned for transition to optimize safety throughout the entire life cycle of the platform or system.

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b. Designate in writing a system safety lead for all S&T programs planned for transition.

## **MANAGEMENT SYSTEMS IN NAVAL SAFETY**

1. Executive Summary. A management system is a framework of processes and procedures used to ensure that an organization can achieve its objectives. Management systems in naval safety will continuously improve safety program performance and enhance mission readiness. They will integrate established risk management and business processes into existing Navy and Marine Corps management processes. The management system approach will better align DON safety risk management practices with industry best practices and references (x), (y), and (z). Management systems will enable DON leadership to make informed decisions to address systemic program risks and trends. Management systems will further improve proactive risk reduction in the DON through predictive, standardized, systems-oriented, process-driven approaches. Naval safety will incorporate Program Risk Analysis to assess safety programs in the areas of Leadership, Policy, Resourcing, Planning, Implementation, Management, and Communication. Measures of performance, coupled with safety program measures of effectiveness, will provide indicators of organizational resilience that support the DoD Mission Assurance Strategy, reference (aa).

### 2. Background

a. Command and control, in conjunction with engaged leadership, and responsibility and accountability, defines DON organizational culture. This, in turn, defines DON safety culture. A positive safety culture results when leadership continuously minimizes and manages risk. This requires state of the art safety designs and technology, and the highest level of personnel proficiency, individual and group values, attitudes, perceptions, competencies, patterns of behavior, and preventive actions. All these elements must be incorporated into the organization's safety risk management. Ultimately, the DON culture enables sustained delivery of professionally executed missions, with a high level of safety performance as a natural outcome.

b. Risk management is an established discipline and a critical enabler of warfighter capability. Risk management empowers leaders with the flexibility to make informed decisions at the appropriate level. Risk management is an organized methodology for continuously identifying and measuring the



previously unknown program risks; selecting, planning, and implementing appropriate risk mitigations; and tracking the implementation to ensure successful risk reduction. Risk management applies to all aspects of capability definition, requirements establishment, acquisition, manpower development and training, operations and sustainment, and demilitarization and/or demobilization and materiel disposal. Management systems provide the structure to expand the application of risk management at the strategic level.

c. Management systems ensure DON Safety Program requirements are overseen at the DON Secretariat level. Lessons learned will continually improve safety performance. The Strategic Plan will establish overarching governance for safety assurance.

d. Resources to implement requirements will be minimal, as the management system leverages existing policies, procedures, and practices. The most significant requirements will be the maintenance and application of the business process outlined in paragraph 3, below.

e. The DON recognizes established management systems that improve safety performance. Examples include references (ab) through (af).

### 3. Management System Construct

a. The Navy and Marine Corps shall organize their management system activities to identify and control safety risks to continuously improve safety performance. Integration of a business process within the management system is essential to assuring the control and continuous improvement of management system processes and outcomes. Examples of iterative continuous improvement cycles in use by varying organizations in the Navy are Plan-Do-Check-Act (PDCA) and Plan-Brief-Executive-Debrief (PBED). The PDCA process parallels the risk management cycle. PDCA elements include:

(1) Plan. A project plan is developed along with an accounting of resources necessary to achieve established objectives. The plan includes measures of performance and effectiveness to gauge progress.

(2) Do. The plan is executed, during which progress is measured at key milestones throughout execution to ensure the intended results. Where barriers to progress occur, alternative courses of action are developed and prioritized, and the plan modified.

(3) Check. Gap analysis determines the success of the effort based on a comparison of intended versus actual outcomes. Performance outcomes and gaps are documented and tracked over several PDCA cycles to identify actionable trends.

(4) Act. Corrective actions are developed and implemented from the results of the Check phase to improve safety performance. Where improved outcomes to the PDCA process do not result, the PDCA process is refined or redirected.

b. The PBED elements include:

(1) Plan. An evolution is planned by asking and answering the following questions:

(a) Who is in charge of the evolution?

(b) When and where will the event occur?

(c) What is the procedure?

(d) What are the steps that must be followed, who will conduct the steps, and what is the required training/qualifications/skills of the Sailors?

(e) What can go wrong?

