

**Do YOU have**  
***G-A-P-S***  
**in your Safety**  
**Program?**



VPPPA Conference,  
August 2009  
San Antonio, Texas

Do YOU have **G - A - P - S** in your Safety Program?

# Introductions



**Tim Tate, Co-Chairperson,  
SRS VPP Core Team**



**Barbara Guenveur, Chairperson,  
SRS VPP Core Team**



**Philip Coretti, ES&H Manager**



**David Marko, SRS VPP  
Core Team member**



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Do YOU have *G - A - P - S* in your Safety Program?

**Safety Share**

**Session Evaluation**



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**Do YOU have  
G - A - P - S  
in your Safety Program?**

**There are  
always gaps  
lurking  
nearby in a  
seemingly  
"rock solid"  
safety  
program**



**Do YOU have  
G - A - P - S  
in your Safety Program?**



**It just takes  
the right set of  
circumstances  
to expose  
them.**

Do YOU have  
**G-A-P-S**  
in your Safety Program?

# How do you identify GAPS?



**Barbara Guenveur, Chairperson,  
SRS VPP Committee**



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**Do YOU have  
*G-A-P-S*  
in your Safety Program?**

Performing a GAP  
Analysis





**Do YOU have  
*G-A-P-S*  
in your Safety Program?**

## Terminology

### – GAP Analysis

Process for reviewing program for improvement opportunities

- Survey

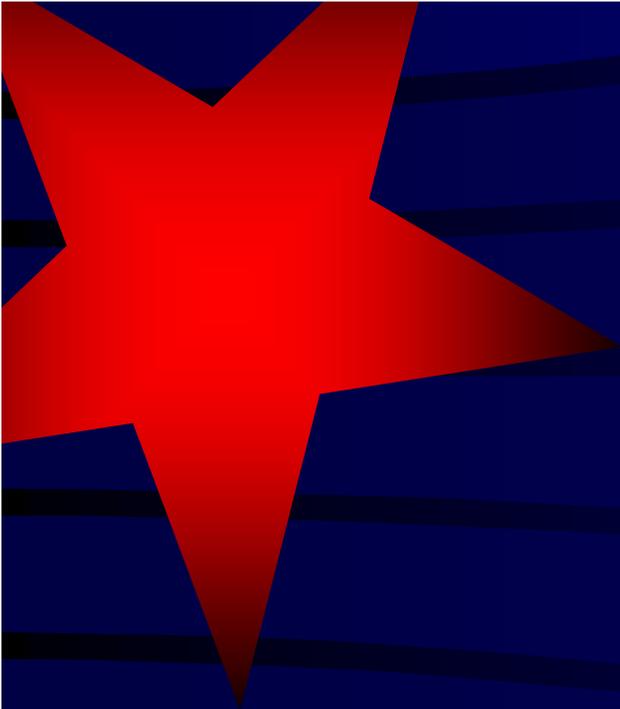
Set of questions used to poll employees

- GAP Tool

Developed by Center of Excellence

Adapted for use at DOE – more in a moment!

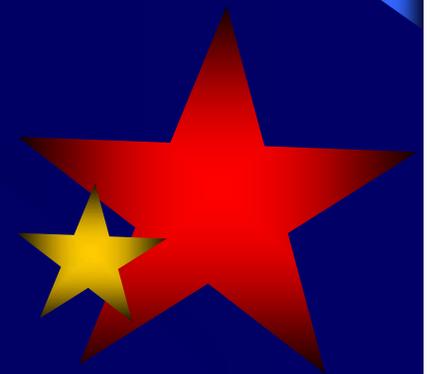




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## Uses for GAP Analysis

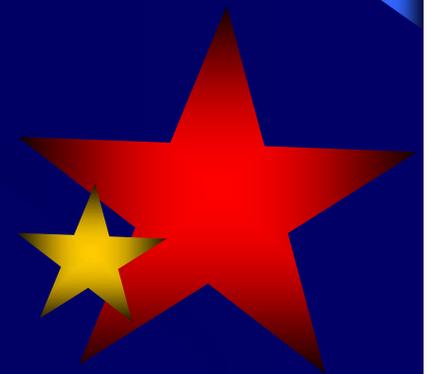
- Mentoring/Outreach
- Prepare for initial, annual and subsequent evaluations



