

Chapter 33

Management Walkthroughs

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1 Overview

This chapter describes the direct role of all levels of management in conducting environment, safety, and health (ESH) management walkthroughs. The purpose of these management walkthroughs is to improve organizational performance and safety. During these walkthroughs, managers will interact with their employees and have meaningful discussions about workplace safety. Managers will observe work, reinforce safe work behaviors, and identify ways to help their staff improve work effectiveness and safety.

The behavioral observations performed during these walkthroughs are a key element of the ESH Assurance System, itself part of the overall SLAC Assurance System, along with

- Other forms of self-assessment (for example, ESH goal setting, reports, hazard control reviews)
- Quarterly directorate ESH self-evaluation and reporting
- ESH program self-assessments and reports
- Internal and external independent assessments
- ESH inspections performed by building managers

These walkthroughs are essential for the success of the SLAC Integrated Safety and Environmental Management System (ISEMS). Management walkthroughs are one of the ways in which the ISEMS Guiding Principle 1, “Line Management Responsibility for Safety”, is implemented. This is because managers are in the best position both to evaluate the managed activities and to make changes. Personal involvement by managers encouraging and recognizing positive behaviors will help to both maintain compliance and improve organizational performance.

Though this chapter focuses primarily on behavioral observations, the SLAC management self-assessment process also includes a compliance component. While walking through their areas of responsibility and observing work, managers will also support the correction of any deficient conditions they identify. These walkthroughs also implement our responsibilities under [10 CFR 851.10](#) to provide a workplace “free from recognized hazards”.

2 Scope

This chapter covers requirements for management walkthroughs and applies to all SLAC supervisors and managers with direct reports.

Other elements of the ESH Assurance System are described in Section 4 of the [SLAC Integrated Safety and Environmental Management System Description](#), the [SLAC Assurance Program Description](#), the [Building Manager Program Manual](#), and [SLAC University Technical Representative Requirements and Procedures for Construction](#).

Requirements for other ESH workplace assessments and more detailed inspections, for example hazardous material storage area and hoisting and rigging equipment inspections, are described in the hazard-specific chapters of this manual and the [Building Manager Program Manual](#).

3 Implementation

The requirements of this chapter take effect July 16, 2009.

4 Requirements

4.1 General

The purpose of this section is to describe for management and any interested parties the overall framework of the program. Instructions for field use are in separate, targeted documents, listed in Section 4.2, “Procedures and Specific Requirements”.

4.1.1 Management Walkthroughs

4.1.1.1 Participants

Management walkthroughs, to observe ESH-related work behaviors, are to be conducted by all levels of management with direct reports, from first-line supervisors to the laboratory director, following the [Management Walkthroughs: Walkthrough Procedure](#).

4.1.1.2 Frequency

Management walkthroughs are to be conducted at regular frequencies described in the [Management Walkthroughs: Walkthrough Procedure](#).

These are minimum requirements and at least how frequently the walkthroughs should be documented. Supervisory personnel are encouraged to perform more frequent walkthroughs, based on factors including potential for changing work scope/hazards, compliance history, non-routine work, and competency of staff.

4.1.1.3 Documentation

Management walkthroughs, per the frequency requirements, are to be documented using the Safety Management Records Tool ([SMART](#)), even when no deficiencies are noted. Results requiring management follow up that are of a *serious* or *important* significance level as defined in the [SLAC Assurance Program Description](#) are to be recorded in the Corrective Action Tracking System ([CATS](#)). Items that are candidates for CATS will typically be noted deficient conditions.

Results in SMART and CATS will be summarized in ISEMS reports, described in [Chapter 1, “General Policy and Responsibilities”](#).

The [Management Walkthroughs: Work Observation Checklist](#) (which matches the checklist in SMART) may be used for guidance and note taking while performing these walkthroughs, but there is no requirement to maintain the completed checklist.

4.2 Procedures and Specific Requirements

Use of the Walkthrough Procedure and Work Observation Checklist supports implementation of this program. All program documents, including these, are listed in Section 6.1, “Program Documents”.

4.2.1 Management Walkthroughs

[Management Walkthroughs: Walkthrough Procedure](#) describes the procedure to be used; [Management Walkthroughs: Work Observation Checklist](#) provides guidance for what to look for and an easy method to document what was observed in the field.

4.3 Training

The training requirement is listed below.