(2) Brief. An evolution brief requires the participants to come together and "get the plan" so they are able to execute the evolution.

(3) Debrief. This is getting the team together and asking "how was the evolution?" Was the evolution executed as briefed? What happened that was not expected? Could planning have predicted this? Were the Sailors properly trained and organized? What could have been done better?

c. This construct provides individual commands the

flexibility to determine their program performance criteria and design a system framework that best supports the command's mission. As a minimum, all management systems developed and implemented as part of the DON program shall include the following fundamental elements:

(1) Leadership. Leadership demonstrates their commitment to continuous safety improvement through clear policy, measurable and attainable objectives, holding personnel accountable for adherence to policies and procedures, and providing the resources that enable successful mission execution.

(2) Policy, Procedures, and Documentation. Hazard controls are embedded in standard operating procedures. Adherence to safety is documented to validate conformance and facilitate review.

(3) Personnel Awareness, Education, and Training. Personnel are trained to recognize hazards and the dangers of such hazards to themselves, their colleagues, and operations. The organization ensures all personnel have the necessary level of education and training.

(4) Personnel Participation. Commanders ensure personnel are encouraged to participate in hazard identification and control.

(5) Planning. Adaptive planning ensures that threats or risks are swiftly identified and mitigation strategies and techniques integrated into execution. Training and drilling are essential to validation and adaptation of plans.

(6) Change Management. Changes to policies, procedures, mission objectives, hardware, software, budget, politics, etc., can create hazards with potential risk. Assessment of the impacts of change on the organization is especially critical in the initial phases of change management.

(7) Risk Communication. Clear lines of horizontal and vertical communication ensure that personnel understand the potential impacts of hazards to themselves, their peers and the operation; that hazards are expeditiously and effectively mitigated; and that clearly articulated lines of responsibility

enable informed risk decision making at the appropriate level of authority. Feedback channels ensure personnel most directly affected by hazards can voice their opinion on the efficacy of hazard controls.

(8) Risk Management. Risk Management integrates the PDCA process, and is supported by safety policy and objectives and safety assurance. Full completion of Risk Management includes execution of: Hazard Identification, Risk Assessment, Risk Acceptance, Control Implementation and Monitoring.

(9) Safety Performance Monitoring. Performance indicators will be derived from a broad range of sources including: self-assessments, internal inspections scheduled/completed, external inspections, internal and external audits, such as those of the AUDGEN, safety and industrial hygiene surveys, medical surveillance data, training conducted, mishap and hazard reporting, mishap investigations, Office of the Naval Inspector General investigations, safety studies, safety research, external management reviews and evaluations, past performance indicators, regulatory compliance indicators, e.g., OSHA citations, injury and illness data, and other non-safety reporting channels.

(10) Corrective actions will be focused and prioritized using a risk-based approach. As information technology solutions become more readily available, data-driven analysis will result in corrective actions that are more accurately targeted, refined, and effective. The ultimate goal is to manage risk proactively to prevent safety lapses. Note: The DON does not recognize the Lost Work Day Rate metric as a direct measure of safety performance.

(11) Management System Monitoring. Management systems shall be monitored for their development, execution, performance, and effectiveness from the overarching strategic level and cascading throughout the organization down to the tactical implementation level. Monitoring shall occur as part of the program assessment process to ensure alignment with the overarching elements described in paragraph 3 of this enclosure. To verify that management systems are operating effectively DON commands will be assessed according to their alignment with the overarching elements described in paragraph 3.

**SAFETY AND OCCUPATIONAL HEALTH FUNCTIONAL COMMUNITY MANAGEMENT**

1. Purpose. To strategically manage the DON SOH Functional Communities by supporting initiatives and providing appropriate oversight.

2. Background. The goal of the DON's SOH (Occupational Series 0018) Community Management Program is to develop SOH personnel to execute their responsibilities and to provide a "roadmap" to achieve their career goals.