**Do YOU have  
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in your Safety Program?**

## GAP TEAM

- Team Lead
- Element Leads 
- Personnel from organization being assessed
- Subject Matter Experts



**Do YOU have  
G-A-P-S  
in your Safety Program?**

**Performing the GAP**

- **Survey**
  - Use VPP criteria from DOE Part IV or OSHA
  - Observation
  - Document review (data, such as 3 yr BLS)
  - Interviews
    - Informal and possibly formal

INJURY AND ILLNESS DATA FOR SRNS						
Calendar Year	Lost Workday Cases	Total Restricted or Transferred Cases	Total Recordable Cases	Employee Hours	Days Away, Restricted, or Transferred (DART) rate	Total Recordable Case (TRC) Incident Rate
2006	3	6	45	16,256,824	0.11	0.55
2007	4	7	30	15,792,844	0.14	0.38
1/1-7/31/2008	3	6	17	9,042,742	0.20	0.38
8/1-12/31/2008	0	1	9	4,710,071	0.04	0.38
2008	3	7	26	13,752,813	0.15	0.38
<b>3-Yr. Average 2006–2008</b>	<b>3.33</b>	<b>6.67</b>	<b>33.3</b>	<b>15,267,494</b>	<b>0.13</b>	<b>0.44</b>
Bureau of Labor Statistics (BLS) 2007 national average for North American Industry Classification System (NAICS) Code for SRNS - 562219					<b>4.3</b>	<b>6.7</b>
<b>SRNS – percent below BLS rate</b>					<b>97.0%</b>	<b>93.4%</b>

late hours



# VPP GAP Analysis

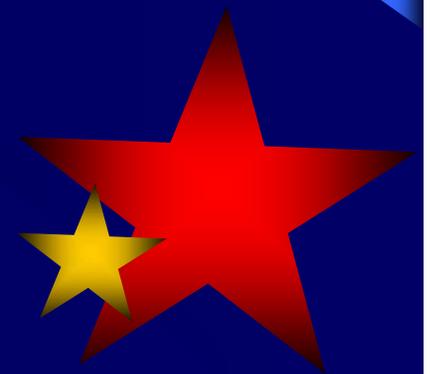
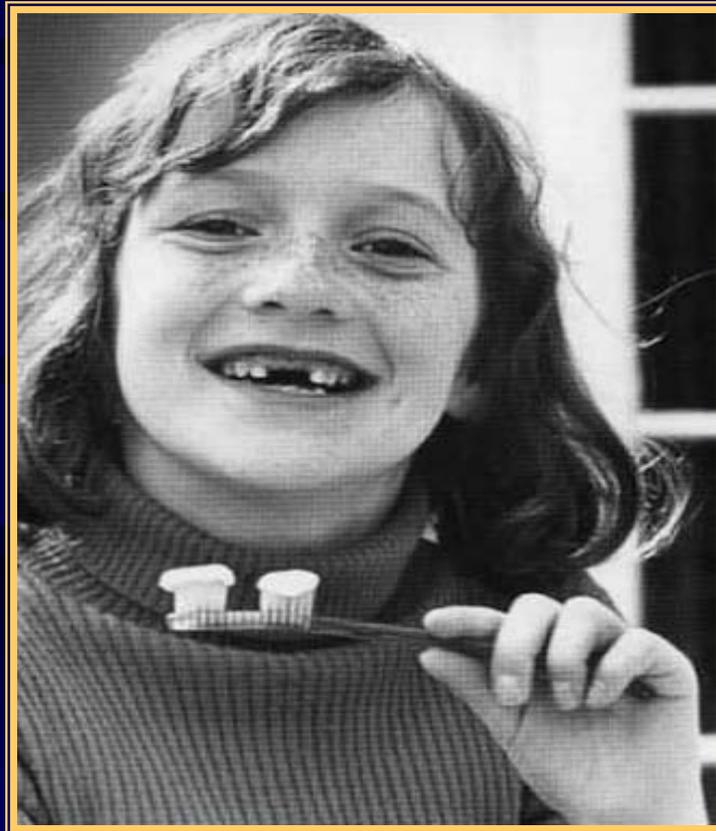


