SECNAVINST 5100.10K
ASN (EI&E)
12 MAY 15

SECNAV INSTRUCTION 5100.10K

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) DASN (Safety) Endorsement of DON Participation in
           Tri-Service, DoD, Interagency, and Public-Private
           Safety Projects and High Visibility Safety Studies
       (5) Secretary of the Navy Safety Excellence Awards

1. <u>Purpose</u>. 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. <u>Cancellation</u>. SECNAVINST 5100.10J, SECNAVINST 5305.4B

3. <u>Applicability</u>

    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), 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, 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. <u>Policy</u>. 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 (be) and shall demonstrate effective alignment with enclosure (3) of this instruction.

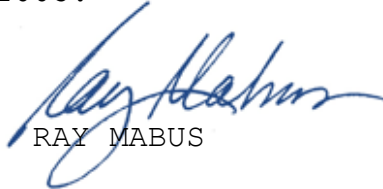5. <u>Responsibilities</u>. See enclosure (2).

6. <u>Records Management</u>. Records created as a result of this instruction, regardless of media and format, shall be managed per SECNAV Manual 5210.1 of January 2012.

7. <u>Forms and Reports</u>

    a. OSHA-7 Form (Rev. 9/93), Notice of Alleged Safety or Health Hazards, is available electronically from the Occupational and Safety and Health Administration website at: https://www.osha.gov/.

    b. The reporting requirements contained in enclosure (2) paragraphs 10j and 11e are assigned SECNAV Report Control Symbol #5102-1.

    c. The reporting requirements contained in enclosure (2), paragraph 11f and enclosure (3), paragraph 3a(9) are exempt from reports control per paragraphs j and n respectively of Part IV, SECNAVINST 5214.1 of December 2005.

RAY MABUS

Distribution:
Electronic only, via Department of the Navy Issuances Web site
http://doni.documentservices.dla.mil/.

REFERENCES

(a) 10 U.S.C. Chapter 503 § 5011
(b) 5 U.S.C. § 7902
(c) 5 U.S.C. § 7101 to 7135
(d) 10 U.S.C. § 1074f
(e) 50 U.S.C. § 2406, 2511, (codifying Executive Order 12344, Naval Nuclear Propulsion Program, 1 Feb 1982)
(f) E.O. 12196
(g) 29 CFR Part 1960
(h) Joint Publication 1-02, Department of Defense Dictionary of Military and Associated Terms of 8 Nov 2010 as amended through 15 Jan 2015
(i) Joint Publication 3-0, Operations of 11 August 2011
(j) DoD Instruction 1400.25 Volume 250 of 18 November 2008
(k) MIL-STD-882E, DoD Standard Practice for System Safety of 11 May 2012
(l) DoD Directive 3000.10 of 10 January 2013
(m) DoD Instruction 4140.62, Change 1 of 19 February 2014
(n) DoD 4145.26-M, DoD Contractor's Safety Manual For Ammunition and Explosives, 13 March 2008
(o) DoD Directive 5000.01 certified current as of 20 Nov 2007
(p) DoD Instruction 5000.02 of 7 January 2015
(q) DoD Directive 5010.42 of 15 May 2008
(r) DoD Instruction 6055.01 of 14 October 2014
(s) DoD Instruction 6055.04, Change 2 of 23 January 2013
(t) DoD Instruction 6055.05 of 11 November 2008
(u) DoD 6055.05-M, Occupational Medical Examinations and Surveillance Manual, 2 May 2007
(v) DoD Instruction 6055.06 of 21 December 2006
(w) DoD 6055.06-M, DoD Fire and Emergency Services Certification Program, 23 February 2006
(x) DoD Instruction 6055.07 of 6 June 2011
(y) DoD Instruction 6055.08 of 15 December 2009
(z) DoD Directive 6055.9E of 19 Aug 2005
(aa) DoD Instruction 6055.11 of 19 August 2009
(ab) DoD Instruction 6055.12 of 3 December 2010
(ac) DoD Instruction 6055.15 of 4 May 2007
(ad) DoD Instruction 6055.16, Change 1 of 8 December 2011
(ae) DoD Instruction 6055.17, Change 1 of 19 November 2010
(af) DoD Directive 6200.04 of 23 April 2007, Certified as Current
(ag) DoD Directive 6490.02E, Change 1 of 3 October 2013

