

# **NS&T MANAGEMENT OBSERVATIONS QUARTERLY PERFORMANCE ANALYSIS FY 2014, 3rd Quarter**

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July 2014



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## CONTENTS

Background.....	1
Evaluation Methods .....	1
Participation .....	2
Observation Quality .....	2
Observation Reviews .....	3
Results, Analysis, Actions .....	4
Participation .....	4
Observation Quality .....	4
Observation Review .....	5

## FIGURES

<b>FIGURE 1.</b> Management participation.....	4
<b>FIGURE 2.</b> Management Observation Quality Index. ....	5

## TABLES

<b>TABLE 1.</b> Frequency requirements for Observations.....	2
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## Background

The INL Management Observation Program (MOP) is designed to improve managers and supervisors understanding of work being performed by employees and the barriers impacting their success. The MOP also increases workers understanding of managements' expectations as they relate to safety, security, quality, and work performance. Management observations (observations) are designed to improve the relationship and trust between employees and managers through increased engagement and interactions between managers and researchers in the field.

As part of continuous improvement, NS&T management took initiative to focus on the participation and quality of observations in FY-14. This quarterly report is intended to (a) summarize the participation and quality of management's observations, (b) assess observations for commonalities or trends related to facility or process barriers impacting research, and (c) provide feedback and make recommendations for improvements NS&T's MOP.

## Evaluation Methods

The NS&T Management Observation website provides managers with the guidance and tools to plan, perform, and document a management observation. The website outlines the purpose and goal of management observations, identifies performance expectations, and provides guidance for addressing performance issues. Subsequent to performing an observation, managers use the website to document the results using time/date, binning categories, and narrative text boxes. Reviewers of the observations use the website to bin any of the issues identified, review the scope and content of the observation, and assign a quality score. This report uses the website data to track progress and report results.

The primary means for evaluating Management Observations is:

**Participation** - Tracking participation and completion of observations will be compared to the assigned frequency (quantity) over time.

**Observation Quality** - The documented scope and content of the management observation will be evaluated and graded against predefined quality criteria.

**Observation Review** - Results from management observations will be reviewed and analyzed for issues, trends, safety concerns, corrective actions, and areas for improvement.

## Participation

Management observations are tracked to monitor management participation. NS&T has established frequency requirements based on the levels and roles of management (Table 1).

**TABLE 1.** Frequency requirements for Observations.

MANAGEMENT OBSERVATION PARTICIPATION REQUIREMENTS		
◆	Associate Lab Director	Quarterly
	Chief Operations Officer	Quarterly
	Division Director	Quarterly
	Deputy Division Director	Quarterly
■	Department Manager	Monthly
	Operations Lead	Monthly
	Lab Manager (LM)	Monthly
	Lab Space Coordinator (LSC)	Monthly
	Principal Researcher (PR)	Monthly
	Mission Manager	Monthly

The ‘participation’ metric uses discrete data to measure of the percentage of managers completing their assigned number of management observations for a given month. The thresholds for management participation are set as follows:

- **Green** = >85% completion rate
- **Yellow** = 70 – 85% completion rate
- **Red** = <70% completion rate
- **Acceptable performance** = not to drop below a 75% completion rate for two consecutive months.

## Observation Quality

Observation quality converts qualitative evaluations of the observations into a quantitative measure. Using criteria to facilitate objectivity; each management observation is reviewed, evaluated, and graded using a simple 3-point system (3 being the highest quality; 1 being the least quality).

- 3 Points** Work observed is of moderate complexity. The interaction between manager and worker is well documented. The observation provides insightful evaluation, analysis, and/or recommendations which may result in specific actions or improvements (resolving of conditions, correcting behavior). Discussions reinforce expectations, provide behavior-based coaching or correction, and/or are specific to behaviors, practices, and performance. If identified, issues/conditions are entered into LabWay.
- 2 Points** Work (tasks) or work areas are observed and evaluated. Observations are generally neutral in evaluation and analysis (e.g., 'good communication', 'proper PPE', 'good housekeeping'). Discussion or feedback between manager and worker is apparent, but did not document the reinforcement of expectations, behavior-based coaching/correction, or was not specific to work practice and/or performance.
- 1 Point** Observation involved little or no actual work (e.g., housekeeping in an empty lab). Documentation only provided a description of the task or work area observed. No documented interactions, communications, or feedback between manager and worker. No evaluation, analysis, or recommendation.