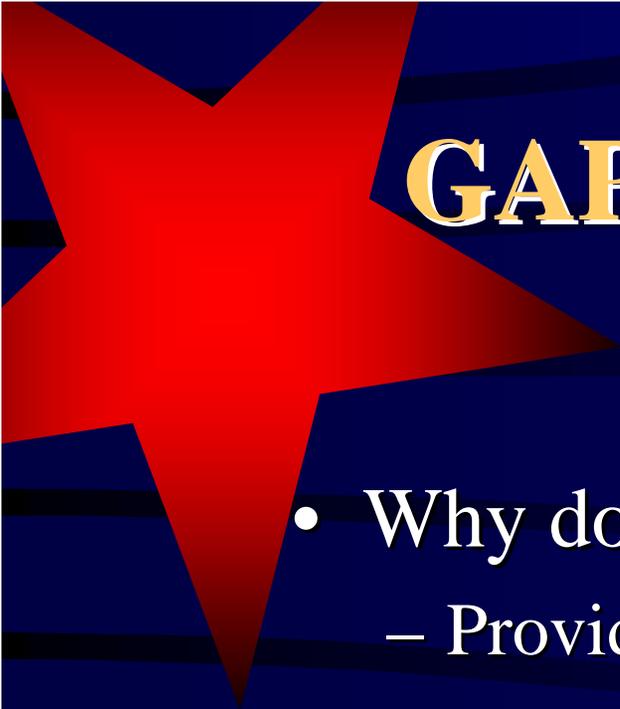
**Philip Coretti, ES&H Manager**



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# GAP Analysis

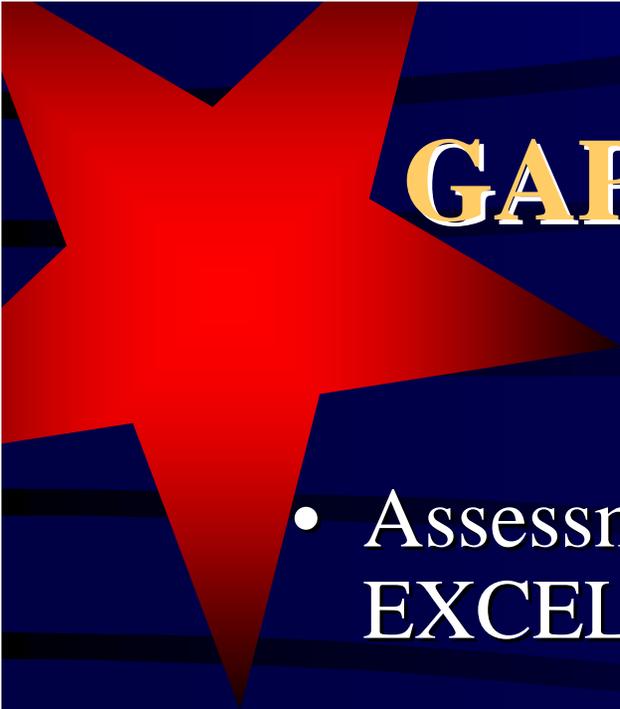




# GAP Analysis Tool

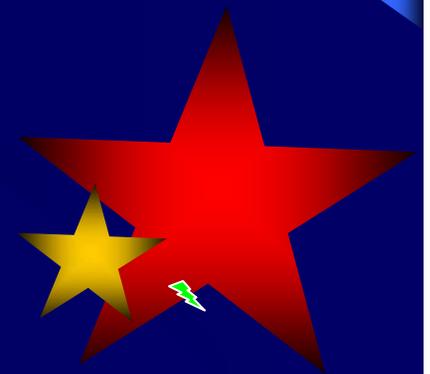
- Why do we need a tool?
  - Provides structure to the assessment
  - Collection point for the information
  - Provides measurement
  - Creates a baseline
  - Actions are tracked to closure





