WORKING COPY

VERIF. DATE: _____

INTIALS: _____

CP3-OP-0500 **FRev. 0**	**TITLE**: Performance Observations	Page 1 of 15

DOCUMENT CATEGORY: ☒ Administrative ☐ Technical

LEVEL OF USE: ☒ Information Level ☐ Reference Level ☐ Continuous Use

FUNCTIONAL AREA: Operational Programs **SUBJECT MATTER AREA:** Conduct of Operations	**SUBJECT MATTER EXPERT**: Mark Mitchell, Conduct of Operations Specialist
NUCLEAR SAFETY REVIEW DOCUMENTATION: FRNP-19-0261-D	**APPROVED BY/DATE** (Signature on file): Rick Sangston, Operational Programs Manager 04/24/2019
REQUIRED REVIEW DATE (or expiration date for temporary change): 04/24/2022	**EFFECTIVE DATE**: 05/01/2019

REVISION/CHANGE LOG

Revision/Change Letter	Description of Changes	Pages Affected	Date of Revision/Change
FR0	Initial Release, replaces CP3-QA-3010	All	04/24/2019

TABLE OF CONTENTS

1.0 PURPOSE AND SCOPE 3
1.1 Purpose 3
1.2 Scope 3
2.0 REFERENCES 3
2.1 Use References 3
2.2 Source References 3
3.0 COMMITMENTS 3
4.0 RESPONSIBILITIES 3
4.1 Directors 3
4.2 Operational Programs Manager 4
4.3 Performance Observation Coordinator 4
4.4 Conduct of Operations Specialist 4
4.5 Performance Observation Performer's Manager and Observed Department Manager 4
4.6 Performance Observation Performer 4
5.0 GENERAL INFORMATION 5
6.0 INSTRUCTIONS 6
6.1 Preparation for Performance Observations 6
6.2 Conducting Performance Observations 7
6.3 Performance Observation Review 9
7.0 RECORDS 10
7.1 Records Generated 10
APPENDIX A – ACRONYMS/DEFINITIONS 11
APPENDIX B – PERFORMANCE OBSERVATION TIER SELECTION TABLE AND TIER DESCRIPTIONS 13
APPENDIX C – PERFORMANCE OBSERVATION CATEGORIES 15

1.0 PURPOSE AND SCOPE

1.1 Purpose

This procedure defines the process and provides guidance and tools for conducting and reporting Performance Observations (POBs).

1.2 Scope

This procedure applies to Paducah Gaseous Diffusion Plant (PGDP) Deactivation and Remediation (D&R) contractor and subcontractor personnel who conduct and review POBs.

Where department-specific job observation requirements exist, the POB process described in this procedure is the single point for documenting and reporting of such data.

The scope of this procedure is **NOT** intended to include self-assessments, management assessments or inspections performed within the scope of other procedures.

The sections and steps of this procedure may be performed in any logical order or concurrently as needed to complete the task.

2.0 REFERENCES

2.1 Use References

- CP3-QA-3001, *Issues Management*
- CP5-OP-0500, *PGDP Performance Observation Database Guide*

2.2 Source References

- CP2-HS-1000, *Integrated Safety Management System Description for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP2-HS-2000, *Worker Safety and Health Program for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP2-OP-1100, *Conduct of Operations Program at the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- CP2-QA-1000, *Quality Assurance Program Description for the Paducah Gaseous Diffusion Plant, Paducah, Kentucky*
- DOE O 226.1B, *Implementation of Department of Energy Oversight Policy*
- U.S. Department of Energy (DOE) Order 422.1 Chg 2, *Conduct of Operations*

3.0 COMMITMENTS

None

4.0 RESPONSIBILITIES

4.1 Directors

4.1.1 Assigns POB Coordinator(s) for PGDP.

4.1.2 Establishes expectations for POB quality.

4.2 Operational Programs Manager

4.2.1 Assigns targeted POBs and schedule as necessary to meet performance goals.

4.2.2 Assumes responsibility for POB program and PGDP POB Database.

4.2.3 Establishes forum, method(s), and roles for achieving Executive Review Board (ERB) oversight of POB results, including goal, trending, and metric reviews.

4.2.4 Monitors POB program for consistency and provides training and guidance, as needed, to ensure acceptable POB performance level(s) and consistency.