4.3.1 Management

SLAC managers and supervisors with direct reports will complete the following course:

- ESH Course 139, ESH Management Walkthrough Training ([ESH Course 139](#))

4.4 Roles and Responsibilities

4.4.1 ESH Division

- Manage the ESH Assurance System
- Manage and maintain the Corrective Action Tracking System ([CATS](#)) and train staff in its use
- Revise this chapter as appropriate
- Develop and offer training necessary to implement the requirements of this chapter
- Participate in management walkthroughs as requested
- Provide assistance to directorates with respect to the implementation of this chapter

4.4.2 Office of Assurance

- Manage the overall SLAC assurance program
- Manage the Safety Management Records Tool ([SMART](#)) and train staff in its use and its trending/reporting capability
- Work with ESH to revise this chapter as appropriate
- Validate results of assessment activities and completion of corrective actions using the graded approach of the issues management program
- Support SLAC directorates in conducting their management walkthroughs
- Assist with assignment of significance levels for found deficiencies

4.4.3 Management

- Conduct management walkthroughs as required
- Document the performance and results of these in [SMART](#) and [CATS](#) as required per the frequency requirements
- Complete required training
- Provide positive feedback when expected or desirable behaviors and conditions are observed
- Maintain a workplace free from recognized hazards and ensure noted deficiencies are corrected
- Analyze trends and share lessons learned as a result of these walkthroughs

4.4.4 ESH Coordinators

- Accompany managers on management walkthroughs, when invited and available
- May assist in recording information in [SMART](#) and [CATS](#)
- Assist with the completion and validation of corrective actions

4.4.5 SLAC Employees and Non-employees

- Conduct work safely and in compliance with all ESH standards and requirements as translated through work authorizations and other forms of performance expectations
- Participate in management walkthroughs as requested and assist management in identifying ways to improve performance including resolving ESH concerns
- Correct any noted risky behaviors as pointed out during the walkthrough

5 Definitions

Corrective Action Tracking System ([CATS](#)). System in which corrective actions and opportunities for improvement from elements of the ESH Assurance System are recorded and responsible persons assigned

ESH coordinator. An individual charged with helping line management implement the SLAC Integrated Safety and Environmental Management System (ISEMS) in an organizational element of SLAC, chiefly one of the directorates

Line management. Officially designated managers and supervisors who have been entrusted with traditional authorities to manage personnel

Safety Management Records Tool ([SMART](#)). A tool used by line management to record results from work observations, workspace assessments, and procedure reviews

Safety officer. Individual at SLAC who is a subject matter expert in a hazard of special concern (for example, the radiation safety officer), appointed by the laboratory director or the chief safety officer (CSO). Safety officers report to the chief safety officer.

Subject matter expert (SME). Staff possessing special expertise in an ESH program, for example, industrial hygiene, confined space entry, or lead abatement. Some SMEs may be outside of the ESH Division, for example, hoisting and rigging SMEs reside within the Facilities Department.

6 References

6.1 Program Documents

The following are procedures, forms, and other documents required for the implementation of this program:

- [Management Walkthroughs: Walkthrough Procedure](#) (SLAC-I-720-0A18C-001)
- [Management Walkthroughs: Work Observation Checklist](#) (SLAC-I-720-0A18J-002)
- “Safety Management Records Tool ([SMART](#))”
- [“Assessments: Office of Assurance at SLAC”](#) (for short tutorials on SMART)
- [“CATS - Main”](#)
- [“Issues Management Program”](#) (for guidance on CATS significance levels)

6.2 Standards

The following are the standards adopted by this program:

- [Department of Energy contract DE-AC02-76-SFO0515](#) (the contract between the DOE and Stanford University for operation of SLAC), clause I.095, “DEAR 970.5223-1, Integration of Environment, Safety and Health Into Work Planning and Execution”
- Related DOE directives
 - DOE Order 226.1A, “Implementation of Department of Energy Oversight Policy” ([DOE O 226.1A](#))
 - DOE Order 414.1C, “Quality Assurance” ([DOE O 414.1C](#))
 - DOE Order 450.1A, “Environmental Protection Program” ([DOE O 450.1A](#))
 - DOE Policy 450.4, “Safety Management System Policy” ([DOE P 450.4](#))
 - DOE Manual 450.4-1, “Integrated Safety Management System Manual” ([DOE M 450.4-1](#))
- Title 10, *Code of Federal Regulations*, “Energy”, Part 851, “Worker Safety and Health Program”, Section 10, “General Requirements” ([10 CFR 851.10](#)), available from [“Code of Federal Regulations: Main Page”](#). Additional information on 10 CFR 851 and its implementation is available from [“Worker Safety and Health Program Final Rule - 10 CFR 851”](#).

