



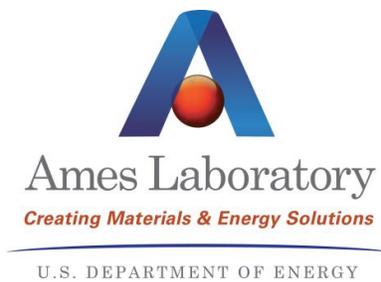
AMES  
LABORATORY

STRATEGIC PLAN 2016 - 2020  
ENVIRONMENT, SAFETY, HEALTH AND  
ASSURANCE/TRAINING AND DOCUMENTS



Ames Laboratory  
*Creating Materials & Energy Solutions*

U.S. DEPARTMENT OF ENERGY



The Ames Laboratory ESH&A strategic plan establishes a vision and mission, and defines goals, objectives, and tasks designed to guide comprehensive health and safety improvement efforts from January 1, 2016 through December 31, 2020 in support of Laboratory Priority Goals. The plan also defines ESH&A strategies for improving expertise and establishing a mentoring system.

## **Vision**

Innovating a safe, healthy, and sustainable community.

## **Mission**

ESH&A will partner with scientists, staff, and students to provide quality safety and health services, education, and technical guidance through engagement and expertise.

## **Goals**

### Partnerships

ESH&A will nurture partnerships that grow health and safety programs through the enhancement of safety culture, improved education, and increased engagement.

### Performance

ESH&A will advance and evaluate health, safety, and operational performance through process improvement and applicable metrics.

### Promote

ESH&A will raise awareness by promoting and marketing health and safety activities and ESH&A services and expertise in a professional and engaging manner.

### Team

ESH&A will foster teamwork within ESH&A and the Laboratory by demonstrating respect, efficiency, and accountability, and by mentoring others to ensure a consistent message and continuity of operations.

## **ESH&A Guiding Principles**

### Respect

We embrace diversity and treat everyone with courtesy, equality, fairness, and respect.

### Integrity

We operate openly and hold high ethical standards.

### Responsibility

We are accountable to Ames Laboratory and to each other.

### Agility

We are devoted to constant innovation and improvement in our services.

### Boldness

We are results focused and willing to make tough decisions to ensure a healthy future for the Laboratory.

### Collaboration

We communicate and work as a team, and partner with the Laboratory community to solve problems.

### Dedication

We are proudly committed to providing outstanding customer service.

### Commitment

Laboratory employees are our most valuable asset. We are dedicated to supporting all Laboratory activities and doing our best to provide a safe and healthy work environment.

## ESH&A Strategic Planning Activities

The Safety Performance Improvement Plan (SPIP) was developed in response to the Ball Mill Event in June 2015 and findings from the January 2015 Work Planning and Control (WP&C) Assessment. Section 1.3 of the SPIP outlines the need for an ESH&A Strategic Plan. The SPIP also defines several short, intermediate, and long term objectives, assigns responsible subject matter experts (SMEs), and establishes milestones. Several of the SPIP activities (many of which have been initiated) fall under the ESH&A strategies. Other objectives and tasks have been included which augment ESH&A efforts.

Performance measures will be evaluated and reported based on task completion timelines, or on a fiscal/calendar year basis. In support of the annual employee performance appraisal cycle, ESH&A will complete an annual Strategic Planning report for the previous calendar year by January 31. Objectives, tasks, and performance measures will be evaluated, modified, and/or created based on outcomes and Laboratory strategic planning efforts.

### Overview of the Four Strategic Planning Goals

#### Goal 1: Partnerships

- Safety Culture
- Education
- Engagement

#### Goal 2: Performance

- Process Improvement
- Metrics

#### Goal 3: Promote

- Marketing
- Expertise
- Engagement

#### Goal 4: Team

- Respect
- Efficiency
- Accountable
- Mentoring

## **Goal 1: Partnerships**

Nurturing partnerships that grow health and safety programs through the enhancement of safety culture, improved education, and increased engagement.

### **Safety Culture**

**Objective: Partner with Ames Laboratory employees to identify current and potential safety and health needs.**

Task: Evaluate current Ames Laboratory safety culture through the use of employee surveys. Develop or modify programs/activities in response to feedback.

#### Performance Measures

- Survey(s) completed Y/N
- Perform data analysis Y/N
- Modifications to programs implemented Y/N
- Publish/report data to Laboratory Y/N

**Objective: ESH&A will support efforts to develop and implement a worker observation program.**

Task: In partnership with the Safety Review Committee, implement worker observation as a component of the Readiness Review Procedure.