4.2.5 Provides POB program oversight.

4.3 Performance Observation Coordinator

4.3.1 Establishes and coordinates POB schedule, as directed by the Director.

4.3.2 Follows up with POB owners to resolve any questions regarding POB data.

4.3.3 Enters POB information into PGDP POB Database, as requested.

4.4 Conduct of Operations Specialist

4.4.1 Coaches/mentors managers on POB performance.

4.4.2 Reviews departmental POBs for follow up action, including issues management.

4.4.3 Enters POB information into PGDP POB Database, for Conduct of Operations Specialist observations.

4.5 Performance Observation Performer's Manager and Observed Department Manager

4.5.1 Reviews POBs conducted by their employees or performed on their department.

4.5.2 Ensures observation details and Category comments are accurate.

4.5.3 **If** POB requires editing, **then** provides feedback to the POB performer.

4.6 Performance Observation Performer

4.6.1 Conducts POBs in accordance with this procedure.

4.6.2 Enters POB information into PGDP POB Database.

5.0 GENERAL INFORMATION

5.1 POBs are a component of the PGDP D&R contractor Conduct of Operations Program.

5.2 POBs are an effective tool for identifying performance gaps and degraded conditions, and drift, as well as assessing an organization's operational health and culture. The benefits of this tool include the following:

- Creates and documents a consistent pattern of manager field presence.
- Facilitates the manager-to-worker contact necessary for a healthy safety culture.
- Enables managers to see first-hand actual worker practices and job-site conditions, and offers the opportunity to provide performance feedback to co-workers through face-to-face reinforcement of desired behaviors.
- Improves and sustains performance through detection of performance gaps and drift.
- Provides an avenue for coaching and correcting performance gaps and potentially unsafe or at-risk behaviors.
- Facilitates the detection of organizational and programmatic weaknesses.
- Enhances organizational alignment of expectations and values (reduces drift).
- Enables the measurement of actions taken to improve organizational safety and effectiveness, and communicate the results and trends.

5.3 When properly performed, POBs can measure the following:

- Safety culture
- Adherence to safety and operational standards and expectations
- Procedure and work control document quality and utilization
- Material conditions
- Level of performance gap, drift, and accumulation
- Effectiveness of performance improvement efforts, administrative processes, and training

5.4 POBs provide an opportunity for interaction between management and workforce personnel during performance of work in the worker's environment. The establishment of this dialog fosters mutual respect and trust. Workforce personnel are given the opportunity to demonstrate their skills and knowledge level, and to voice concerns. Management has the opportunity to reinforce expectations and provide/solicit one-on-one feedback.

5.5 POB Tiers apply to the type of POB performed. Additional information can be found in Appendix B, *Performance Observation Tier Selection Table and Tier Descriptions*.

5.6 POB Categories apply to the specific areas of observation. The POB Categories are listed in Appendix C, *Performance Observation Categories*.

5.7 Between revisions to this procedure, POB Tiers and Categories may be added or removed to support the continuous improvement function of the Integrated Safety Management System. Current Tiers and Categories will be reflected in the PGDP POB Database, and this procedure will be updated periodically to reflect existing Tiers.

5.8 Various types of observations (for example, document and/or work package reviews, meeting observations, etc.) can be documented as POBs. However, applicable POB metrics for observations should **NOT** give equal consideration to POBs that do **NOT** observe workers in the field.

5.9 The PGDP POB Database entry documents the POB and is maintained as a record.

6.0 INSTRUCTIONS

6.1 Preparation for Performance Observations

NOTE:

It is **NOT** required for a POB be planned ahead of time.

If a manager is in the field and interfaces with workers or stops to observe and/or coach an activity, the observation can be later entered into the POB system.

POB Performer

6.1.1 Review this procedure and the PGDP POB Database to ensure familiarity with POB categories.

NOTE:

Between revisions to this procedure, Performance Observation Tiers and Categories may be added or removed to support the continuous improvement function of the Integrated Safety Management System.

Current Tiers and Categories will be reflected in the PGDP POB Database, and this procedure will be updated periodically to reflect existing Tiers and Categories.

6.1.2 Refer to Appendix B **and** determine the POB Tier to be performed.

6.1.3 Review the standards and expectations associated with the activity, as determined by the Categories to be observed in Appendix C.

NOTE:

- It is very important to determine the practices and conditions anticipated to be seen during the observation(s).
- Without established expectations, performance gaps and unacceptable conditions can go undetected.