6.3 Related Documents

The following are additional related documents cited as resources for this program:

Management Systems

- [“Integrated Safety and Environmental Management Systems”](#)
- [SLAC Integrated Safety and Environmental Management System Description](#) (SLAC-I-720-0A00B-001)
- [Environmental Management System Description](#) (SLAC-I-750-0A03H-002)
- [“Office of Assurance at SLAC”](#)
- [SLAC Assurance Program Description](#) (SLAC-D01000-OA-001-001)

[SLAC Environment, Safety, and Health Manual](#) (SLAC-I-720-0A29Z-001)

- [Chapter 1, “General Policy and Responsibilities”](#)
- [Chapter 2, “Work Planning and Control”](#)

Other SLAC Documents

- [Building Manager Program Manual](#) (SLAC-I-720-0A03Z-001)
- [SLAC University Technical Representative Requirements and Procedures for Construction](#) (SLAC-I-720-0A03Z-002)

Other Documents

- DOE Guide 450.4-1B, “Integrated Safety Management System Guide” ([DOE G 450.4-1B](#))
- DOE Guide 450.1-1A, “Implementation Guide for Use with DOE Order 450.1, Environmental Protection Program” ([DOE G 450.1-1A](#))

7 Document Information

Title: Management Walkthroughs

URL: <http://www-group.slac.stanford.edu/esh/eshmanual/pdfs/ESHch33.pdf>

Revision Record: <https://www-internal.slac.stanford.edu/esh/docreview/reports/revisions.asp?ProductID=25>

Department: ESH Division Office

Program: Management Walkthroughs

Date Effective: 16 July 2009

Management Walkthroughs: Walkthrough Procedure

URL: <http://www-group.slac.stanford.edu/esh/eshmanual/references/walkthroughProcedWalkthrough.pdf>

Department: ESH Division Office

Program: Management Walkthroughs

Authority: [ESH Manual, Chapter 33, Management Walkthroughs](#)

Date Effective: 2 July 2009

1 Purpose

The purpose of this procedure is for management to

- Engage staff in meaningful, positive, discussions about workplace safety and identify improvements
- Assess safe work behavior and adherence to mitigation measures
- Reinforce safe work behavior
- Work to correct unsafe work behavior
- Assess how well its workspaces adhere to environment, safety, and health (ESH) standards and support correction of noted deficiencies

These walkthroughs are not enforcement activities but rather opportunities for management and staff to work together to identify and make improvements.

2 Scope

This procedure covers management walkthroughs and the performance of work observations.

3 Applicability

This procedure applies to all levels of SLAC management that have direct reports.

4 Prerequisites

Before carrying out this procedure, SLAC managers and supervisors with direct reports will complete the following course:

- ESH Course 139, ESH Management Walkthrough Training ([ESH Course 139](#))

5 Procedure

Management walkthroughs are to be conducted at these risk-based frequencies described in Table 1.

Table 1 Minimum Frequency by Level of Management

Position	Frequency
Laboratory director	Monthly
Associate laboratory directors	Monthly
Managers and first-line supervisors with more than five direct reports	Quarterly if direct reports only perform <i>green work</i> , otherwise monthly (for the definition of green work, see Chapter 2, "Work Planning and Control")
Managers and first-line supervisors with five or less direct reports	Semiannually if direct reports only perform green work, otherwise monthly

These are minimum requirements and at least how frequently the walkthroughs should be documented. Supervisory personnel are encouraged to perform more frequent walkthroughs, based on factors including potential for changing work scope/hazards, compliance history, non-routine work, and competency of staff.

Step	Person	Action
Planning		
1.	Manager	<p>Schedules the walkthrough</p> <ul style="list-style-type: none"> ▪ Refers to frequency of required walkthroughs in Table 1 ▪ When scheduling, takes into account time to document the walkthrough in SMART ▪ Dedicates the appropriate amount of time to the walkthrough: this will improve the quality of the results and sends the message to employees that this is an important activity ▪ Should inform his or her direct reports of the purpose, frequency, and intended results of this walkthrough process ▪ May inform workers in advance of a walkthrough or may perform them unannounced
2.	Manager	<p>Plans the walkthrough, determining</p> <ul style="list-style-type: none"> ▪ Whether to combine with any other required activities (it is OK to do this) ▪ When, where, what, and for how long be (typically 15 to 30 minutes) ▪ Whether the walkthrough will be done alone or with others. Walkthroughs may be carried out by a single manager or in combination with other managers and staff, for example with the directorate or department ESH coordinator, building/area managers, safety officers, ESH Division subject matter experts, or representatives of the Department of Energy SLAC Site Office <p>Note: when observing bargaining unit employees, should consider inviting a representative authorized by employees (Bargaining Unit)</p>
3.	Manager	<p>Prepares for the walkthrough</p> <ul style="list-style-type: none"> ▪ May review applicable job safety analysis, work procedures, and other appropriate documentation (hazard assessments, activity and training authorizations, inspection