3. Governance

a. SOH Executive Steering Committee (ESC): The SOH ESC will meet at least annually at the discretion of DASN (Safety) to address DON-wide SOH Community Management issues. Specific goals of the ESC include integrating the SOH workforce in the DON Strategic Human Capital Plan and establishing policies and funding guidance to support the SOH workforce. DASN (Safety) will report annually to the Designated Agency Safety and Health Officer on the results of the ESC and status of SOH workforce initiatives. Membership shall include: DASN (Safety) (as SOH ESC Chair); Deputy Assistant Secretary of the Navy (Civilian Human Resources) ((DASN (CHR))); CNO N09F; and Director, SD.

b. SOH Management Group (MG): The SOH MG shall meet quarterly or at the discretion of DASN (Safety). The MG shall provide advice and assistance to DASN (Safety) on matters pertaining to life-cycle management of the SOH workforce. On an annual basis, the MG will conduct an assessment of the SOH Functional Community and develop an action plan designed to address issues identified in the assessment, including guidance on training and development for the SOH Functional Community. The MG will present the action plan to the ESC for review and approval.

(1) Voting Members:

(a) Permanent members: SOH Functional Community Manager (Chair); DASN (CHR) designee; CNO N09F designee; Headquarters Marine Corps SD designee; Director, Naval Safety and Environmental Training Center representative; and Navy and Marine Corps Career Program Managers for SOH Functional

Communities (GS-0017, 0018, 0019, 0081, 083, 0803, 1815 and 1825.).

(b) Rotating Members: Five additional members of the MG shall be assigned to represent the operational, industrial, and acquisition communities from Navy and Marine Corps Echelon II commands. Assignments shall be for two years, and no single Echelon II command shall be represented in consecutive two-year assignments. The SOH Functional Community Manager will canvas the respective communities to ensure proper representation. Commanders shall select individuals who have a deep understanding of the SOH workforce and SOH Functional Community issues to serve as rotating members of the MG.

(2) Non-voting Members: To ensure full transparency and integration with other activities ongoing in the SOH portfolio, a member of the Safety Quality Council and Fleet Operational Safety Council will serve as permanent non-voting members of the MG. Specialists, e.g., Industrial Hygiene, Naval Ordnance Safety, etc., may be invited to meetings to consult and serve as subject matter experts, but shall not have a permanent presence or voting privileges when attending MG meetings.

c. Career Field Management Councils: Career Field Management Councils supports career field management and complimentary succession planning policy for key leadership positions within each occupational series within the DON SOH Functional Community. The Councils consider strategic issues affecting the occupational series workforce and provide a forum for identification of concerns to senior leadership coupled with advanced communication of positions on strategic workforce topics. These Councils will ensure that matters affecting the DON SOH enterprise are considered with adequate time and information for senior leadership to collaborate and develop comprehensive and consolidated solutions with appropriate risk management applied.

(1) Integral to the efforts of the Career Field Management Councils is the health and life-cycle management of the SOH community. Succession planning is an essential process in meeting the DON's readiness requirements and preparing for continuity of operations within key leadership positions in the SOH workforce. This process involves continual assessment of key leadership competencies, identification of capabilities (or

gaps) in the workforce to move into those positions, and development of leadership programs to prepare employees for advancement. Anticipating workforce requirements - in terms of personnel strengths, experience, and leadership characteristics - will enable the DON to maintain its edge in identifying, developing and retaining a talented workforce. Implementation of succession plans involves all parties, including enterprise leaders, supervisors, and employees.

(2) Service Career Program Managers lead the Career Field Management Councils at a frequency they determine to be adequate to address the Functional Community's needs.

#### 4. Roles and Responsibilities

##### a. DASN (Safety) shall:

(1) Fulfill responsibilities as the SOH Functional Community Manager.

(2) Conduct a DON SOH Community environmental scan every twelve to twenty-four months to identify projected vacancies of key leadership positions and assess the capability and capacity of the community to fill those vacancies. A list of DON SOH key leadership positions will be published annually. This effort will be led by the SOH Functional Community Program Manager, with assistance from Navy and Marine Corps Career Program Managers for SOH Functional Communities, and presented to the DON SOH MG. Additionally, this review will identify employees who are currently in key leadership positions, who also:

(a) Are eligible for retirement.

(b) Have expressed interest in reassignments or advancement to positions of increased responsibility.