(ah) DoD Policy Memo: Defense Budget Priorities and Choices of
      January 2012
(ai) DoD Mission Assurance Strategy of April 2012 (NOTAL)
(aj) Policy Memo: Incorporation of Health-Based Criteria into
      Chemical, Biological, Radiological, and Nuclear Defense
      Plans, Policies, and Acquisition Programs of 29 Jun 2013
(ak) SECNAVINST 3400.4
(al) SECNAVINST 3900.39D
(am) SECNAVINST 5000.2E
(an) SECNAVINST 5430.57G
(ao) SECNAVINST 5100.14D
(ap) SECNAVINST 5100.16B
(aq) SECNAVINST 5100.17
(ar) SECNAVINST 5211.5E
(as) SECNAVINST 5420.188F
(at) SECNAVINST 5430.7Q
(au) SECNAVINST 5720.42F
(av) SECNAVINST 11260.2A
(aw) SECNAVINST 12273.1A
(ax) Department of the Navy Transformation Plan FY 2014-2016
      of 2 Jul 2014
(ay) General Accounting Office (GAO) Report, DoD Needs Complete
      Assessments to Improve Future Civilian Strategic Workforce
      Plans, GAO-12-1014 of 27 Sep 2012
(az) SECNAV Memorandum, Department of the Navy (DON) Safety of
      6 Jul 2009 (NOTAL)
(ba) SECNAV Memorandum, Implementation of the Naval Audit
      Service Hazardous Noise Recommendations of 22 Dec 2011
(bb) SECNAV Memorandum, Department of the Navy (DON) Objectives
      for Fiscal Year 2013 (FY13) of 28 Sep 2012 (NOTAL)
(bc) Memorandum, Assistant Secretary of the Navy (Energy,
      Installations & Environment) to Chief of Naval Operations
      and Commandant of the Marine Corps Medical Surveillance
      Completion Rates of 4 Aug 2010 (NOTAL)
(bd) Memorandum, DASN (HR) to DASN (Safety), Designation as
      Safety & Public Safety Functional Community Manager of
      17 Apr 2012 (NOTAL)
(be) International Civil Aviation Organization (ICAO), Safety
      Management Manual (SMM); Doc 9859 AN/474, Third Edition
      2013

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.

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

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

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

    f. Acts as authority and grantor of Explosives Secretarial Certifications and Exemptions when operational necessity requires deviation from the requirements of references (z) and (ad).

    g. 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 Explosives Safety Board, per references (z) and (ad).

h. 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.

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

j. 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 (z) and (ad).

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

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 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 integration and interoperability (I&I), acquisition safety policy, guidance, and safety risk management.

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

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

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

c.   Provide 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 (x).

7. The Naval Inspector General (NAVINSGEN) 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 Special Emphasis Areas (SEAs) of safety concern.

8. The Auditor General of the Navy (AUDGEN) conducts audits on behalf of ASN (EI&E) to determine status of Navy and Marine Corps implementation of 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, Department of Defense (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 Safety and Occupational Health, 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 to inform strategic program direction and ensure continuous safety performance improvement.

h. Oversees implementation of management systems in Naval Safety and their alignment with enclosure (3) of this instruction.

i. Presents an annual In-Progress Review to the Deputy Under Secretary of Defense (Installations and Environment) on DON Safety Program performance.

j. Coordinates and presents an annual DON Safety Program Review (SPR) to the DON executive leadership.