Management Walkthroughs: Walkthrough Procedure

Step	Person	Action
		records) <ul style="list-style-type: none"> ▪ Makes sure to have the appropriate PPE and training to access the areas to be visited
Performing		
4.	Manager	Observes work behavior while workers perform a task or activity <ul style="list-style-type: none"> ▪ Loosely guided by the plan, observes activities for a short time. ▪ Focuses on the safety behavior and actions of people rather than on unsafe conditions. Unsafe acts almost always contribute to unsafe conditions. If unsafe conditions are noted during walkthrough, supports their quick resolution.
5.	Manager	Talks with observed employees <ul style="list-style-type: none"> ▪ Asks questions about the training, equipment, PPE, work authorization, and so on required to perform the task safely ▪ Talks about observed safe behaviors and provides feedback ▪ Discusses any improvement opportunities and observed unsafe behavior ▪ Asks the employees “what can I do to help you improve” ▪ If observes unsafe behavior, engages the employee in a constructive dialog that results in worker recognition of the need to modify behavior. The goal is persuasion and agreement rather than enforcement. <p>Note: it is recommended to take notes in the field to allow for better documentation in SMART and CATS. (The Management Walkthroughs: Work Observation Checklist is designed to assist in the observation and can be used to record information.) Recognize however that a checklist and clipboard may make some employee nervous.</p>
6.	Manager	Stops work if necessary <ul style="list-style-type: none"> ▪ Stops observed activities or conditions that are dangerous, against SLAC policy, or contrary to the work planning documents for the task ▪ Assists with assessing and implementing the appropriate controls as necessary
Following up / documenting		
7.	Manager	Follows up on any issues identified <ul style="list-style-type: none"> ▪ Resolves issue on the spot ▪ Leaves follow up/actions with employees ▪ Identifies issues requiring management follow up (correction of unsafe acts, improved tools and procedures, additional training)
8.	Manager	Documents the walkthrough using Safety Management Records Tool (SMART) <p>Note: this should be done as soon as possible after conducting the walkthrough. The principal benefits of walkthroughs come from the direct, face-to-face communication about ESH priorities, expectations and issues between management and employees. But to get the full benefits of the program, it is necessary to document the walkthrough and collect, aggregate, and analyze the data. This facilitates an understanding of patterns in the organization and allows broader conclusions than are possible from individual walkthroughs. The results represent the laboratory’s best set of leading ESH performance indicators.</p>
9.	Manager	Enters findings and corrective actions in the Corrective Action Tracking System (CATS) for any issues that are of a <i>serious</i> or <i>important</i> significance level, as defined by the Issues Management Program , that cannot be remedied on the spot

Step	Person	Action
Reviewing / analyzing		
10.	Manager	Periodically reviews and discusses the results of walkthroughs with staff <ul style="list-style-type: none"> ▪ This ensures that staff members will be familiar with this program, what is working well, and the nature and the severity of unsafe acts observed in their organization. This permits appropriate management and staff response to trends and problems and demonstrates management's commitment to safety through the walkthrough program.
11.	Integrated Performance Management Office	Reviews and analyzes trends <ul style="list-style-type: none"> ▪ The goal of this trending is to gain deeper understanding of the issues and patterns.

6 References

- *SLAC Environment, Safety, and Health Manual* (SLAC-I-720-0A29Z-001), [Chapter 33, "Management Walkthroughs"](#)
- [Management Walkthroughs: Work Observation Checklist](#) (SLAC-I-720-0A18J-002)
- "Safety Management Records Tool ([SMART](#))"
- ["Assessments: Office of Assurance at SLAC"](#) (for short tutorials on SMART)
- ["CATS - Main"](#)
- ["Issues Management Program"](#) (for guidance on CATS significance levels)
- *SLAC Environment, Safety, and Health Manual* (SLAC-I-720-0A29Z-001), [Chapter 2, "Work Planning and Control"](#)

Management Walkthroughs: Work Observation Checklist

URL: <http://www-group.slac.stanford.edu/esh/eshmanual/references/walkthroughChecklistWork.pdf>

Revision Record: [https://www-](https://www-internal.slac.stanford.edu/esh/docreview/reports/revisions.asp?ProductID=454)

[internal.slac.stanford.edu/esh/docreview/reports/revisions.asp?ProductID=454](https://www-internal.slac.stanford.edu/esh/docreview/reports/revisions.asp?ProductID=454)

Department: ESH Division Office

Program: Management Walkthroughs

Authority: [ESH Manual, Chapter 33, Management Walkthroughs](#)

Date Effective: 20 November 2009

1 Introduction

This checklist is to be used by managers in conducting work observations according to the [Management Walkthroughs: Walkthrough Procedure](#) (SLAC-I-720-0A18C-001).

