

Attachment C3 – Phase D, Behavioral Anchored Rating Scales (BARS)

Attention to Safety

Attention to Safety refers to the characteristics of the work environment, such as the norms, rules, and common understandings that influence facility personnel's perceptions of the importance that the organization places on safety. It includes the degree to which a critical, questioning attitude exists that is directed toward facility improvement.

- 5 Individuals in the facility believe safety is the number one priority and that perspective is reinforced by senior (high-level) management and clearly disseminated to all individuals in the facility.
- 4 Personnel make an effort to correct problems in a timely and effective manner to ensure that safety levels are not compromised within the facility. Individuals have a clear understanding that safety is a top priority.
- 3 Facility management reflects a delicate balance of emphasizing safety, while at the same time, making it clear that there is a need to keep the facility operating.
- 2 At times, the interests of the stakeholders seem to take priority over concerns regarding the safe operation of the facility and the lack of organization wide support for safe facility operations is clearly evident.
- 1 Questions regarding safe operations are not welcome or addressed. Management's attitude is to keep running coal regardless of evident safety issues.

Coordination of Work

Coordination of Work refers to the planning, integration, and implementation of the work activities of individuals and groups.

- 5 When work that affects several departments is planned, all affected parties are contacted prior to the implementation of work. Departments are aware of what is to be done, when, and what each department's role will be in the work. Work is not stopped due to personnel or equipment shortages.
- 4 Each department develops good plans for how work will be accomplished and who is responsible for each step in the work process. Affected parties are not involved in the planning stages, but are told of the plan as soon as it is finalized. Work is rarely stopped due to personnel or equipment shortages.
- 3 When work plans are implemented, most departments and individuals know their roles and responsibilities. Departments work individually and usually do not have the acceptance or support of other departments. Affected parties are not involved in planning, but are simply told to implement the plan when it arrives. Work is often delayed due to personnel or equipment shortages.
- 2 Departments often fail to inform other departments or individuals about upcoming activities that affect their work efforts. Work is often stopped due to personnel or equipment shortages.
- 1 Each department goes about its business without concern for the work of others. Plans developed within departments are too broad for effective implementation. Work is almost always stopped due to personnel and equipment shortages.

BEHAVIORAL ANCHORED RATING SCALES

Decision-making

Decision-making refers to the extent to which authority is localized in one area or among certain people or groups.

- 5 Day-to-day decisions are made by a small group of senior (high-level) managers. Individuals at lower levels are not empowered to make decisions.
- 4 Individuals rarely act independently. All major decisions and many day to day decisions are made by senior (high-level) management and passed down the chain of command.
- 3 There is a balance between the senior (high-level) management and operational managers. Some decisions are made at the top while others are made at lower levels.
- 2 Decisions are often made by individuals, without consultation from senior (high-level) management. There is little pressure to confer with others regarding many operational decisions.
- 1 The decision making model of the organization is one that encourages making decisions at the lowest possible level. Decisions are regularly made by individuals throughout the facility.

BEHAVIORAL ANCHORED RATING SCALES

External Communication

External Communication refers to the exchange of information, both formal and informal, between the facility, its corporate organization, and external organizations.

- 5 Information flows freely in and out of the facility, keeping all aware of what they need to know about facility operations. Appropriate information available from outside the facility is utilized in facility operations.
- 4 The corporate organization feels like it is well informed regarding facility operations. Outside organizations believe they receive enough information to meet their needs. The facility is aware of relevant information available from other facilities as well as from the corporate organization.
- 3 The facility attempts to provide a continuous dialogue with the corporate organization, regulators, the public, and other outside organizations.
- 2 Communications with the corporate organization are characterized by us/them statements. The facility does not believe it is necessary to keep outside organizations updated, nor does it take advantage of potentially useful outside information.
- 1 The facility operates with the perspective that outside organizations are to be told as little as possible. Information is given out only when absolutely necessary.

BEHAVIORAL ANCHORED RATING SCALES

Formalization

Formalization refers to the extent to which there are well-identified rules, procedures, and/or standardized methods for routine activities as well as unusual occurrences.

- 5 Procedures and methods are readily available, correct, and reflect up-to-date information for operating activities. Changes to procedures are quickly put into the system to maintain currency of information. Vigorous adherence to procedures is evident across the facility.
- 4 Most departments have ready access to current rules and procedures governing their activities, both routine and unusual. Personnel are conscious of the importance of procedural adherence.
- 3 Routine processes and procedures are readily available, but unusual occurrences often require action without formal rules or guidelines.
- 2 When unusual operating conditions or actions are encountered, the lack of procedural information creates impediments to appropriate support and personnel action. Some procedures are clearly outdated.
- 1 Documentation of rules, procedures, and operating methods is sketchy and incomplete. No system of updating is apparent and many procedures are outdated. Procedural adherence is lacking in day-to-day operations.

