

**UTHSC**  
**Office of Research Safety Affairs**  
**Guidelines for Evaluating Personnel Safety Performance**

**Introduction**

Understanding that safety will be a basis for their annual evaluation helps to promote conscientious adherence to safety practices, limits the liability of the Principal Investigator and the institution and helps promote high quality research. The University of Tennessee Performance Review Detail Form category for Decision Making/Problem Solving Skills identifies Safety as a factor for evaluating employee performance. Institutional policy as well as governmental regulations detail safety responsibilities for employees. The Office of Research Safety has prepared a pair of rubrics to assist lab supervisors and department chairs in their evaluation of employee safety performance. The rubrics are intended to align with institutional safety policies and regulatory requirements. The rubric to assess the performance of Principal Investigators utilizes data from each lab's most recent lab safety inspection. The Office of Research Safety Affairs will make this data available to department chairs upon request.

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**Safety Performance Evaluation Rubric: Research Staff**

This rubric is recommended for use by Principal Investigators evaluating the performance of the research staff within their laboratory. Institutional policy and regulatory requirements serve as the basis for evaluating researcher safety performance.

Rarely Achieves	Sometimes Achieves	Fully Achieves	Meets and Occasionally Exceeds	Consistently Exceeds
<p>Safety training requirements not met. (Completion status for lab personnel can be reviewed on <a href="#">EHS Assistant</a>)</p> <p>Does not routinely decontaminate work surfaces or change contaminated absorbent on the benchtop. Reagents and waste remain in work area while not in use.</p> <p>Repeatedly reminded to wear PPE (e.g. lab coat, gloves and safety glasses). Lab coat and eye protection not maintained in a clean and useable manner. Inappropriate clothing worn in lab such as shorts, short skirts, open-toed shoes.</p> <p>Eats, drinks, stores food or applies cosmetics in lab</p>	<p>Partial completion of lab safety training (e.g. Lab Safety and Chemical Hygiene and BSL2 course). Must be reminded to complete requirements.</p> <p>Work area generally well-maintained and free of waste, clutter or unused material; surfaces frequently deconed or absorbent paper changed when contaminated, but not necessarily daily when area in use.</p> <p>Has been reminded to wear appropriate PPE. Routinely wears appropriate attire in lab (no short or open-toes shoes)</p> <p>Has been reminded not to eat, drink store food or applied cosmetics in lab.</p>	<p>All safety training requirements met with minimal reminders.</p> <p>Work area well-maintained and free of waste, clutter or unused materials; surfaces decontaminated, or absorbent paper changed daily when in use</p> <p>Routinely wears appropriate clothes to work and PPE in accordance with laboratory and institutional policy.</p> <p>Does not eat, drink store food or applied cosmetics in lab.</p>	<p>All safety training requirements met. Informs colleagues or Jr. staff members about hazards, proper handling procedures, etc.</p> <p>Work area well-maintained and free of waste, clutter or unused materials. Notifies Facilities or Research Safety Affairs about issues that need to be addressed (e.g. handwashing supplies, lightbulbs out, fume hood issues).</p> <p>Routinely wears appropriate PPE. Encourages others to comply with PPE requirements</p> <p>Does not eat, drink store food or applied cosmetics in lab.</p>	<p>All safety training requirements met. Routinely performs training role within lab informing colleagues of hazards, procedures and how to properly use PPE.</p> <p>Work area well-maintained and free of waste, clutter or unused materials. Assumes responsibility for ensuring biosafety cabinets are certified and equipment is well maintained.</p> <p>Routinely wears PPE.; has assumed responsibility for ensuring PPE requirements are met by lab staff.</p> <p>Viewed as a leader within the lab. Conscientiously promotes safety and compliance among personnel. Reports safety concerns in surrounding work areas.</p>

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**Safety Performance Evaluation Rubric: Principal Investigator**

This rubric is recommended for use by department chairs evaluating the performance of Principal Investigators within their department. Upon request the Office of Research Safety Affairs will provide data from the latest laboratory safety inspection to be used as criteria for evaluating Principal Investigator safety performance. This data includes each Principal Investigator’s Lab Safety Inspection score, their performance summary in each seven safety categories and the number of re-inspections required before they addressed all findings.

Rarely Achieves	Sometimes Achieves	Fully Achieves	Meets and Occasionally Exceeds	Consistently Exceeds
<p>Principal Investigator scored &lt;85 on most recent lab safety inspection.</p> <p>Required more than 2 re-inspections before all safety-related findings were resolved.</p> <p>The Lab Safety Inspection Summary showed the PI to be “in the red” in more than one lab safety assessment category. (Green=good, yellow=caution, red=concern)</p>	<p>Principal Investigator scored 85-90 on most recent lab safety inspection.</p> <p>Required 1 or 2 re-inspection before all safety-related findings were resolved.</p> <p>The Lab Safety Inspection Summary showed the PI to be “in the red” one lab safety assessment category.</p>	<p>Principal Investigator scored at least 90-95 on most recent lab safety inspection.</p> <p>All safety-related findings were resolved at or before first re-inspection.</p> <p>The Lab Safety Inspection Summary showed the PI to be “yellow” or “green” for all lab safety assessment category.</p>	<p>Principal Investigator scored at least 90-95 on most recent lab safety inspection.</p> <p>All safety-related findings were resolved before first re-inspection.</p> <p>The Lab Safety Inspection Summary showed the PI to be have not more than two “yellow” lab safety assessment categories with the rest “green”.</p>	<p>Greater than 95 on most recent lab inspection or Principal Investigator received the award for the Most Outstanding Lab Safety Inspection.</p> <p>All safety related findings were resolved during the inspection or the issue was closed by email before re-inspection was necessitated.</p> <p>The Lab Safety Inspection Summary showed the PI to be “green” for all lab safety assessment categories.</p>