(c) Have completed certification and leadership training.

(d) Have acquired undergraduate or graduate academic degrees (see (6) below).

(e) Are eligible for further training and/or leadership development.

(3) The community environmental scan will also address the strategy of filling potential vacancies at the GS-13 through GS-15 and their equivalent levels, with focus on preparedness of next lower graded level to move up into positions of greater responsibility. This review will be briefed to the DON SOH ESC. Based on recommendations from the DON Functional Community Program Manager, the ESC will determine appropriate actions necessary to support the vitality and competence of the key SOH workforce, which may include:

(a) Expanding training and development options.

(b) Recommending changes to technical or leadership competencies.

(c) Building slates of prospective candidates for future positions (see (8) below).

(d) Establishing specialty tracks within the SOH workforce and identifying specific training applicable to each track (e.g., tactical, explosive, environmental).

(e) Discretion will be exercised when discussing the results of this scan, as the intent is not to target positions where the incumbent is retirement eligible. Rather, the intent is to ensure that a well-prepared talent pool is identified as part of the transition planning.

(4) Establish a formal Leader Development Program. Leadership programs vary from the more traditional classroom experiences, seminars and symposiums, to shadowing senior leaders. Each offering within the SOH Leader Development Program is intended to establish leadership competencies and build on those competencies as employees continue through the program and advance in their careers. Employees should also be encouraged to participate in other leader development training programs offered throughout the DoD.

(5) Establish a formal mentorship program for the SOH workforce, as a component of the Leader Development Program. The DON has recognized and promoted mentoring as an excellent means of leveraging experience and knowledge within the workforce. Mentoring supports succession planning and retention



by enabling more experienced employees to guide and advise junior employees through competency development, career decision-making, and exposure to advanced-level perspectives. A formal mentoring program benefits professional development mentors and mentees alike. Mentors enhance their leadership capabilities as they guide employees and demonstrate organizational values. Mentees benefit from a trusted and recognized leader who can help them through challenging assignments and answer questions about career paths.

(6) Establish various developmental programs - such as rotations - which will broaden employee exposure to not only the SOH Community, but also to the DON's global operations. Several possible options will support these developmental activities.

(a) Rotational assignments are lateral grade moves for a predetermined period, generally 30 to 60 days, which may require temporary duty funding. The employee gains knowledge by participating in stretch assignments and being exposed to other parts of the DON SOH community. Additionally, employees become more competent and proficient, and they benefit from establishing new work connections, seeing different leadership in action, and gaining a broader understanding of SOH work across the enterprise.

(b) Developmental assignments are temporary assignments or details that allow employees to gain practical experience beyond their current position. Typically, assignments of 90 to 120 days have a defined purpose: the employee will learn a new skill or task, advance his or her current level of proficiency, or step into a different role as a manager or leader.

(c) Stretch assignments entail a special project to challenge and inspire employees and support self-initiated growth. Employees can continue in their current position but will advance their skills and abilities as they take on the new challenge.

(7) Support its workforce as individuals seek to obtain recognized certifications (e.g., Certified Safety Professional). Certification will serve to establish professional standing. Certification can serve as a critical factor as employees compete for key positions. Developing and retaining skills

through this investment will demonstrate DON's commitment to its workforce. Currently, certification funding is organic to the individual and command as available while a centralized funding source is investigated.

(8) Establish and promote an annual in-person training symposium for key SOH leaders to share information and maintain the vitality of the workforce. Topics for this event will include but are not limited to: "health" of the SOH workforce, pending changes in structure and/or competencies, strategies for recruitment and retention, and expansion of training and development programs. In addition, this annual training symposium will provide a forum for continued leadership exposure to related topics such as budget, manpower, and personnel implications.