k. Establishes, directs and oversees the Acquisition Safety Steering Committee (ASSC) and the Management System Advisory Committee for Safety (MSACS).

l. Serves as the DON Functional Community Manager for the Safety and Public Safety Community per references (j), (aw), (ay), and (bd), ensuring a competent, high performing DON safety and public safety workforce.

m. Establishes SEAs to focus enterprise-wide attention on hazards of significant, enduring, or emerging risk to the Department.

n. Oversees integration of references (aj) and (ak) into DON installation emergency management policy and programs.

o. Oversees the DON Laser Safety Program and the activities of the DON Laser Safety Review Board per reference (ao).

p. Serves as Chair, DON Gas-Free Engineer Certification Board for maritime operations per reference (ap).

q. Oversees the Navy Weight Handling Program for Shore Activities per reference (av).

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 I&I.

d. Ensure safety considerations are included in the Concepts of Operations, Joint Capabilities Integration and Development System, capability definition documentation, and Urgent Universal Needs Statement.

e. Per reference (x), 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 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 5100/1 can be downloaded from the following Naval Forms website location: https//navalforms.documentservices.dla.mil/formsDir/ SECNAV 5100 1T 10914.pdf

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 (r), ensure higher echelons and/or headquarters conduct assessments not less than every 48 months to measure the effectiveness of each command's progress in conformance with DON Safety Program policy.

l. When formally requested, provide to the SECNAV, through DASN (Safety), assistance in the formulation of an annual comprehensive SPR for DON executive leadership 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 (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 Occupational Safety and Health Administration (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. Provide members to the ASSC and MSACS as requested by DASN (Safety).

r. When formally requested, advise DASN (Safety) of 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.

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

12. OPNAV N093 shall:

a. In addition to the primary reporting relationship to the CNO, and when formally requested, serve in an additional duty (ADDU) capacity by providing occupational and environmental health program advisement and assistance to ASN (EI&E), through DASN (Safety), in alignment with references (a), (r), and (t).

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. OPNAV 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, serve in an ADDU capacity by providing safety program advisement and assistance to the ASN (EI&E), through DASN (Safety), in alignment with references (a), (r), and (t).

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 to:

(1) Provide safety and occupational health 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 (o) 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 (o) 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.

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

MANAGEMENT SYSTEMS IN NAVAL SAFETY

1. <u>Executive Summary</u>

    a. 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 (q), (ax), and (az). 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 Department of Defense Mission Assurance Strategy, reference (ai).

    b. This enclosure does not provide detailed procedures, job instructions, or documentation requirements for Navy and Marine Corps safety management. A follow-on Strategic Plan will provide general guidance to the DON for setting and achieving initial objectives. The intention of the plan is not to consolidate risk management programs, but to promote synergies that eliminate redundancies while ensuring safety program effectiveness in a constrained fiscal environment. Ultimately, the plan will assist senior leaders across the DON in assessment and reduction of safety program risk while prioritizing safety program investments.

2. <u>Background</u>

    a. "If the Department of the Navy were a private company, it would be the second largest in the world by employees, it would be the third largest in the world by assets and it would be the fifth largest in the world by budget or revenue authority. It is truly a global, complex, complicated and

incredibly vital and necessary part of America and of our
national defense." (HON Ray Mabus, Secretary of the Navy,
Surface Navy Association, 17 Jan 2013). It is DON's adept
management of event risk in evolving conditions of uncertainty
that solidifies the DON as a global leader in operational
resilience and stability.

   b. Command and control, in conjunction with engaged
leadership, and responsibility and accountability, define 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.

   c. 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.

   d. 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.

e. Resource requirements will be minimal, as the management system leverages existing policies, procedures, and practices. The most significant change will be the application of the business process outlined in paragraph 3, below, for those activities that do not already do so.

f. DON recognizes established management systems that improve safety performance. Examples include:

(1) ANSI/AIHA Z10-2012, Occupational Health and Safety Management Systems, June 2012

