

# MAPP

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<b>BEHAVIOR BASED SAFETY SAFETY OBSERVATION REPORTS (SOR)</b>	
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## 1. PURPOSE

- 1.1 The purpose of the Safety Observation Report (SOR) process is to engage all workers in the observation of work in progress so that a maximum number of workers, with diverse experiences and perspectives, are involved in the process. This process also provides a method for identifying and documenting safe acts and safe workplace conditions.

## 2. SCOPE

- 2.1. This policy applies to all employees, subcontractors, and workers engaged in operations covered by the MAPP's HSE Program. No work will resume until all stop work issues and concerns have been adequately addressed.

## 3. MAPP Roles & Responsibilities

- 3.1. The **Senior Project Executives** are responsible for:

- 3.1.1. Providing HSE leadership by actively participating in the SOR process and conducting regular HSE observations,
- 3.1.2. Exercise accountability, as appropriate;
- 3.1.3. Regularly attend and participate in HSE observation meetings;
- 3.1.4. Recognize good observation by individuals and teams;

- 3.2. The MAPP **Project Manager** is responsible for:

- 3.2.1. Provide HSE leadership by actively participating in the SOR process and conducting regular HSE observations,
- 3.2.2. Encourage and ensure that all site personnel participate in the SOR process,
- 3.2.3. Helping to design promotional and recognition programs to encourage SOR process quality and/or participation.
- 3.2.4. Recognize good observation by individuals and teams;
- 3.2.5.

- 3.3. The **MAPP Superintendent** has the responsibility to:

- 3.4.1 Actively participate in the SOR process by conducting regular HSE observations,
- 3.4.2 Encourage and ensure that all project foreman and site workers participate in the SOR process.
- 3.4.3 Discuss all observations in a positive and constructive manner, and where necessary agree on appropriate corrective actions,
- 3.4.4 Ensure that SORs are completed in a timely manner and promptly submitted,
- 3.4.5 Ensure completion of any required corrective action.
- 3.4.6 Recognize good observation by individuals and teams;

- 3.4.7 Utilize SOR trending data to plan HSE communication efforts and provide feedback to workers and the project team

3.4. The **MAPP Corporate Safety Department** will:

- 3.4.1. Providing training materials on the SOR process,
- 3.4.2. Assist in gathering and compiling SOR data,
- 3.4.3. Provide the staff with guidance and assistance on observation best practices and trending analysis.
- 3.4.4. Utilize SOR trending data to provide training and feedback to project sites.

3.5. Each **Subcontractor** shall retain primary responsibility for the safety of its employees and ensure participation in the SOR process.

- 3.5.1. Effectively communicate SOR goals and methods to their work force,
- 3.5.2. Actively participate in the SOR process by conducting regular HSE observations,
- 3.5.3. Ensure that SORs are completed in a timely manner and promptly submitted,
- 3.5.4. Ensure completion of any required corrective action.

3.6. **Employee** All employees and workers on site shall:

- 3.6.1. Actively participate in the SOR process by conducting regular HSE observations,
- 3.6.2. Ensure that SORs are completed in a timely manner and promptly submitted,
- 3.6.3. Ensure completion of any required corrective action if possible,
- 3.6.4. Stop work, notify supervisor, and correct immediately any imminent danger situations, e.g., exposure to falls from elevations, electrocution hazards, exposure to improperly protected excavations, etc.;

## 4. PROCEDURE

4.1 The SOR (HSE05-002) is a proactive process designed to identify, document, and change unsafe conditions and unsafe or at-risk behavior through supervisor and employee involvement.

### 4.2 Conducting HSE Observations

- 4.2.1 Observations may be conducted by individuals or teams of workers. Observers will monitor work in progress for safe or unsafe acts and safe or unsafe conditions.
- 4.2.2 Observations can include any number of workers for any length of time or workplace conditions.
- 4.2.3 Open and constructive communication between the observer(s) and worker(s) is an important feature of the SOR process. Unsafe acts and unsafe conditions should be discussed and resolved on the spot, if possible.
- 4.2.4 Safe work practices should likewise be identified and positively reinforced through compliment and praise.

- 4.2.5 If imminent danger situations are encountered, work must be immediately stopped and workers removed from the hazard, the hazard abated, and a thorough investigation conducted.
  - 4.2.6 Observations shall be recorded on the Safety Observation Report form.
  - 4.2.7 Although signatures by those submitting SORs are important and typically required, the reports may be submitted anonymously. Names of workers, who might be involved with unsafe acts or unsafe conditions, are not to be recorded in the SOR.
  - 4.2.8 The causes for unsafe acts or unsafe conditions should be determined through discussion and analysis among worker(s) and observer(s) and recorded in the SOR.
  - 4.2.9 The form shall be signed and dated by the person(s) conducting the observation.
  - 4.2.10 SORs can be submitted to either the employee's supervisor or the MAPP Superintendent.
- 4.3 Analysis of Cause
- 4.3.1 The MAPP Superintendent with the HSE Department will gather and compile SOR data and identify trends to provide feedback to employees and the project team. This input facilitates development of special emphasis programs designed to highlight positive behaviors and work practices and to address the specific types of deficiencies observed.
  - 4.3.2 Thorough identification of the causes of observed deficiencies facilitates remedial action.
  - 4.3.3 Typically, direct causes identified through the SOR process, are due to
    - 4.3.3.1 Unsafe acts or
    - 4.3.3.2 Unsafe conditions.
  - 4.3.4 Typically, indirect causes identified through the SOR process, are due to a
    - 4.3.4.1 Lack of training (knowledge, understanding, perception of risk),
    - 4.3.4.2 Lack of resources (time, material, personnel), and/or
    - 4.3.4.3 Lack of belief (confidence, commitment, or reinforcement by supervision) combined with other factors, such as poor morale, peer pressure, inattention, etc.
- 4.4 Corrective Actions
- 4.4.1 It is important that all deficiencies reported have documented corrective actions, the majority of which should be implemented at the time the observation is made.
  - 4.4.2 Some corrective actions may require a period of time to resolve if, for instance, client involvement is required, equipment must be ordered, etc.; therefore, a log or record will be kept to document the final close-out or completion of such actions.
  - 4.4.3 SORs, complete with documentation that corrective measures have been taken, shall be retained for the project duration at minimum.

## 5. TRAINING

- 5.1 Proper “observer training” is required for effective implementation of the SOR process. The MAPP Project Orientation presentation shall cover the SOR training process and the HSE department shall provide additional written training material for the Project Team to utilize as necessary.