#### Performance Measure

- Worker observation implemented Y/N

Task: Based on information gathered from employee feedback surveys, develop worker observation educational materials and tools for supervisors and employees to ensure activities are being performed safely.

#### Performance Measures

- Worker observation program implemented Y/N
- Number of observations performed Annual Report

Task: Review/Update Hazard Identification Training

#### Performance Measure

- Hazard Identification Training Updated Y/N

### **Education**

**Objective: Facilitate consistent and reliable access to training courses to improve follow through with health, safety, and operational education.**

Task: ESH&A and Training & Documents, in cooperation with Iowa State University, will establish Ames Laboratory as a partner in the Learn@ISU training system.

#### Performance Measures

- Learn@ISU implemented and functional Y/N
- Learn@ISU Ames Lab User Satisfaction Survey +/- Feedback

**Objective: Collect benchmark information throughout 2016 and 2017 to evaluate number of people taking courses, number of new courses implemented, and increase/decrease in course completion before, during and after implementation of Learn@ISU.**

Task: Develop metrics based on objective

Performance Measures

- Metrics developed Y/N
- Benchmark data collected Y/N

**Objective: Ensure educational tools meet best practice training standards and adhere to adult learning principles.**

Task: ESH&A and Training & Documents will work with authors, SMEs, and users to evaluate and modify existing courses and establish regular reviews of all Laboratory courses.

Performance Measures

- Course review cycle implemented Y/N
- Number/ratio of courses reviewed/revised Annual report

Engagement

**Objective: Provide employees with learning opportunities and a platform for interacting with peers and experts.**

Task: ESH&A will lead efforts to host periodic safety events such as seminars, open-houses, and round-table discussions.

Performance Measures

- Number and frequency of events Met Target #
- Satisfaction surveys +/- Feedback

## **Goal 2: Performance**

ESH&A will advance and evaluate health, safety, and operational performance through process improvement and applicable metrics.

### **Process Improvement**

**Objective: Improve health and safety for Ames Laboratory employees, and achieve Goal 5.0 of the Laboratory's 2016 Performance Evaluation and Measurement Plan (PEMP).**

Task: ESH&A will lead efforts to implement the SPIP, address the Justifications of Needs (JONs) from the Ball Mill Incident Investigation, and complete the corresponding actions from the WP&C review. See specific documents for activities, assignments, and status.

#### Performance Measures

- |  |      |
|--|------|
| • Timely completion of JONs                              | PEMP |
| • Timely completion of SPIP objectives for target period | PEMP |
| • Timely completion of WP&C Corrective Actions           | PEMP |

**Objective: Continuous evaluation of prevention methods to reduce accidents, injuries, exposures, and precursor events to levels below DOE and/or national targets.**

Task: Through programs such as lessons learned, accident/injury reporting, employee concern, worker observations, walkthroughs, and internal and external assessments, ESH&A will determine activities and areas which pose an elevated risk of employee injury. Elevated risk activities and areas will be prioritized for improvement efforts.

#### Performance Measures

- |  |               |
|--|---------------|
| • Numbers of Activities/Reports/Findings, etc. | Annual report |
| • Track and Trend Findings                     | +/- Trends    |
| • Accident/Injury Rate Comparisons             | DOE, Nat'l    |

### **Metrics**

**Objective: Develop metrics to collect benchmark information throughout 2016 and 2017 in order to evaluate efficiency, program and project timeliness, response to expected and unexpected events, and proper staff resource allocation.**

Task: ESH&A will establish a weekly 3 + 3 status report in order to track activities and provide timely information to Ames Laboratory administration.

#### Performance Measure

- |   |     |
|---|-----|
| • Weekly receipt and distribution of activity summaries | Y/N |
|---|-----|

Task: ESH&A will track assessment and topical appraisal findings, employee concerns, and other corrective actions in the Ames Lab Corrective Action Tracking System (ALCATS).

#### Performance Measures

- |   |               |
|---|---------------|
| • Level 1 and 2 findings addressed by stated date | Annual Report |
| • Status of Level 3 findings and/or OFI's         | Annual Report |

### **Goal 3: Promote**

ESH&A will raise personnel awareness of health and safety activities by promoting and marketing these activities, and ESH&A services and expertise in a professional and engaging manner.