# GAP Analysis Tool

- Assessment tool based in Microsoft EXCEL
- Developed by the DoD CX to identify the “GAP” between STAR and non-STAR performance (OSHA)



# GAP Analysis

- Now incorporates DOE-VPP criteria to determine assessment Lines Of Inquiry
- Used in conjunction with an employee perception survey
  - ~28 questions given to all employees

DOE/EH-0436

U.S. DEPARTMENT OF ENERGY  
VOLUNTARY PROTECTION PROGRAM

PART IV: ONSITE REVIEW HANDBOOK

July 1995



U.S. Department of Energy  
Office of Worker Health & Safety  
Office of Occupational Safety & Health Policy

# GAP Analysis

Developed in EXCEL spreadsheet form ...

	Stage 1 Developed	Stage 2 Implemented	Stage 3 Effective (12M)
<b>Criteria #1</b>	Lines Of Inquiry	Lines Of Inquiry	Lines Of Inquiry
<b>Criteria #2</b>	Lines Of Inquiry	Lines Of Inquiry	Lines Of Inquiry
<b>Criteria #3</b>	Lines Of Inquiry	Lines Of Inquiry	Lines Of Inquiry
<b>Criteria #4</b>	Lines Of Inquiry	Lines Of Inquiry	Lines Of Inquiry

# Completing the GAP Tool

For each LOI provide enough objective information to support your conclusion  
(Complete, In Progress, No Action Taken)

		LOI		Results
<p>Commitment/Goal and Objectives - I. 16. Written versions of the safety and health program goals and the objectives to achieve it are easily accessible to all employees. +</p>		Determine if a written version of safety and health goals and objectives to meet those goals have been developed.	Completed	Safety/health goals for calendar year 2008 are documented in WSRC-123-123-2008, "LW Safety Program Plan". The plan also contains objectives designed to enable LW to meet the established goals.

# Completing the GAP Tool

For each LOI, change the status bar to No Action, In Progress, or Complete as appropriate.

Determine if a written version of safety and health goals and objectives to meet those goals have been developed.	Completed	Safety/health goals for calendar year 2008 are documented in WSRC-123-123-2008, "LW Safety Program Plan". The plan also contains objectives designed to enable LW to meet the established goals.
	Status No Acti In Prog Comple us	

# Completing the GAP Tool

If the LOI is in progress, identify what was not complete, how you determined it was not complete and what needs to be done to complete the action. (this information will feed the action plan once the GAP Tool is executed)

<b>Commitment/Goal and Objectives - I. 17.</b> Production managers, supervisors and hourly employees interviewed by the team can explain in at least general terms what the current goals are.	<b>In Progress</b>	Most personnel interviewed were familiar with the safety and health goals for 2008. However, interviews revealed that a large portion of the population in the "X" Area administration bldg. were not aware of the goals. The goals should be communicated and accessible to all employees within the organization.
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# Completing the GAP Tool

If the LOI has shown no significant progress (just contemplating is not progress); identify the what action is lacking and what needs to be done to meet the LOI (Again, this information will feed the action plan once the GAP Tool is executed)

<p>Commitment/Goal and Objectives - I. 18. Employees at all levels have a clear idea of how the goal and objectives are related to them in their ongoing activities.</p>	<p>No Action Taken</p>	<p>While employees were aware of the organization's goals, they had no knowledge that objectives had been developed to meet those goals. Employees must be included in the development of objectives and should be aware of progress made during the year to foster ownership in the safety program.</p>
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# Completing the GAP Tool

Once all three stages are complete, the Criteria should be satisfied.