6.1.4 Establish expectations **and** determine Categories for planned observation(s).

NOTE:

Advanced notification is a good management practice, but is **NOT** required.

6.1.5 Unless conducting an impromptu observation, contact the manager or supervisor of the activity in advance of the observation to inform them of the planned observation and to ask if there are any specific areas they would like observed.

6.2 Conducting Performance Observations

NOTES:

- Observations should be performed and then entered directly into the PGDP POB Database.
- CP5-OP-0500, *PGDP Performance Observation Database Guide*, contains instructions for printing an observation form from the PGDP POB Database for use during performance of the observation.

POB Performer

6.2.1 Prepare for the POB according to Section **6.1**.

6.2.2 **If** possible, **then** observe the pre-job briefing for adequate preparation, participation, appropriateness of required/additional topics and associated detail, and reverse brief technique(s).

NOTES:

- The POB Performer may need to sign on to an applicable Radiation Worker Permit (RWP), Pre-Job Briefing Checklist, or other project document to perform the observation depending on the location of the work being performed.
- POBs should **NOT** contain Official Use Only, Export Controlled Information, or Personally Identifiable Information.

6.2.3 Throughout the observation process, document the following types of information (for later entry into the **Observation Detail Section** of the PGDP POB Database):

- Description (general summary) of the activity observed.
- Number of people observed/interacted with during the observation.
- What went well during the activity (Positive Observations).
- Any Performance Gap(s) identified and coaching performed to address the gap(s) (Negative Observations).
- Reinforcement communicated to encourage good practices and safe behaviors.
- Adverse/unsafe conditions.
- What did **NOT** go well during the activity (Negative Observations).
- Opportunities for improvement.
- If known, the reason why things did **NOT** go well during the activity.

6.2.4 Provide real-time reinforcement, coaching, and correction either during the observation or soon thereafter, as follows:

- Reinforce good behavior (people whose performance meets expectations).
- Coach when Performance Gaps are detected.
- Coach people who exhibit unsafe or at-risk behavior.

6.2.5 **If** possible, **then** observe post-job briefing for appropriate graded approach/formality, and solicitation of feedback from all participants.

6.2.6 **If** necessary, **then** confirm any facts or other details needed prior to entry of the observation into the PGDP POB Database.

6.2.7 As soon as possible following the observation (typically within 3 days), refer to CP5-OP-0500 **and** enter observation into the PGDP POB Database:

A. Open the PGDP POB Database.

B. Enter **Observation Title.**

C. Select POB **Tier Level** from dropdown box, as described in Appendix B**.**

D. Enter POB **Performer(Observer)**.

E. Select POB **Observer's Department** from dropdown box**.**

F. Enter name of **POB Observer's Manager**.

G. Enter POB **Observation Date.**

H. Enter POB **Duration of Observation (Time in Minutes).**

I. Select POB **Observed Department** from dropdown box**.**

J. Enter name of **Manager of Observed Department**.

K. Select POB **Observed Facility** from dropdown box**.**

L. Enter POB **Approximate Number of Personnel Observed.**

M. Enter the following information:

1. **Category**: Select POB **Category** from dropdown box.

NOTE:

Some Categories (for example, Job Briefings) should have a single "1" Positive or Negative absolute count. Those Categories are limited to a "1" entry and the "1" should be entered into either the **Number of Positive Observations** or **Number of Negative Observations** field.

2. **Number of Positive Observations**: Enter the total number of positive observations observed during the POB.

3. **Number of Negative Observations:** Enter the total number of negative observations observed during the POB.

NOTES:

If the POB results include negative observations, **then** coaching should be conducted for each negative observation, and the details of the coaching entered in the **Observation Detail** section of the PGDP POB Database.

If negative observations are entered with coaching marked "No," **then** the software will NOT allow the form to be submitted until notes are added to that particular section.

4. **Coached: If** the POB resulted in any negative observations, **then** select "Yes" **and** ensure details of the Coaching are entered in the PGDP POB Database **Observation Detail** section.

N. **If** more than one Category was included in the POB, **then** select "Add New Row" **and** repeat Step **6.2.7M** until all POB Categories have been entered.