(9) Ensure, emphasize, and demonstrate a fair, equitable, competitive, and transparent recruitment and selection process for DON SOH key leadership positions.

b. The DON SOH Functional Community Program Manager, filled by the DASN (Safety) Director of Occupational Safety and Health, executes the programs and policies in support of the DON SOH community, and is responsible for promoting and securing training and professional development for the workforce. Included in this responsibility is communicating information on training courses, schedules, and application processes with all DON SOH employees. As the advocate for the DON SOH talent pool, the Functional Community Program Manager will notify DON SOH employees of DON SOH key leadership position vacancy announcements and enterprise-wide developmental opportunities, as appropriate. The Functional Community Program Manager must also evaluate the efficacy of components of the succession planning/leadership building strategy (e.g., developmental and certification programs, Leadership Development Program, etc.) and make recommended changes to the strategy and approach to the SOH MG and SOH ESC. Specifically, the Functional Community Program Manager shall:

(1) Publish a guide on recruitment and selection criteria for use by hiring authorities for DON SOH key leadership positions, which will be approved by the DON SOH ESC. This guide will include recommended panel membership and size for reviewing candidate applications and an enterprise criteria

matrix linked to standardized leadership questions. Commands are encouraged to augmented published criteria to account for local and Command-unique requirements.

(2) Develop, with guidance from the DON SOH MG and in conjunction with the leadership position's Director, Civilian Human Resources, Human Resources Office, and Operations Center, a slating process to identify an initial pool of potential candidates for key leadership positions; candidates will still have to meet minimum qualification standards, and merit system principles will be adhered to throughout the recruitment process.

c. Navy and Marine Corps SOH Functional Career Program Managers shall:

(1) Work closely with the DON SOH Functional Community Program Manager in developing leadership capacity among careerists aspiring to take on greater responsibility and move into key leadership positions.

(2) Support succession planning efforts through participation in forums required to identify key leadership positions, competencies required for these positions, and component workforce assessments.

(3) Ensure that appropriate assessments are conducted on SOH staff in respective commands.

(4) Ensure, identify, and support developmental opportunities for SOH staff in respective commands.

(5) Coordinate across command and components to make developmental opportunities meaningful, challenging, and cost effective.

d. Supervisors. Supervisors have a critical and direct role in succession planning. Their responsibilities begin with on-the-job training and continue with performance management and employee-counseling programs. Supervisors, by virtue of their one-on-one engagement with employees, are in a prime position to assess an employee's potential for increased responsibilities and advancement. It is incumbent upon supervisors to encourage and challenge their subordinates to take on positions of greater

responsibility, which often lead to key leadership positions. Supervisor responsibilities include:

(1) Performance Management. The performance-management cycle is an essential element in succession planning. In addition to standard performance discussions around established performance objectives, supervisors will engage employees with discussions about aspirations, interest in training and development, and career goals. These are critical conversations that help both parties reach agreement on employees' Individual Development Plans (IDPs) and performance standards. Throughout the performance-management cycle, supervisors will have periodic conversations with employees to ensure the employees are on-track with their IDP and performance objectives. At evaluation time, supervisors will again engage with employees to provide the necessary assessment and discuss any changes for the follow-on cycle.

(2) Training and Development. Supervisors will actively support previously agreed-to employee training, adjusting as necessary, any work assignments and schedules. In doing this, supervisors will project well in advance the training and development commitments in coordination with anticipated workloads. Should workload and training conflict, supervisors will use this as an opportunity to bring in talented individuals to address the increased workload via a developmental assignment. Additionally, when an employee returns from training, he or she will be provided with work assignments designed to put the newly acquired knowledge and skills to use.

(3) Mentors. It is important that supervisors share their wisdom, thoughts, and ideas in building the capability of aspiring careerists. Their experiences and lessons learned to this point in their career can be invaluable in providing advice and assistance to those seeking to take on greater responsibilities. Discussions mentors have with mentees are typically around organizational culture, career tracks, and invaluable leadership lessons learned. Supervisors as mentors have a tremendous opportunity to positively impact an employee's perspective on career options, development and growth, and can help build the talent pool of future leaders.

(4) Risk Management. Provide training in risk management skills needed to implement the Navy and

organization's SOH policies and programs in accordance with reference (q).

e. Employees. Employees recognize and accept responsibility for establishing their own career goals. Employees will proactively pursue career-enhancing opportunities by executing the following responsibilities:

(1) Preparation. Employees will become familiar with all opportunities for professional development, many of which are covered in the SOH Career Development Plan. For those aspiring to leadership positions, discussions with their supervisor entail acquiring the competencies associated with leadership positions and involvement in leader development programs as outlined above. Employees should use their IDP as a roadmap to acquiring leadership competencies.