	Stage 1 (Developed)	Stage 2 (Implemented)	Stage 3 (Effective)
29			
30	<p><b>Commitment/Goal and Objectives - I. 16. Written version of the safety and health program goals and the objectives to achieve it are readily accessible to all employees.</b></p> <p>Determine if a written version of safety and health goals and objectives to meet these goals have been developed.</p> <p><b>Criteria</b></p> <p>Satisfactory - Safety health goals for calendar year 2008 are documented in WSRG-123-123-2008, "LW Safety Program Plan". The plan also contains objectives designed to enable LW to meet the established goal.</p>	<p><b>Commitment/Goal and Objectives - I. 17. Production managers, supervisors and hourly employees interviewed by the team can explain in at least general terms what the current goal and objectives are.</b></p> <p><b>Criteria</b></p> <p>Most personnel interviewed were familiar with the safety and health goals for 2008. However, interview revealed that a large portion of the population in the "W" Area administration bldg. were not aware of the goal. The goal should be communicated and accessible to all employees.</p>	<p><b>Commitment/Goal and Objectives - I. 18. Employees at all levels have a clear idea of how the goal and objectives are related to them in their ongoing activities.</b></p> <p><b>Criteria</b></p> <p>While employees were aware of the organization's goals, they had no knowledge that objectives had been developed to meet these goals. Employees must be included in the development of objectives and should be aware of progress made during the year to foster ownership in the safety program.</p>
	DELETE THIS LINE		

Criteria

# Completing the GAP Tool

A higher stage can be “Complete” even if a lower stage is “In Progress” or shows “No Action Taken”

	Stage 1 (Developed)	Stage 2 (Implemented)	Stage 3 (Effective)				
29	<p><b>Commitment/Goal and Objectives - I. 16. Written version of the safety and health program goals and the objective - to achieve it are easily accessible to all employees.</b></p>	<p>Determine if a written version of safety and health goals and objectives to meet these goals have been developed.</p>	<p>Satisfactory - Safety/health goals for calendar year 2008 are documented in WSRC-123-123-2008, "LW Safety Program Plan". The plan also contains objectives designed to enable LW to meet the established goals.</p>	<p><b>Commitment/Goal and Objectives - I. 17. Production managers, supervisors and hourly employees interviewed by the team can explain in at least general terms what the current goal and objectives are.</b></p>	<p>Mark personnel interviewed were familiar with the safety and health goals for 2008. However, interview revealed that a large portion of the population in the "W" Area administration bldg. were not aware of the goals. The goals should be communicated and accessible to all employees.</p>	<p><b>Commitment/Goal and Objectives - I. 18. Employees at all levels have a clear idea of how the goal and objectives are related to them in their ongoing activities.</b></p>	<p>While employees were aware of the organization's goals, they had no knowledge that objectives had been developed to meet these goals. Employees must be included in the development of objectives and should be aware of progress made during the year to foster ownership in the safety program.</p>
30		<p>DELETE THIS LINE</p>					