O. Refer to information documented in Step **6.2.3 and** enter **Observation Detail.**

P. **If** desired, **then** select "Add Attachment**" and** attach additional information to entry**.**

Q. Select "Submit" to complete the POB entry.

6.2.8 **If** the POB resulted in negative observations, **then** perform an evaluation for issue reporting applicability according to CP3-QA-3001, *Issues Management*:

A. Evaluate POB performance gaps and conditions.

B. **If** performance gaps or conditions meet reporting guidance, **then** initiate an Issue Report according to CP3-QA-3001.

C. **If** the performance gap(s) or condition(s) do **NOT** meet reporting guidance in CP3-QA-3001, **and** the observation owner believes that a significant or valuable learning opportunity exists **or** improvements are desired to be tracked, **then** initiate an Issue Report according to CP3-QA-3001.

6.3 Performance Observation Review

POB Performer's Manager and Observed Department Manager

6.3.1 Access the POB from notification email message.

6.3.2 Reference CP5-OP-0500 **and** review the POB as follows:

A. Ensure observation details and Category comments are accurate by reviewing requirement and/or talking to subject matter expert, if uncertain.

B. Ensure the use of personnel names is avoided, other than for notifications or positive recognition.

6.3.3 **If** POB requires editing, **then** provide feedback to the POB Performer.

7.0 RECORDS

7.1 Records Generated

The following records may be generated by this procedure:

None

Appendix A – Acronyms/Definitions

ACRONYMS

D&R – Deactivation and Remediation

DOE – U.S. Department of Energy

ERB – Executive Review Board

HIC – Hazard Identification Checklist

IV – Independent Verification

JHA – Job Hazard Analysis

LOTO – Lockout Tagout

PGDP – Paducah Gaseous Diffusion Plant

POB – Performance Observation

RWP – Radiation Worker Permit

SCWE – Safety Conscious Work Environment

SSW – Senior Supervisory Watch

DEFINITIONS

Accumulation – The inconspicuous and seemingly harmless buildup of unusual job-site conditions, at-risk priorities, or similar issues without warning. Accumulation is condition-related, where drift is performance related.

Category – The specific conditions and practices associated with performing work, as identified in the PGDP Performance Observation (POB) Database. Categories are pre-identified in the PGDP POB Database. Additional categories may be included and annotated by selecting the category of "Other" in the PGDP POB Database.

Contact Rate – The number of workers contacted/observed by senior managers over a period of time. Tier levels that include worker contact by managers (superintendent level or higher) are applicable to contact rate(s). POB metrics for worker contact rates should be filtered to provide more accurate data for the manager-to-worker contact rate(s).

Coach – To mentor, guide, or correct individuals or groups on detected performance gaps or to communicate best practices. Coaching is a powerful tool for preventing Drift.

Condition – The actual existing state, situation(s), and circumstances of the plant or workplace environment.

Drift – When field performance (practices) gradually moves away from expectations over time. What began as a performance gap now becomes a new norm. If left undetected, drift will eventually contribute to or cause an event.

Expectations – The Desired approach and behavior(s) to accomplishing work (imagined reality).

Appendix A – Acronyms/Definitions (Continued)

Export Controlled Information – Certain unclassified Government information under the Department's cognizance that if generated by the private sector, would require a specific license or authorization for export under regulations. Information and technology regulated by the Export Administration Regulations, 15 CFR Parts 742, 744, and 746, and the International Traffic in Arms Regulations, 22 CFR 120.21.

Official Use Only – A designation used by DOE to identify certain unclassified controlled information that may be exempt from public release under the Freedom of Information Act (5 U.S.C.552).

Performance Gap – When a Practice does not meet the Expectation. It is the difference (gap) between Expectation and the Practice.

Personally Identifiable Information (PII) – DOE defines PII as any information about an individual maintained by an organization, including but not limited to, education, financial transactions, medical history, and criminal or employment history and information that can be used to distinguish or trace an individual's identity, such as their name, social security number, date and place of birth, mother's maiden name, biometric records, etc., including other personal information which is linked or linkable to an individual.

Practices – The actual approach and behavior to accomplishing work (allowed, ignored, or undetected by management).

Tier – The type of POB performed. They indicate whether employee(s) or paper was observed, and whether a specific field evolution or a walk through was performed. Each tier has merit, and a purpose.