(2) International Maritime Organization, *International Safety Management (ISM) Code*, 1993

(3) Process Review and Measurement System (PR&MS), *Navy Safety and Occupational Health Program Manual*, OPNAVINST 5100.23G, 30 Dec 2005

(4) Occupational Health and Safety Advisory Services (OHSAS) Project Group, *Occupational Health and Safety Management System (OHS-MS)* 18001:2007 and 18002:2008

(5) Federal Aviation Administration, Safety Management System (SMS) Doctrine, Order VS 8000.1, August 2006

(6) Any other management system that meets the criteria for recognition under the Occupational Safety and Health Administration's Voluntary Protection Program (VPP) guidance at: Policies and Procedures Manual; CSP 03-01-003, April 2008

(7) Naval Sea Systems Command, *Submarine Safety (SUBSAFE) Program*, Submarine Safety (SUBSAFE) Certification Manual, NAVSEA 0924-062-0010, Rev. C

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. This business process, Plan-Do-Check-Act (PDCA), is described in more detail in paragraph 3b of

this enclosure. This construct does not specify safety performance criteria, nor does it give detailed specifications for the design or framework of a command's management system. All management systems developed and implemented as part of the Naval Safety program shall include the following fundamental elements:

(1) Leadership. Leadership demonstrates its 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. By focusing on identification, analysis and control, risk management proactively reduces risk to mission execution.

(a) Hazard Identification. Risks are prioritized per their potential impact on mission success.

(b) Risk Assessment. DON will apply systems thinking to risk assessment. It is essential that, as system components are analyzed, the connection among components is understood and retained throughout the analysis. Gaps identified through the risk analysis process yield insight into alternative courses of action (COAs) to control risks. Through the application of the PDCA business process, the alternative COAs will be integrated into plans of action and milestones (POAMs) and include specifics on the resources required.

(c) Risk Acceptance. The impact of each COA supported by POAMs and resource requirements is presented for risk decision making at the appropriate level. Where a higher level of risk acceptance is required, the process is repeated at a higher organizational level.

(d) Control Implementation. Once a COA is decided upon, requirements are established to enable the necessary resourcing and implementation.

(e) Monitoring. The PDCA business process will be used to monitor risk control. PDCA ensures adjustments to implementation as new information becomes available. Changes in operational system components or the organization at large, the appearance of new risks, or other indicators of low- or non-performance may warrant a change in direction. As adjustments

to the COA are made, POAMs are adapted, resource requirements adjusted, and the PDCA process is in constant play to ensure remediation.

(9) Safety Performance Monitoring. Performance indicators will be derived from a broad range of sources including self-assessments, internal inspections, external inspections, internal audits, external audits such as those of the AUDGEN, safety and industrial hygiene surveys, medical surveillance data, mishap and hazard reporting, mishap investigations, NAVINSGEN 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. 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.

(10) Management System Monitoring. Monitoring of management systems begins at the strategic level and cascades through the organization. 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 of this enclosure.

b. Business Process. The business process incorporates a PDCA approach, an iterative four-step management method used for the control and continuous improvement of processes and products. 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 COAs 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.

DASN (SAFETY) ENDORSEMENT OF DON PARTICIPATION IN TRI-SERVICE, DoD, INTERAGENCY AND PUBLIC-PRIVATE SAFETY PROJECTS AND HIGH VISIBILITY SAFETY INITIATIVES

1. <u>Policy</u>

    a. The following safety-related projects require DASN (Safety) endorsement before committing DON resources:

        (1) Initiatives with non-DON partners, and
        (2) DON studies with the potential to generate significant public or political interest.

    b. The following litmus test shall be applied to ensure that such projects warrant use of DON resources:

        (1) The project must be a DON-wide priority driven by mandate or based on direct evidence of safety risk;

        (2) The project must incorporate relevant DON stakeholder considerations including policy, programmatic, and technical aspects from recognized subject matter experts;

        (3) Value added to the intended customer must be clearly substantiated; and

        (4) Initial scope will be limited to "proof of concept" scale to show relevance and efficacy ahead of full DON implementation.