Criteria

# Completing the GAP Tool

Microsoft Excel - RobinsGapAnalysis

File Edit View Insert Format Tools Data Window Help

Type a question for help

B4 Mission and Policy Statements

	B	C	D	E	F	G	H	
					Create Action Plan		Update Gap Analy	
1	Element	Stage I	STATUS	COMMENTS	Stage II	STATUS	COMMENTS	
62	Element	Stage I			Stage II			
	Investigation of Accidents	<b>Investigate Accidents and Maintain Written Reports of the Investigations.</b> Develop a written process or procedure for investigating accidents and mishaps at the site.	Completed		Investigate Accidents and Maintain Written Reports of the Investigations. Investigations should be conducted by trained personnel and: a) Document the entire sequence of relevant events, b) Identify all contributing factors, c) Determine whether the safety and health management system was effective, d) Recommend actions to prevent recurrence, e) Are prioritized, f) Assign timeframes and responsibility for implementing recommended controls.	In Progress	Enhance the root cause analysis of accidents to prevent recurrence.	Develop a data and identify the site to identify
63	Investigation of Accidents and Near-Misses	<b>No Actions Required</b>			Begin investigating near-misses, following the same guidelines as established in the site's accident investigation policy or procedure	No Action Taken	Begin investigating near-misses, following the same guidelines established for accident investigations	<b>No Actions</b>
64	Investigation of Accidents and Near-Misses	<b>No Actions Required</b>			Continue making findings and corrective actions available to employees on request (although actual investigation records need not be provided).	No Action Taken	Make findings and corrective actions available to employees.	<b>No Actions</b>
65	<b>7. Trend Analysis - Required Actions</b>							
66	Element	Stage I			Stage II			
67	Trend Analysis	Conduct a trend analysis of previous three complete calendar years' injury and illness history, based on a thorough review of OSHA 200/300 logs, workers compensation claim forms, and accident reports.	In Progress	Conduct a trend analysis of previous three complete calendar years' injury and illness	Conduct a trend analysis of injury and illness history annually.	No Action Taken	Conduct another trend analysis of injury and illness history when a year has gone by since the initial trend analysis	Take proactive trend analysis place regular scheduled information to address

Gap Analysis / Action Plan / Status Pie Charts /

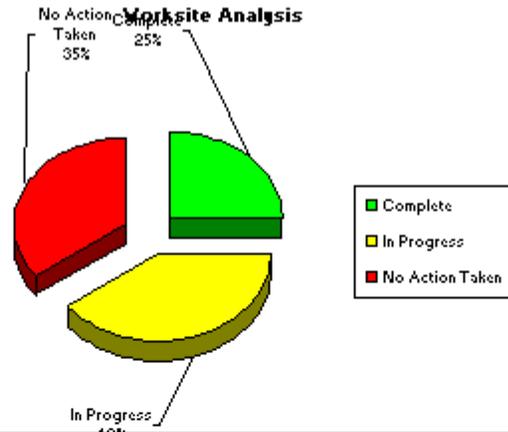
Ready NUM

# Graphs

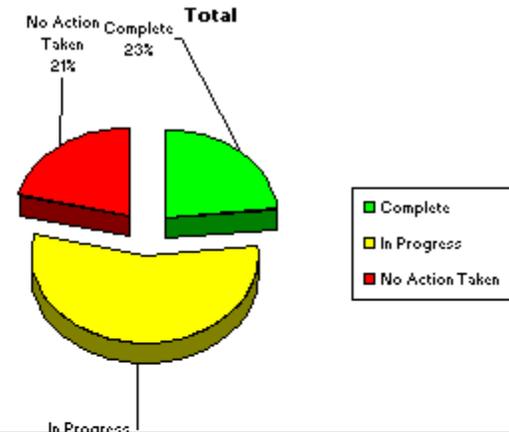
**Management Leadership & Employee Involvement**