BEHAVIORAL ANCHORED RATING SCALES

Goal Setting/Prioritization

Goal Setting/Prioritization refers to the extent to which facility personnel understand, accept, and agree with the purpose and relevance of goals.

- 5 Management and employee committees collectively gather, prioritize, and determine the hierarchy of goals resulting in goal dissemination throughout the facility. Employees understand how corporate goals relate to their day to day activities.
- 4 Goals are discussed with employees, established, and then disseminated to all employees and progress relative to goals is periodically assessed and publicized. Employees can "recite" the goals of the company and explain how the goals impact their own job.
- 3 Information on current goal attainment is solicited and new goals are formulated based upon past performance. The newly established goals are then disseminated to all employees. Most employees are aware of the goals of the organization, but are not sure how the goals affect their own job.
- 2 Senior (high-level) management establishes broad, general goals and informs department heads and other managers in the department of their responsibility. Employees at lower levels in the organization are not directly contacted about new goals.
- 1 No goals are established by senior (high-level) management. Employee behaviors do not match core values of management.

BEHAVIORAL ANCHORED RATING SCALES

Interdepartmental Communication

Interdepartmental Communication refers to the exchange of information, both formal and informal, between the different departments or units in the facility. It includes both the top-down and bottom-up communication networks.

- 5 Departments keep other departments constantly aware of information they need to know. Individuals within a department know where to go and who to talk to within other departments to obtain information.

- 4 Individuals can readily gain information from other departments when the need arises.

- 3 Interdepartmental lines of communication are well defined and often used on both a formal and informal basis.

- 2 Many departments think it is unnecessary and intrusive to communicate with other departments unless absolutely necessary.

- 1 Departments only communicate with each other when reacting to problems. Most departments are uncommunicative with one or more other departments.

BEHAVIORAL ANCHORED RATING SCALES

Intradepartmental Communication

Intradepartmental Communication refers to the exchange of information, both formal and informal, within a given department or unit in the facility. It includes both the top-down and bottom-up communication networks.

- 5 Individuals keep others within their own department aware of essential information. Employees know where to go and who to talk to within their department to obtain and transmit needed information.
- 4 Lines of communication are well defined within the department and are used on both a formal and informal basis.
- 3 Individual employees can readily gain information from within their department when the need arises.
- 2 Individuals only seek information from others within their department when it appears that the other person is not busy.
- 1 Individuals only communicate with others in their department when reacting to problems.

BEHAVIORAL ANCHORED RATING SCALES

Organizational Culture

Organizational Culture refers to facility personnel's shared perceptions of the organization. It includes the traditions, values, customs, practices, goals, and socialization processes that endure over time and that distinguish an organization from others. It defines the "personality" of the organization.

- 5 The organization works at defining its culture by promoting its strengths and recognizing and correcting its weaknesses. Employees have a strong sense of the "mission" of the organization and actively promote that mission.
- 4 Most employees feel that they are an integral part of the organization, helping to enhance its effectiveness and develop the skills and abilities of their colleagues.
- 3 Individuals coming to work at the facility for the first time see a wide variety of ideas and approaches to work but get the sense that all are working for the common good of the organization.
- 2 There are several distinct social influences within the facility, some having very different philosophies and ideas regarding how the facility should be run. How facility goals and mission are interpreted depends on where an individual works in the facility.
- 1 Groups, departments and collections of individuals appear to actively work against one another causing friction and lack of collective responsibility.

BEHAVIORAL ANCHORED RATING SCALES

Organizational Knowledge

Organizational Knowledge refers to the understanding facility personnel have regarding the interactions of organizational subsystems and the way in which work is actually accomplished within the facility.

- 5 People within the organization have an excellent understanding of the work and responsibilities of others as well as how the facility, as a whole, actually functions. They know what resources to use to “get the job done”.
- 4 Informal hierarchies/chains of command are well known within the organization and are often used to complete work in a timely and efficient manner.
- 3 Facility personnel have a general understanding of the appropriate resources and support available within the organization and how to access them.
- 2 Often un-trained and/or un-knowledgeable individuals are designated or consulted for specific jobs. Employees tend to have a narrow view of facility operations, barely extending beyond their own responsibilities.
- 1 Individual skills and responsibilities are not common knowledge among facility personnel. As a result, personnel do not utilize the network by which the organization is known to run and work can not be completed in a timely and efficient manner. Few individuals have a clear understanding of overall facility operational processes.