(2) Programs. Employees will explore all training, development, and certification programs offered to the SOH workforce that supports their career goals. Supervisors will support employees' efforts to participate in the leader development programs consistent with where they are on their career path.

(3) Training. Employees, in discussion with their supervisors, will build an IDP annually that serves as an agreement between the employee and the supervisor. It is vital that the employee and supervisor honor that agreement in the execution of the IDP.

(4) Progression. Employees are encouraged to seek positions of increased responsibility. Lateral moves provide exposure to new skills and may address competency gaps. Through organizational and geographic moves, employees gain new perspectives and knowledge while building new competencies.

(5) Certification. Employees will pursue certification courses and complete necessary leader development training that supports their career aspirations.

(6) Mentees. Employees should seek out a mentor. A mentor can be already in a SOH key leadership position or someone outside of the organization. The intent is to establish a rapport with someone the employee trusts, and who can provide

career development advice. Mentors should not be in an employee's current chain of command. Employees are encouraged to participate in the SOH mentoring program.

(7) Compliance. Employees (military and civilians) will follow safe practices including, but not limited to: compliance with workplace SOH standards; proper use of equipment, tools, and personal protective equipment; compliance with medical surveillance program requirements; and prompt reporting to management any unsafe conditions or work practices.

**SECRETARY OF THE NAVY SAFETY EXCELLENCE AWARDS**

1. Background. The Annual SECNAV Safety Excellence Awards were established to recognize and congratulate those Navy and Marine Corps commands that have demonstrated exceptional and sustained safety excellence. The objective is to highlight activities that have excelled in improving warfighting and mission readiness through professional risk management in the elimination of preventable deaths, injuries, occupational illnesses, infrastructure and materiel losses, and mission degradation. The awards emphasize the unique importance of safety as a top DON priority.

2. Responsibilities

a. DASN (Safety):

(1) Coordinates with CNO and CMC to implement and execute the SECNAV Safety Excellence Awards program. The SECNAV Safety Excellence Awards will be determined from the CNO and CMC annual safety award winners.

(2) Prepares an All-Navy Message (ALNAV) announcing the SECNAV Safety Excellence Awards submission cycle.

(3) Convenes awards selection boards to determine the winners from submitted nominations.

(4) Prepares an ALNAV announcing the award winners.

b. CNO and CMC:

(1) Ensure their respective Service nominees meet the objectives and criteria for the SECNAV Safety Excellence Awards program.

(2) Provide nomination packages for the Ashore, Afloat, Aviation, Expeditionary, Safety in Acquisition, and Special Emphasis Area Program of Note categories, to include a point of contact, telephone number, and e-mail for each nominee, no later than 1 April in preparation for awards selection boards review.

(3) Provide members, as requested by DASN (Safety), to serve on the SECNAV Safety Excellence Awards selection boards.

3. Areas of Competition and Awards. SECNAV Safety Excellence Awards categories include:

a. Ashore. There will be one award for this category. The Ashore award category includes all shore-based Navy and Marine Corps industrial and non-industrial activities. Examples of activities in this category include: shipyards, shore intermediate maintenance activities, regional maintenance centers, public works departments, depots, logistics bases, stations, bases, training facilities, research and development laboratories, Navy medicine hospitals, facilities and activities, and deployable units located ashore not otherwise eligible for ship or aviation safety awards.

b. Afloat. There will be one award for this category. The Afloat category includes commissioned afloat Navy units and civil service manned ships and activities. Examples of afloat units in this category include: large deck combatant, surface combatant, amphibious, littoral warfare, submarine, and auxiliary (Military Sealift Command operated).

c. Aviation. There will be one award for this category. The Aviation category includes units and activities that operate aircraft. Examples of aviation units in this category include: Navy active duty, Marine Corps active duty, Navy Reserve, Marine Corps Reserve, and naval air training.

d. Expeditionary. There will be one award for this category. The Expeditionary category includes all Navy and Marine Corps units and activities that have significantly improved safety for naval forward operating units, e.g., Navy Construction Battalions, Marine Corps operational ground units, etc.