#### **Marketing**

**Objective: Enhance ESH&A visibility and improve Laboratory personnel awareness of health, safety, and educational services.**

Task: ESH&A will develop and implement strategies such as creating hallway/elevator posters, distributing promotional handouts, and materials for new employee orientation.

##### Performance Measure

- Number and type of awareness materials Annual Report

#### **Expertise**

**Objective: Provide the level of expertise needed to effectively guide health, safety, and educational activities at Ames laboratory, and demonstrate competency to external entities such as the Contractor (ISU), Ames Site Office, and the DOE Office of Science.**

Task: ESH&A staff will maintain current certification levels, pursue academic and certification opportunities, and participate frequently in continuing education activities such as courses, seminars and webinars, conferences, and peer group discussions.

##### Performance Measure

- Certifications and educational activities Annual Report

#### **Engagement**

**Objective: Provide timely and relevant health and safety information.**

Task: ESH&A will deliver a monthly newsletter to Ames Laboratory personnel.

##### Performance Measure

- Newsletter delivered monthly Y/N

**Objective: Develop an excellent working relationship with the Ames Site Office (AMSO).**

Task: ESH&A will actively interface with the Ames Site Office facility representative, ensuring the representative is informed of Laboratory activities, and requesting that frequent communication is maintained between the Site Rep and the AMSO.

##### Performance Measure

- Annual review with facility representative and Ames Site Office Manager to determine strengths and weaknesses

## **Goal 4: Team**

ESH&A will foster teamwork within ESH&A and between ESH&A and Laboratory personnel by demonstrating respect, efficiency, and accountability, and by mentoring others to ensure consistent messaging and continuity of operations.

### **Objective: Treat everyone with respect.**

Task: ESH&A will conduct surveys to assess client perceptions of interactions with ESH&A staff.

#### Performance Measures

- Survey Completed Y/N
- Results + - Trends

Task: ESH&A will conduct periodic retreats and team building activities to foster healthy and respectful professional relationships.

#### Performance Measure

- Number and Frequency of activities Annual Report

### **Objective: Demonstrate efficiency in our operations.**

Task: ESH&A will conduct user surveys to determine if inefficiencies exist in our internal operations such as responding in a timely manner to requests, scheduling meetings and readiness reviews, and providing technically accurate solutions.

#### Performance Measures

- Survey Completed Y/N
- Results +/- Trends

### **Objective: Be accountable to the Laboratory and each other.**

Task: ESH&A staff will perform their duties to the best of their ability, be punctual and regular in their attendance, complete activities and tasks in a timely manner and on deadline, answer correspondence and questions quickly and accurately, seek advice and guidance from others when needed, and manage disputes or differences of opinion in a professional and proactive manner.

#### Performance Measures

- Client satisfaction surveys Y/N
- Third party evaluation/interviews Y/N
- Annual Performance Appraisals Y/N

### **Objective: Provide mentoring opportunities.**

Task: ESH&A will establish an organizational structure that provides a clear delineation of duties for at least two persons in each major functional area (SME, supplemental SME), and will promote the mentoring of persons assigned as supplemental SMEs. The delivery of consistent messaging to users and continuity of operations in the event of absences, vacancies, and retirements is critical to mission success.

#### Performance Measure

- Revised Organizational Chart and supervisory roles Y/N

Task: Supervisors will be provided with the information needed to perform their duties and effectively manage staff.

Performance Measure

- Attendance at supervisory training classes Annual Report

Task: Ames Lab Advantage - Participate in internships for ISU/Science Bound students when there are students who are interested.

Performance Measures

- Contact hours Hours
- Exit interviews from each intern +/- Feedback

## Glossary

ALCATS	Ames Lab Corrective Action Tracking System
AMES	Ames Laboratory
AMSO	Ames Site Office
Contractor	Iowa State University
Corrective Action	Requirement imposed per investigation or assessment finding
DOE	United States Department of Energy
ESH&A	Ames Laboratory Environment, Safety, Health & Assurance
ISMS	Integrated Safety Management System
JHA	Job Hazard Analysis
JON	Judgement of Need – corrective action imposed per investigation
MSDS	Material Safety Data Sheet (Now SDS)
PEMP	Performance Evaluation and Measurement Plan
Readiness Review	Process by which Ames Laboratory conducts WP&C and ISMS
SDS	Safety Data Sheet
SME	Subject Matter Expert
SOP	Standard Operating Procedure
SPIP	Safety Performance Improvement Plan
WO	Worker Observation
WP&C	Work Planning and Control