BEHAVIORAL ANCHORED RATING SCALES

Organizational Learning

Organizational Learning refers to the degree to which facility personnel and the organization use knowledge gained from past experience to improve future performance.

- 5 Departments throughout the facility hold regular meetings to discuss how various tasks have been performed and how they might be done better in the future. Whenever an event occurs at the facility, a meeting is called to discuss the way the event was handled and more effective alternatives and the results of the meeting are disseminated to the larger facility community.
- 4 Individuals and groups of employees pay close attention to past behaviors and how they can be improved in the future. Information about past activities is formalized and available for future reference.
- 3 The facility usually holds review sessions to discuss operating problems and attempts to uncover solutions to past difficulties. The information is communicated to the larger facility population when it concerns significant activities.
- 2 Many individuals seem to commit the same errors over and over, without regard for how these errors can be avoided via training or through analysis of past experience.
- 1 Departments continue to use systems, procedures and work practices that have a history of inefficiency or failure therefore the same mistakes are made over and over.

BEHAVIORAL ANCHORED RATING SCALES

Performance Evaluation

Performance Evaluation refers to the degree to which facility personnel are provided with fair assessments of their work-related behaviors. It includes regular feedback with an emphasis on improvement of future performance.

- 5 Performance reviews occur on a regular basis and provide employees with information that allows for increased understanding of past behaviors and plans for future performance goals.
- 4 Individuals receive regular performance feedback, both formal and informal, and view it as instructive and fair.
- 3 Performance evaluation is a regular part of the organization's personnel system. Supervisors follow specific procedures which most employees find to be useful for understanding past performance reconciling pay increments.
- 2 Performance evaluation is performed irregularly and is viewed by both supervisors and subordinates as a necessary evil of corporate life. Most people see no link between performance appraisal and other organizational outcomes such as salary increments and promotions.
- 1 Performance evaluations rarely occur and when they do it is widely recognized as the beginning of the end; the supervisor is building a case for firing someone. Specific performance related feedback is not part of the system.

BEHAVIORAL ANCHORED RATING SCALES

Performance Quality

Performance Quality refers to the degree to which facility personnel take personal responsibility for their actions and the consequences of the actions. It also includes commitment to and pride in the organization.

- 5 Individual employees clearly understand their duties. Proper implementation and compliance to procedures as well as a sincere desire to do top quality work is evident throughout the organization.
- 4 Employees understand their role in completing both cooperative and individual activities. Good procedures and quality of work lessen the amount of additional, unnecessary work.
- 3 Guidelines, work goals, and job descriptions exist that define duties of employees and departments. Personnel oversight and compliance is consistent and meets management expectations.
- 2 Work items are not always completed by the appropriate personnel so there is often confusion regarding who is responsible for specific activities. It is not surprising that a significant number of personnel errors occur.
- 1 Numerous tasks go undone because individuals and/or departments assume that someone else is responsible. Personnel do nothing about violations such as inaccurate reports or incorrect procedures. The blame is often placed on others and corrective actions are rarely taken.

BEHAVIORAL ANCHORED RATING SCALES

Personnel Selection

Personnel Selection refers to the degree to which facility personnel are identified with the requisite knowledge, experience, skills, and abilities to perform a given job.

- 5 Employees throughout the facility are well-skilled and fully capable of handling the multiple responsibilities of their job. Both routine and unique situations are handled without incident.
- 4 Most employees have the requisite knowledge, skills, and abilities to successfully perform all aspects of their jobs. Unusual events are handled competently by the appropriate personnel.
- 3 Facility employees have most of the knowledge, skills, and abilities which are required to adequately perform their jobs. Situations sometimes arise requiring assistance from others because the responsible personnel do not have the necessary knowledge, skills, and abilities. Selection of employees is logical and appears to work well for most positions.
- 2 Many facility employees lack the appropriate knowledge, skills, and abilities needed to perform their job. Situations often occur which can not be properly handled by the individuals who are assigned to handle them.
- 1 Facility personnel are not adequately skilled to carry out the basic responsibilities of their job. Situations regularly arise which require assistance from outside sources or additional members of the workforce. Selection programs are inconsistent across positions and some employees appear under skilled for their job.

BEHAVIORAL ANCHORED RATING SCALES

Problem Identification and Resolution

Problem Identification and Resolution refers to the extent to which the organization encourages facility personnel to draw upon knowledge, experience, and current information to identify and resolve problems.