e. Safety Integration in Acquisition. There will be one award for this category. The award recognizes Navy or Marine Corps teams or offices from commands that have an acquisition mission and that have effectively integrated safety throughout the acquisition process.

f. Special Emphasis Area Program of Note. There may be multiple awards for this category. The category includes all Navy and Marine Corps activities that are not being recognized



by another SECNAV Safety Excellence Award category. The Naval Safety Center and/or Commandant, Marine Corps SD can earmark quality nominations packages to DASN (Safety) that should be considered for this special recognition. Award submissions must clearly demonstrate exceptional safety leadership initiatives in a specific special emphasis area or one of the award content requirement areas. Nominated programs should have the potential to significantly improve safety performance on a service-wide level.

#### 4. SECNAV Safety Excellence Award Criteria and Nomination Process

a. SECNAV awards will be selected from the CNO/CMC awards package winners to preclude the necessity to develop a separate and distinct SECNAV Awards package.

b. Ashore, Aviation, Afloat, Expeditionary, Safety in Acquisition, and Special Emphasis Area Program of Note Safety Award packages correspond to the CNO/CMC requirements and must ensure the following components are included:

(1) Package content must be clearly identified in sections, concisely presented with minimal pictures, graphically accurate, and overtly demonstrative of progressive safety goals and achievements. Achievements should be supported by quantitative and qualitative data, wherever possible.

(2) Required elements:

(a) Summary and/or explanation of risk management and/or mishap prevention efforts with focus on applicable high risk evolutions applicable to the command and/or operational environment.

(b) 3-year safety performance trends, e.g. hazards identified and abated, near-misses reported, mishap trends, and what the trends demonstrate. (Note: This element is not required for Safety in Acquisition packages.)

(c) High Velocity Outcomes, significant lessons learned, best practice adaptation, and implementation to enhance the command safety program.

(d) Safety Management System implementation and external validation.

(e) Safety culture and efforts related to SEAs and programs.

(f) Safety in Acquisition packages shall also include:

1. Engineering. How were safety engineering principles, methodologies, and rigor integrated into the program, and how did that lead to overall safety improvement in the program? How were safeguards to protect personnel, equipment, and environment embedded in the system?

2. Hazard Mitigation. How were hazard mitigation strategies for safety issues identified and developed? What documentation and ongoing monitoring is the team and/or office implementing to support hazard tracking and analysis?

3. Barriers. What barriers, such as cost constraints, schedule drivers, and performance parameters, were overcome to ensure safety was integrated into the system?

4. Future Impact. What new safety methods or unique implementation of existing safety methods in this new acquisition will prove valuable in other acquisition programs?

(g) All submission packages must be endorsed via the nominee's chain of command.

(3) Nominations will only be accepted through the CNO and CMC safety award processes and must be received by DASN (Safety) by 1 April for consideration.

## 5. Selection of Winners

a. Commands, organizations, and teams selected for the SECNAV Safety Excellence Awards must have demonstrated critical initiatives and a cultural philosophy that fulfills their responsibility to maintain a mission-ready, capable Navy and Marine Corps.

b. Award eligibility and selection will be determined based on criteria established in respective CNO/CMC awards instruction and this policy.

c. DASN (Safety) shall submit the award selections to SECNAV no later than 1 May each year.

d. Individual awards are not presented at the SECNAV award level.

6. Recognition of Recipients

a. Recipients of the SECNAV Safety Excellence Awards shall be announced in an ALNAV.

b. Recipients for the Ashore, Afloat, Aviation, Safety in Acquisition, and Expeditionary categories will be presented with a commemorative trophy, a "Memorandum For" signed by SECNAV identifying the recipient's accomplishments, and SECNAV's safety flag that recipients may fly for a period of 1 year from the date of receipt and/or presentation.

c. Recipients for the Special Emphasis Area Program of Note category will be presented with a "Memorandum For" signed by SECNAV identifying the recipient's accomplishments and SECNAV's safety flag that recipients may fly for a period of 1 year from the date of receipt and/or presentation.