The thresholds for observation quality are set as follows:

- **Green** = >2.25
- **Yellow** = 1.5 – 2.25
- **Red** = <1.5
- **Acceptable performance** = not to drop below a value of 2 for two consecutive months.

## Observation Reviews

Reviews of the management observations includes identifying facility and process barriers impacting research, safety concerns, corrective actions, and areas for improvement. Barriers, concerns, and issues will be entered into LabWay for tracking and trending.



## Results, Analysis, Actions

### Participation

NS&T Management participation remained satisfactory. While there was decrease in participation from 'Directors' for the quarter, 'Managers' participation increased for the quarter and are trending positively (Figure 1). The threshold for acceptable performance was not negatively exceeded (i.e., not to drop below 75% for two consecutive months) and no immediate action or intervention is required.

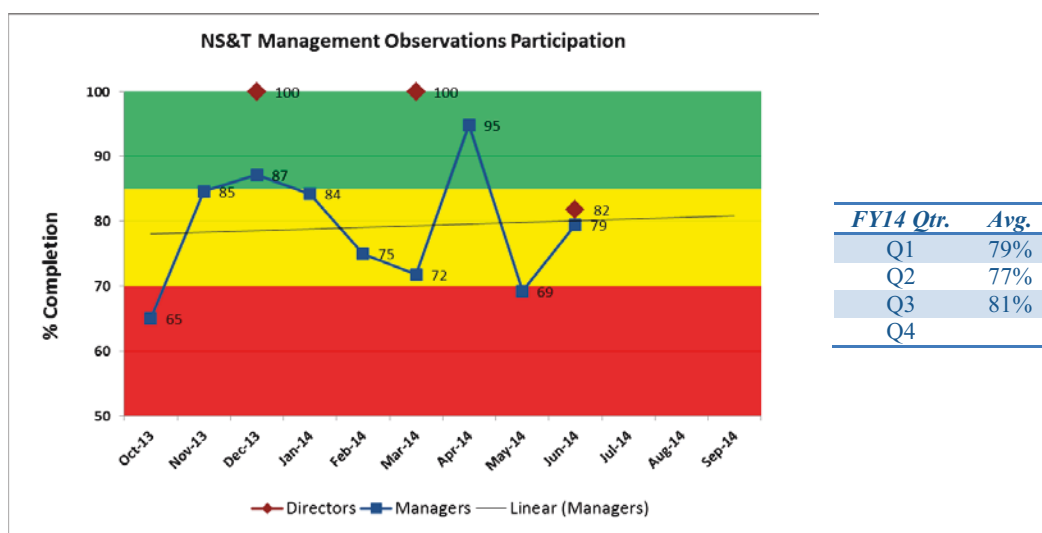
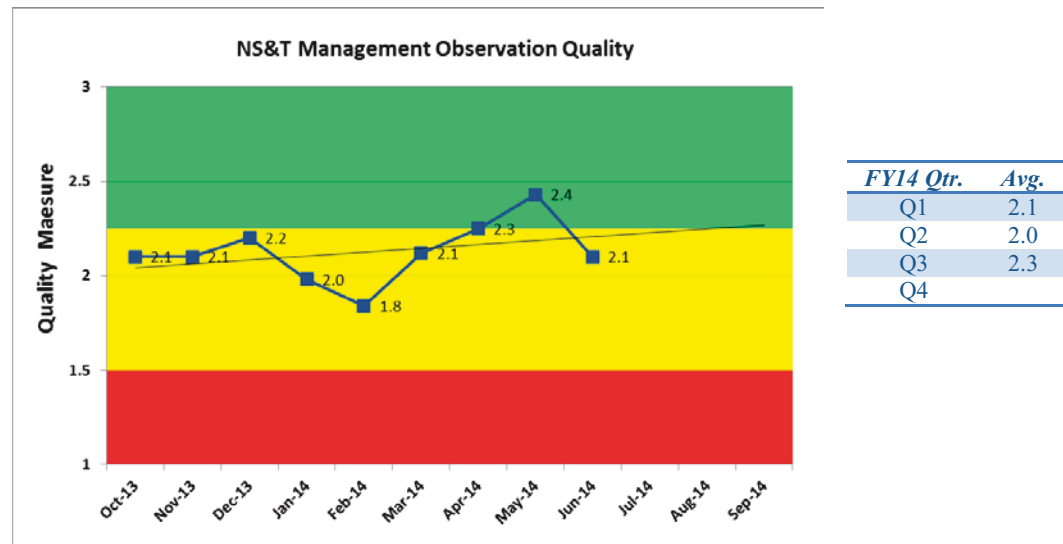


