

**Attachment C4 –Behavioral Checklists**

## **Communication**

*While observing an individual communicate with someone else:*

- 1) Did the communications occur with an external entity \_\_\_\_, a member of a different organizational unit \_\_\_\_, or a member of the same organizational unit \_\_\_\_?
- 2) If the communication occurred with an external entity, was the entity another member of the company (outside the immediate facility) \_\_\_\_, a regulatory agent \_\_\_\_, a labor union representative \_\_\_\_, or a member of the public \_\_\_\_? N/A \_\_\_\_
- 3) Was the communication between individuals at the same level within the organization \_\_\_\_ or at different levels \_\_\_\_? N/A \_\_\_\_
- 4) If the communication was between two individuals at different levels within the organization, was it initiated by the lower level \_\_\_\_ or upper level \_\_\_\_ person? N/A \_\_\_\_
- 5) Was the communication formal \_\_\_\_ or informal \_\_\_\_?
- 6) Was the mode of communication face to face \_\_\_\_, telephone \_\_\_\_, electronic \_\_\_\_, or written \_\_\_\_?
- 7) Was the communication obviously strained \_\_\_\_, obviously pleasant \_\_\_\_, or was there no apparent affect \_\_\_\_?
- 8) Was the communication related to a safety issue \_\_\_\_, regulatory requirement(s) \_\_\_\_, production issue \_\_\_\_, personal conflict \_\_\_\_, or other \_\_\_\_?
- 9) If a conflict was brought up in the course of the communication, was it resolved? Yes \_\_\_\_ No \_\_\_\_ N/A \_\_\_\_
- 10) Was the communication in reaction to some event \_\_\_\_ or not \_\_\_\_?
- 11) Did the communication include discussion of ways to improve the facility's operation? Yes \_\_\_\_ No \_\_\_\_

## **Coordination of Work**

*When observing actual ongoing work or observing a work planning session:*

- 1) If a change in personnel occurred (e.g., shift change) in the course of ongoing work, did the different individuals give/receive a status report? Yes \_\_\_ No \_\_\_ N/A \_\_\_

Did any overlap occur among personnel? Yes \_\_\_ No \_\_\_ N/A \_\_\_

- 2) Were contractor personnel involved in conducting the work kept apprised of the work in progress (e.g., any problems that arose, any changes in action or schedule) and/or did they participate (e.g., are their opinions and suggestions sought) in the daily planning associated with the work? Yes \_\_\_ No \_\_\_ N/A \_\_\_

- 3) Did the department managers of the different groups involved in the work keep each other apprised of the work in progress? Yes \_\_\_ No \_\_\_ N/A \_\_\_

Did these managers in turn keep their employees apprised of the actions of the personnel from other departments? Yes \_\_\_ No \_\_\_ N/A \_\_\_

- 4) If someone was busy with their own jobs, did they watch what other unit members were doing and offer assistance when it was needed? Yes \_\_\_ No \_\_\_ N/A \_\_\_

- 5) Did the employees performing the work plan together and coordinate their efforts? Yes \_\_\_ No \_\_\_ N/A \_\_\_

- 6) If a significant problem or change in work schedule came up in the course of planning or performing work, was the facility manager contacted? Yes \_\_\_ No \_\_\_ N/A \_\_\_

## **Decision-making**

*While observing a decision-making process,*

- (1) was the setting formal \_\_\_ or informal \_\_\_?
- (2) did the process involve multiple hierarchical levels \_\_\_ or a single hierarchical level \_\_\_?
- (3) Did the decision revolve around technical \_\_\_ or policy \_\_\_ issues?
- (4) Were alternatives generated \_\_\_ or not \_\_\_?
- (5) Was resolution reached \_\_\_ or not \_\_\_?

If resolution was reached, was it a consensus seeking process \_\_\_ or was it a top-down process \_\_\_?

If resolution was not reached, was it decided to push the decision up the hierarchical chain \_\_\_ or not \_\_\_?

- (6) If the decision concerned policies, rules, and goals, did managers consult immediate subordinates? yes \_\_\_ no \_\_\_ N/A \_\_\_
- (7) If the decision concerned staffing, did managers consult with immediate subordinates? yes \_\_\_ no \_\_\_ N/A \_\_\_
- (8) If the decision concerned work-related matters, were superiors consulted? yes \_\_\_ no \_\_\_ N/A \_\_\_
- (9) If observing during planned intensive activities (e.g., preventive maintenance or replacement of machinery parts, longwall moves), were individuals allowed to make decisions without the approval of immediate superiors? yes \_\_\_ no \_\_\_ N/A \_\_\_
- (10) When making a decision, are decision support systems utilized? yes \_\_\_ no \_\_\_
- (11) When making a decision that is based upon available information, is the input of others sought? yes \_\_\_ no \_\_\_ N/A \_\_\_

## **Formalization**

*While observing an activity for which formal procedures exist:*

- 1) Were procedures used in performance of the activity? Yes \_\_\_ No \_\_\_
- 2) If procedures were used, were they conveniently located and easily accessible? Yes \_\_\_  
No \_\_\_
- 3) Was verbatim compliance with the procedures achieved? Yes \_\_\_ No \_\_\_
- 4) If verbatim compliance with the procedures was not achieved, was a formal process followed to obtain formal sanctioning of the procedural circumvention? Yes \_\_\_  
No \_\_\_
- 5) If verbatim procedural compliance was not achieved, was it because the procedures were not well understood or understandable? Yes \_\_\_ No \_\_\_
- 6) If verbatim procedural compliance was not achieved, was it because the activities described by the procedure could not be performed given the available conditions (e.g., time constraints, available personnel resources)? Yes \_\_\_ No \_\_\_