2. <u>Process</u>. For each such safety project, the project manager shall submit an endorsement package to DASN (Safety) that clearly demonstrates the PDCA approach described in paragraph 3b of enclosure (3).

3. <u>Procedure</u>

    a. The (proposed) project package shall be vetted through and endorsed by the originator's chain of command and relevant stakeholders, e.g., Navy Safety Quality Council, CMC SD, comptroller, applicable working groups, and technical authorities.

b. Each package shall provide a concise description of risk for the recommended COAs developed through the analysis and results.

c. The ASSC or MSACS will review the project proposal prior to presentation to DASN (Safety) for approval.

d. DASN (Safety) will establish frequency of review during project execution on a case-by-case basis. A final brief on the outcome of the effort shall also be provided to DASN (Safety) that clearly demonstrates project worthiness and potential for broader implementation.

SECRETARY OF THE NAVY SAFETY EXCELLENCE AWARDS

1. <u>Background</u>

    a. The 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.

    b. Reference (az) provides SECNAV's strategic guidance on key efforts to increase the effectiveness and efficiency of the entire DON in the current climate of budgetary restrictions and uncertainty. To align with these objectives, the SECNAV Safety Excellence Award categories are hereby consolidated.

2. <u>Responsibilities</u>

    a. DASN (Safety):

        (1) Coordinates with CNO and CMC to implement and execute the SECNAV Safety Excellence Awards program.

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

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

        (4) Prepares an ALNAV message announcing the award winners and the date and location of the awards ceremony.

        (5) Coordinates the planning for and scheduling of the annual awards ceremony, at the direction of, and hosted by, SECNAV or the Secretary's designated representative, to recognize award recipients.

b. CNO and CMC:

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

        (2) Collate SECNAV nomination packages for the Ashore, Afloat, Aviation, Expeditionary, and Off-Duty Safety categories, to include a point of contact, telephone number, and e-mail for each nominee, no later than 1 April each year 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.

        (4) Ensure Awards selection boards deliver the award winner results annually to DASN (Safety) no later than 1 April each year.

        (5) Provide administrative support, as required, to DASN (Safety) in the processing of the SECNAV awards selection boards.

3. <u>Areas of Competition and Awards</u>. CNO and CMC safety award recipients automatically compete for SECNAV Safety Excellence Awards in their respective categories. The awards are:

    a. <u>Ashore</u>. 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. The process and format for submitting a nomination is delineated in paragraph 6 of this enclosure.

    b. <u>Afloat</u>. 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. <u>Aviation</u>. There will be one award for this category. The Aviation category includes units operating under aircraft controlling custodians delineated in reference (b). 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. <u>Expeditionary</u>. 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. <u>Off-duty Safety</u>. There will be one award for this category. The Off-duty category includes all Navy and Marine Corps units and activities that have significantly reduced the damage to mission readiness caused by private motor vehicle, recreation, and/or off-duty mishaps.

f. <u>Safety Integration in Acquisition Award</u>. 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.

g. <u>Emerging Safety Center of Excellence</u>. There will be one award for this category. The category includes all Navy and Marine Corps activities that have not previously received a SECNAV Safety Excellence Award. Award submissions must clearly demonstrate exceptional safety leadership initiatives and the potential to significantly improve safety performance on a service-wide level. The format for Emerging Safety Center of Excellence Award submissions will depend upon what the activity is demonstrating. Submissions will be no more than five pages in length, minus photographs, tables and figures.

4. <u>Award Criteria and Selection of Winners</u>

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 will be determined based on criteria established in this instruction.

    c. DASN (Safety) shall submit the award selections to SECNAV no later than 15 April each year.

    d. CNO and CMC awards submitted for the SECNAV Safety Excellence Awards cycle shall be formatted per the criteria delineated in paragraph 6 below.