FIGURE 1. Management participation.

### Observation Quality

The observation quality increased for the third consecutive quarter, remained satisfactory, and are trending positively (Figure 2). The impact of NS&T's management actions during the 2<sup>nd</sup> quarter (using the NS&T Laboratory Operations Forum to outline the expectations and criteria used to evaluate observations) may have contributed to the increase in quality for the 3<sup>rd</sup> quarter. NS&T is participating on the MOP Collaboration Team being led by the Sitewide Performance Assurance organization. The team is reviewing the current sitewide MOP and evaluating improvements.



**FIGURE 2.** Management Observation Quality Index (Nov-13 data was recalculated to address missed data and increased the quality score from 1.5 to 2.1).

## Observation Review

Observation focus areas were broadly distributed and included defining and planning work scope, hazard identification, work execution, communications, and general housekeeping. Of the 116 observations performed this quarter, 90% were identified as ‘meeting expectations’ and approximately 10% were identified as ‘shows room for improvement’. Observations indicating ‘shows room for improvement’ are documented in LabWay as applicable.

No significant safety issues were identified this quarter. A trend for less than adequate work area/laboratory conditions was identified and reported to the Integrated Operations Performance Assurance Committee (IOPAC) and to the INL Operations Council (see below). This quarter’s observations, actions, and improvement opportunities are summarized as follows:

- **Facility/Equipment/Resources**
  - A review of past and recent a) management observations, b) LabWay conditions (CO 2014-3539, CO 2014-1652, CO 2014-3004, CO 2014-3426, CO 2013-1013, CO 2013-1015, CO 2013-1016), c) LM/PR laboratory checklists, and d) VPP EST walkthroughs indicates that there is a *trend* of work area/laboratory environmental conditions negatively impacting researchers and research activities [temperature fluctuations

(RCL, XRD lab, TRA-666), excessive HVAC and background noise (EIL, HTTL, FCF)]. This trend was reported to the IOPAC and to the INL Operations Council.

- HTTL: low water pressure and water piping crud, inert gas line impurities, and inadequate 110/120 V electrical outlets; Equipment required for connecting to inert gas and sufficient water pressure for cooling our furnace not available; there continues to be excessive HVAC noise in Room B-108.
- Difficulties establishing Bluetooth connection in MFC-789
- Due to the limited RCT resources at RCL, if there are multiple activities requiring their attention, full time coverage is not provided. Although from a safety perspective, this is not required - it is impacting productivity.

- **Requirements, Procedures, Documents**

- The labor and administrative costs associated with identifying and inventorying precious metals appears excessive. A review of the underlying DOE basis requirement and the establishment of a de-minimus quantity should be considered.
- Trained personnel were not notified that a new revision of work control was implemented. Consider an automated or semi-automated mechanism for notification of "work control documentation change" for effected employees.

- **Training**

- None identified.

- **Housekeeping**

- General improvement overall from previous quarter; some lab areas can still be improved.
- FASB: Improved cleanliness and organization inside glovebox indicates that the previous conversation, peer mentoring, and email communication effectively reinforced the expectations.

- **Work Practices**

- Reinforcement and positive recognition of various work practices (e.g., use of FRM-1253, placement of hood sash, waste minimization and ALARA, PPE use, radiological surveys, pre-job briefings, reading of Laboratory Instructions, safety pauses).