### **Goal Setting/Prioritization**

*When observing a planning or prioritization session:*

- 1) Was the purpose of the work discussed? Yes \_\_\_ No \_\_\_
- 2) Was the relevance of the work discussed? Yes \_\_\_ No \_\_\_
- 3) Was the defined work prioritized? Yes \_\_\_ No \_\_\_
- 4) Was the work set and prioritized with input from the affected organizational units?  
Yes \_\_\_ No \_\_\_
- 5) Was the work set with input from many organizational levels \_\_\_ or by upper-level  
management alone \_\_\_?
- 6) Were any target levels attached to the work? Yes \_\_\_ No \_\_\_
- 7) Was any formal methodology utilized to set priorities on the work? Yes \_\_\_ No \_\_\_
- 8) If the work was being set on a department level, was there any indication that overall  
organizational goals were being factored in? Yes \_\_\_ No \_\_\_ N/A \_\_\_
- 9) If the work was being set on an organizational level, was there any indication that  
corporate goals were being factored in? Yes \_\_\_ No \_\_\_ N/A \_\_\_
- 10) Was there overall agreement between the individuals setting the work on what the goals  
and priorities should be? Yes \_\_\_ No \_\_\_
- 11) Was there any indication that the goals of different departments were in conflict?  
Yes \_\_\_ No \_\_\_

## **Performance Evaluation**

*While observing ongoing work activities:*

- 1) Are the personnel performing the activities given specific job criteria that define organizational expectations prior to beginning the work? Yes \_\_\_ No \_\_\_
- 2) Do personnel performing the activities have performance feedback available so that timely performance correction can be achieved as necessary? Yes \_\_\_ No \_\_\_
- 3) Is the performance feedback available through facility indicators \_\_\_, verbal communication \_\_\_, or performance evaluation reports generated at a later date \_\_\_?
- 4) How do the personnel obtain the feedback? Automatically provided \_\_\_, performer must actively search environment to obtain \_\_\_
- 5) Is performance feedback available only to select individuals involved in the work activities \_\_\_, only to the group of individuals as a whole involved in the work \_\_\_ activities, or individually to all involved in the work activities \_\_\_?

## **Personnel Selection**

*While observing ongoing work activities:*

- 1) If deviation from originally planned activities is necessary, did the personnel selected to perform the activities have the appropriate level of accountability and responsibility to make and approve the deviation? Yes \_\_\_ No \_\_\_
- 2) Did the personnel selected to perform the activities collectively have the required knowledges, skills, and abilities to successfully perform those activities? Yes \_\_\_ No \_\_\_
- 3) If in the course of performing the work activities, it is determine that additional expertise is necessary to successfully complete the work, are individuals with the required expertise made immediately available? Yes \_\_\_ No \_\_\_
- 4) If the work is being performed by a crew of individuals, does an obvious structure to the group exist such that there is a clearly identified group leader and specified roles and responsibilities for each of the other group members? Yes \_\_\_ No \_\_\_
- 5) Were the personnel selected to perform the activities familiar with the task requirements \_\_\_ or was there obvious uncertainty regarding tasks to be performed \_\_\_?



### **Problem Identification and Resolution**

- 1) When a problem is identified, is there any evidence of a formal system through which employees can report potential problems? Yes \_\_\_ No \_\_\_ Is this system used? Yes \_\_\_ No \_\_\_ N/A \_\_\_ Does the system appear to be effective? Yes \_\_\_ No \_\_\_ N/A \_\_\_
- 2) When an employee is observed to report a potential problem, do they report it to their immediate supervisor \_\_\_, the supervisor in charge of the functional area the problem occurred in \_\_\_, or a safety manager \_\_\_? Does the supervisor make any reference to a future meeting in order to give feedback on how the input was addressed? Yes \_\_\_ No \_\_\_
- 3) Are information notices, vendor notices, and other types of current information bulletins circulated to affected personnel? Yes \_\_\_ No \_\_\_ Are they placed in prominent areas such as bulletin boards, entryways, employee locker rooms? Yes \_\_\_ No \_\_\_ Are any employees observed to be reading such notices? Yes \_\_\_ No \_\_\_
- 4) Are any committees in existence which are chartered to identify potential problems prior to their arising? Yes \_\_\_ No \_\_\_

## **Time Urgency**

*When observing ongoing work activities or a pre-job briefing is there evidence of the following:*

- 1) Are there obvious time pressures for work completion? Yes \_\_\_ No \_\_\_
- 2) If time pressures exist for work completion do they appear reasonable given the activities to be performed? Yes \_\_\_ No \_\_\_
- 3) If time pressures for work completion exist, is there evidence that those pressures compromised the quality of the work performed in any way? Yes \_\_\_ No \_\_\_
- 4) Are the time constraints for work completion clearly communicated to all individuals involved in the activity? Yes \_\_\_ No \_\_\_
- 5) What is the reason for the time constraints associated with the work activity? Safety concerns \_\_\_, Limited personnel resources \_\_\_, Other scheduled work activities \_\_\_, Pressure to get coal running \_\_\_, or Other/Unknown \_\_\_

## **Training**

*When observing a training activity (either classroom, laboratory, or on-the-job)*

- 1) Is the training being presented initial \_\_\_ or continuing \_\_\_ training?
- 2) Is the training being presented in a manner that is conducive to learning and retention? Yes \_\_\_ No \_\_\_
- 3) Is the training a result of an event or incident that occurred in the facility due to a personnel performance problem? Yes \_\_\_ No \_\_\_
- 4) Do the trainees appear hesitant to ask questions or clarify information? Yes \_\_\_ No \_\_\_
- 5) Are the trainees given an opportunity to provide feedback about the training? Yes \_\_\_ No \_\_\_
- 6) Are the trainees evaluated prior to the completion of the training? Yes \_\_\_ No \_\_\_