- 5 Employees are equipped with the knowledge and are encouraged to proactively identify potential problems (e.g., equipment, personnel, scheduling). Employees are asked to notify management of potential problems which are then properly addressed.
- 4 Employees are encouraged to notify management of problems they observe. Problems identified by employees are funneled into a system that evaluates the problem and makes a determination regarding future action. Employees receive feedback about problems that were acted upon.
- 3 Employees have a system to report problems they identify. Employees are given inconsistent feedback about problems they identified or problems that were fixed.
- 2 Problems reported from the general employee group rarely receive consideration. Some employees lack the knowledge required to identify potential problems. In some situations, problem identification is met with extreme defensiveness.
- 1 Problems go undetected, or unreported, since most employees lack the knowledge, experience and information necessary and/or fear the consequences of identifying problems.

BEHAVIORAL ANCHORED RATING SCALES

Resource Allocation

Resource Allocation refers to the manner in which the facility distributes its resources including personnel, equipment, time and budget.

- 5 Management and employee committees collectively gather, prioritize, and determine the hierarchy of goals so that all affected parties understand how corporate goals relate to their daily activities. Employees have sufficient resources to implement these goals.
- 4 Goals are discussed with employees, established, and then disseminated. Progress relative to these goals is then periodically assessed and publicized. Personnel are able to properly prioritize the correction and prevention of problems and seek appropriate guidance and/or materials when necessary.
- 3 Information on current goal attainment is solicited and new goals are formulated based upon past performance. Most employees are aware of the goals of the organization, but are not sure how the goals affect their own job. Personnel do not always have the support or resources necessary to correct, prevent, or implement procedures designed to achieve specific goals.
- 2 Senior (high-level) management establishes broad, general goals and informs department heads and other managers in the department of their responsibilities. Employees at lower levels in the organization are not directly contacted about new goals and are not always informed of the measures they need to take in order to complete work directed at achieving goals.
- 1 No functional goals are established by senior (high-level) management and employee behaviors do not match core values of management. There exist numerous barriers to both human and financial resources that are necessary for proper facility operations.

BEHAVIORAL ANCHORED RATING SCALES

Roles and Responsibilities

Roles and Responsibilities refer to the degree to which facility personnel's positions and departmental work activities are clearly defined and carried out.

- 5 Individual employees and groups of employees clearly understand their duties, how those duties relate to others, and duties of other individuals and units within the facility.
- 4 Employees clearly know who to go to when a task needs to be done and understand their role in completing cooperative activities.
- 3 Guidelines, work goals and job descriptions exist that define duties of employees and departments.
- 2 Information about individual and departmental responsibilities are often too general or not documented resulting in confusion regarding who is responsible for specific actions.
- 1 Numerous tasks go undone because individuals and/or departments assume that someone else is responsible. Once a problem occurs, finger pointing, covering up, and "it's not our fault" is the usual post problem behavior.

BEHAVIORAL ANCHORED RATING SCALES

Time Urgency

Time Urgency refers to the degree to which facility personnel perceive schedule pressures while completing various tasks.

- 5 Scheduling decisions (written and unwritten) are made by affected parties so that efficiency is maximized. Everyone has an interest in timely completion of tasks. Tasks are completed on time without comprising quality or requiring personal sacrifice.
- 4 Employees in the facility attempt to get a maximum number of tasks completed safely. Occasionally, employees will put timeliness before quality, but that is the exception rather than the rule.
- 3 Employees in the facility feel that it is important to be "on time" when it comes to completing tasks, but their main concern is meeting their daily quota.
- 2 People in the facility feel that deadlines can always be extended to accommodate a slower pace of work, even when the slower pace is not required to maintain safety or quality. There is little concern among employees for timely completion of tasks.
- 1 Employees feel they have unlimited time to work on a task as long as the task is completed safely. This often results in work extending well beyond deadlines and interruptions in facility operations.

Training

Training refers to the degree to which facility personnel are provided with the requisite knowledge and skills to perform tasks safely and effectively. It also refers to facility personnel's perceptions regarding the general usefulness of the training programs.

- 5 The organization encourages using appropriate amounts of time, money, resources, and current information in its training programs. Personnel obtain and retain the knowledge and job related skills and show constant improvement after training. The organization consistently looks for opportunities to develop training programs that will enhance performance.
- 4 Training programs address all necessary safety and performance concerns and provide the knowledge and skills to perform tasks effectively. The organization is proactive in developing training programs.
- 3 When problems arise, the organization schedules training activities to make personnel aware of problems and give them the means to solve them.
- 2 Little effort is put into developing and implementing strong, effective training programs. Those who make errors are not required to be retrained. The organization appears to develop training programs only in reaction to severe events or when required by an outside agency to do so.
- 1 Training is merely seen as a procedure to appease upper management, regulatory agencies, and/or public criticism. The organization and its individuals do not see training as a means of performance improvement.