Appendix B – Performance Observation Tier Selection Table and Tier Descriptions

POB Tier Selection Table									
Management Level	**Tier 1**	**Tier 2**	**Tier 3**	**Tier 4**	**Tier 5**	**Tier 6**	**Tier 7**	**Tier 8**	**Tier 9**
Supervisor	N/A	N/A	Y	Y	Y	N/A	Y	N/A	Y
Manager or Higher	Y	Y	Y	Y	Y	Y	Y	Y	N/A

POB Tier Descriptions
Tier 1: Senior Manager Walk-Through
Tier 1 observations are used by senior managers to document the frequency of field presence and worker contact, and interface with personnel in their work environment. Tier 1 observations require no planning, and can be documented after the observation.
Tier 2: Targeted Field Observation.
Tier 2 observations are used primarily to conduct POBs for specific field evolutions. Tier 2 POBs are performed by superintendent level or higher [supervisors and Contract Technical Representatives use Tier 9 for Supervisor Job Observations] to document the frequency of field presence, worker contact, and interface with personnel. Tier 2 POBs can be planned /scheduled based on the risk or type activities desired to be observed, or they can be conducted impromptu while a manager is in the field, control room, shop, etc. Tier 2 observations should be used to evaluate a field activity against MCS standards, requirements, and expectations. If planned, the observer should draft/collect criteria/expectations prior to observing the activity.
Tier 3: In-Progress Document Observation.
Tier 3 observations are used to evaluate in-progress document development against standards, requirements, and expectations. Work packages, procedures, or design changes are typical in-progress documents that would be reviewed. Tier 3 observations can be planned /scheduled or impromptu. Tier 3 observations don't result in manager presence in the field, which is a primary purpose of the POB program. Tier 3 observations do not get credit for worker contact. If observing a field walk-down, hazard analysis, etc., a Tier 2 should be selected.
Tier 4: Meeting Observations.
Tier 4 observations are used to document meeting observations against standards, requirements, and expectations. Tier 4 observations can be planned /scheduled or impromptu. Tier 4 observations do not get credit for worker contact.
Tier 5: Operational Drills.
Tier 5 observations are used to document operational drill performance. Tier 5 observations do not get credit for worker contact. Only the Controller (person conducting the post-drill critique) should select the Tier 5 (the intent is 1 per drill conducted). Other observers (not evaluators) should select either Tier 2 or Tier 9.

Appendix B – Performance Observation Tier Selection Table and Tier Descriptions (Continued)

POB Tier Descriptions
Tier 6: Senior Supervisory Watch, if applicable.
Tier 6 observations are used to document Senior Supervisory Watch (SSW) observations. The SSW personnel may be PGDP D&R contractor managers or subcontract personnel. Tier 6 observations do not get credit for worker contact, unless the SSW campaign is primarily performed by PGDP D&R contractor managers.
Tier 7: Inspection/Walk-Through.
Tier 7 observations are used to document housekeeping, safety, and other types of inspections or walk-throughs, that do not meet the description of other tiers. Tier 7 observations do not get credit for worker contact. If conducted by a senior manager, either Tier 1 or Tier 7 may be used to document the inspection/ walk-through.
Tier 8: Emergency Preparedness Drill.
Tier 8 observations are used to document emergency preparedness drill performance. Tier 8 observations do not get credit for worker contact. Only the drill lead (person conducting the post-drill critique) should select the Tier 8 (the intent is 1 per drill conducted). Other observers (not evaluators) should select either Tier 2 or Tier 9.
Tier 9: Supervisor Job Observation.
Tier 9 observations are used to document supervisor job observations, as prescribed/directed by operations or maintenance administrative procedures. Tier 9 observations do not get credit for worker contact rate calculations, because supervisors are expected to be interfacing with workers continuously.

Appendix C – Performance Observation Categories

Abnormal Conditions
Alarm Acknowledgement/Response
Asbestos
Communications
Component Labeling
Control Area Activities
Control of Equipment and System Status
Electrical Safety
Equipment Condition
Feedback
Hazard Analysis (HIC/JHA)
Human Performance Tool Usage
Job Briefings (pre or post)
Log Keeping
LOTO Administration
LOTO Installation
LOTO Issuance
Notification of Changes in Facility Status
On-Shift Training
Operator Aids
Operator Rounds/Round Sheets
Other
Procedure Quality
Procedure Usage
Radiological Work Practices
Safe Work Practices
SCWE
Shift Turnover
Supervisory Oversight
Training
Verifications (IV or Concurrent)
Work Package Quality
Work Package Usage