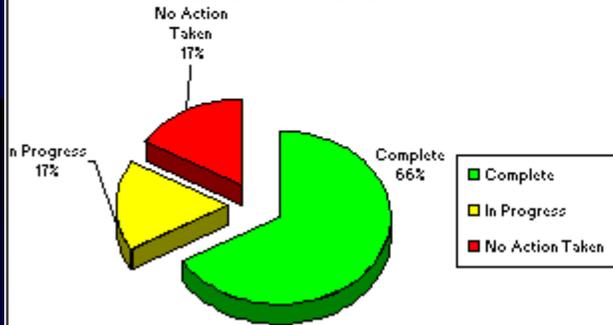
**Worksite Analysis**



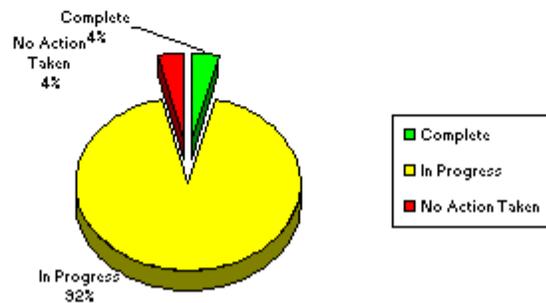
**Total**



**Hazard Prevention & Control**



**Safety & Health Training**



# Creating Actions

VPP CX Action Plan									
			# Actions Identified		% Closed < 30 Days from Target		% Closed > 30 Days from Target	# Actions Open	
			0		#DIV/0!		#DIV/0!	0	
#	Action Item	Element	Sub-Element	Responsibility	Date Opened (mm/dd/yy)	Target Closure Date (mm/dd/yy)	Date Closed (mm/dd/yy)	Status Against Target	# Days Open Beyond Target
1	The Mission and Policy Statement should be communicated and incorporated into new employee training and into contracts to ensure contractors are aware of the mission statement.	Mngmnt Ldrshp & Empl Involv	Mission Statement					N/A	
2	Ensure information becomes routine communication to all site employees, including but not limited, to annual training, and incorporating standard language in contracts.	Mngmnt Ldrshp & Empl Involv	Mission Statement					N/A	
3	The Safety and Health Policy Statement should be enhanced to specifically state what the site commits to doing. Ensure that it is distributed to all employees.	Mngmnt Ldrshp & Empl Involv	Policy Statement					N/A	
4	Once signed, policy statement needs to be incorporated into new employee orientation and contractor training.	Mngmnt Ldrshp & Empl Involv	Policy Statement					N/A	
5	Ensure information becomes routine communication to all site employees, including but not limited, to annual training, and incorporating standard language in contracts.	Mngmnt Ldrshp & Empl Involv	Policy Statement					N/A	
6	Create more avenues for all managers and supervisors to demonstrate, encourage, and motivate a proactive safety and health culture	Mngmnt Ldrshp & Empl Involv	Leadership by Example					N/A	
7	As LEAN is implemented throughout the Base, ensure occupational safety and health is being incorporated to all processes.	Mngmnt Ldrshp & Empl Involv	Resources					N/A	

# Tracking progress

VPP CX Action Plan										
			\$ Actions Identified			% Closed < 30 Days from Target			% Closed > 30 Days from Target	\$ Actions Open
			5			60.0%			0.0%	2
#	Action Item	Element	Sub-Element	Responsibility	Date Opened (mm/dd/yyyy)	Closure Date (mm/dd/yyyy)	Date Closed (mm/dd/yyyy)	Days Against Target	Days Open Beyond Target	
2	Management is very committed to safety. Support and commitment are evident at all levels. Executives and upper managers involved with periodic participation in LSITs, financial support, establishing safety performance goals and expectations, holding managers and other personnel responsible for their safety performance. All elements from this line	Mngmnt Ldrship	Safety and Health Management System Written S&H Program	Mr Manager	2/2/2008	3/1/2009		OPEN	-160	
3	Management is very committed to safety. Support and commitment are evident at all levels. Executives and upper managers involved with periodic participation in LSITs, financial support, establishing safety performance goals and expectations, holding managers and other personnel responsible for their safety performance. Walk downs with the management team were performed and reflect high commitment to safety. All elements from this line	Mngmnt Ldrship	Safety and Health Management System Written S&H Program	Ms Safety	2/2/2008	5/1/2008	4/15/2008	-16		
4	Management has not approved a safety and health policy.	Mngmnt Ldrship	Top Management Leadership Setting Examples	Mr President	2/2/2008	2/28/2008	2/27/2008	-1		
5	Management has not approved a safety and health policy.	Mngmnt Ldrship	Top Management Leadership Setting Examples	Mr President	2/2/2008	2/28/2008	2/27/2008	-1		
There is a Health and Safety Policy signed by the										

# Sample Gap Analysis



and the conclusion is.....





# Questions ?

**For further information, please  
contact Philip Coretti, Barbara  
Guenveur or Tim Tate  
See us after the meeting for a  
business card...**