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

5. Recognition of Recipients

    a. Recipients of the SECNAV Safety Excellence Awards shall be announced in an ALNAV message and will be commended in a Washington DC-area ceremony hosted by SECNAV or his or her representative.

    b. Recipients 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 presentation.

6. SECNAV Safety Excellence Award Formats and Nomination Process

    a. Ashore, Aviation, Afloat, Expeditionary, and Off-Duty Safety Award packages shall be formatted as follows:

        (1) Packages are not to exceed five pages with contents being clearly identified in sections, concisely presented with minimal pictures, graphically accurate, and overtly demonstrative of progressive safety goals and achievements.

            (a) Section 1. Introduction. Statement of command mission and/or function.

            (b) Section 2. Leadership and Personnel Participation. Provide examples of how leadership is directly and actively involved and supports the command safety program and how the command personnel actively participate in the safety program, e.g., reporting of hazards.

(c) Section 3. Safety Risk Management.

1. Summary and/or explanation of risk management and/or mishap prevention efforts.

2. 3-year safety performance trends, e.g., hazards identified and abated, near-misses reported, mishap trends, and what the trends demonstrate.

3. Top three lessons learned, best practice adaptation, and implementation to enhance the command safety program.

(d) Section 4. Oversight. Provide examples of how oversight is implemented including periodicity, documentation, and follow-up on required corrective actions.

(e) Endorsement. All submission packages must be endorsed via the nominee's chain of command and posted to the DASN (Safety) inbox at dasnsafety@navy.mil. Only nominations received by DASN (Safety) by 1 April will be accepted and considered.

b. Safety Integration in Acquisition Criterion. A fundamental element of reference (l) is the integration of safety into weapon systems design to enhance mission accomplishment. Safety and effective risk management should be engrained early in weapon systems design as intrinsic to acquisition. Toward this end, SECNAV will present the annual Safety Integration in Acquisition Award to a team or office that has demonstrated exceptional success in identifying and mitigating safety hazards during systems acquisition, and has best incorporated safety and operational risk management throughout systems design and implementation.

(1) Eligibility. Navy or Marine Corps commands with an acquisition mission may nominate up to two teams or offices per command. Nominees must have made significantly greater contributions and impacts in integrating safety into their programs, projects, or systems than typically expected.

(2) Criteria and Nomination Process. Each nomination package should address as many of the following criteria as applicable:

(a) Culture. How was the team's or office's culture changed or reinforced to focus on early identification and resolution of safety issues?

(b) 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?

(c) Lessons Learned. How were lessons learned from legacy or similar programs used to help mitigate safety risks in the new acquisition program?

(d) Hazard Mitigation. How were hazard mitigation strategies for safety issues identified and developed?

(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?

(5) Documentation and Monitoring. What documentation and ongoing monitoring is the team and/or office implementing to support hazard tracking and analysis?

(6) Nomination packages should include the following:

(a) Endorsement of the nominee via the chain of command.

(b) A cover page that includes the program name; nominating command(s); name and position title, address, telephone number, and e-mail of the team or office leader; and names and positions of all members involved in integrating safety into the program.

(c) A Microsoft Word or portable document format (.pdf) document that addresses the criteria above. The document

should be no longer than 1,000 words. Up to three pages of attachments may also be included if they substantially clarify achievements.

        (d) Achievements should be supported by quantitative and qualitative data, wherever possible.

        (e) Achievements should be explained in a way that can be easily understood and appreciated by the general public; generalities, acronyms, and excessive use of superlatives should be avoided.

        (f) Submission of Nomination Packages. All submission packages must be endorsed via the nominee's chain of command and submitted to the DASN (Safety) inbox at no later than close of business 1 April to dasnsafety@navy.mil. Confirm receipt via separate e-mail.