Use the checklist to guide your observation and to take notes. (Note there is no requirement to maintain this record.)

1. Record your observation in the Safety Management Records Tool ([SMART](#)). (For short tutorials on its use, see [“Assessments: Office of Assurance at SLAC”](#).)
2. If any management follow up is needed for items that are of a *serious* or *important* significance level as defined by the issues management program ([“Issues Management Program”](#)), make the appropriate entries in the Corrective Action Tracking System ([CATS](#)).

2 Work Observation Checklist

Directorate		Observation Date	
Location <i>Include building and room numbers if possible</i>		Observers <i>List</i>	

Only check those boxes that apply

Reactions of People (When you arrived did you note these behaviors?)

Tools and Equipment

- | Yes | No | Observed Behaviors |
|--------------------------|--------------------------|---|
| <input type="checkbox"/> | <input type="checkbox"/> | Adjusting personal protective equipment |
| <input type="checkbox"/> | <input type="checkbox"/> | Changing position |
| <input type="checkbox"/> | <input type="checkbox"/> | Rearranging the job |
| <input type="checkbox"/> | <input type="checkbox"/> | Stopping the job |

- | Yes | No | Observed Conditions and Behaviors |
|--------------------------|--------------------------|-----------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Right for the job |
| <input type="checkbox"/> | <input type="checkbox"/> | Used correctly |
| <input type="checkbox"/> | <input type="checkbox"/> | In safe condition |
| <input type="checkbox"/> | <input type="checkbox"/> | Adequate LOTO |

Over

Management Walkthroughs: Work Observation Checklist

Personal Protective Equipment (Was required PPE used?)

- | Yes | No | Observed Behaviors |
|--------------------------|--------------------------|--------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Head |
| <input type="checkbox"/> | <input type="checkbox"/> | Eyes and face |
| <input type="checkbox"/> | <input type="checkbox"/> | Ears |
| <input type="checkbox"/> | <input type="checkbox"/> | Respiratory system |
| <input type="checkbox"/> | <input type="checkbox"/> | Arms and hands |
| <input type="checkbox"/> | <input type="checkbox"/> | Trunk |
| <input type="checkbox"/> | <input type="checkbox"/> | Legs and feet |
| <input type="checkbox"/> | <input type="checkbox"/> | Wearing badge TLD |

Procedures

- | Yes | No | Observed Conditions and Behaviors |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Adequate |
| <input type="checkbox"/> | <input type="checkbox"/> | Well understood |
| <input type="checkbox"/> | <input type="checkbox"/> | Appropriately followed |
| <input type="checkbox"/> | <input type="checkbox"/> | Familiar with safety/radiological postings |

Housekeeping

- | Yes | No | Observed Conditions and Behaviors |
|--------------------------|--------------------------|-----------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Adequate |

Integrated Safety Management

Position of People (Injury Causes) (Were these hazards adequately controlled?)

- | Yes | No | Observed Behaviors |
|--------------------------|--------------------------|-----------------------------------|
| <input type="checkbox"/> | <input type="checkbox"/> | Striking against objects |
| <input type="checkbox"/> | <input type="checkbox"/> | Struck by objects |
| <input type="checkbox"/> | <input type="checkbox"/> | Caught in, on, or between objects |
| <input type="checkbox"/> | <input type="checkbox"/> | Falling |
| <input type="checkbox"/> | <input type="checkbox"/> | Exposure to hazardous substance |
| <input type="checkbox"/> | <input type="checkbox"/> | Overexertion |
| <input type="checkbox"/> | <input type="checkbox"/> | Repetitive motions |
| <input type="checkbox"/> | <input type="checkbox"/> | Awkward positions/static postures |

- | Yes | No | Observed Conditions and Behaviors |
|--------------------------|--------------------------|--|
| <input type="checkbox"/> | <input type="checkbox"/> | Scope of work understood by worker(s) |
| <input type="checkbox"/> | <input type="checkbox"/> | Hazards adequately identified and analyzed |
| <input type="checkbox"/> | <input type="checkbox"/> | Hazard controls defined and implemented |
| <input type="checkbox"/> | <input type="checkbox"/> | Pre-job briefing performed effectively |
| <input type="checkbox"/> | <input type="checkbox"/> | Evidence of work authorization |
| <input type="checkbox"/> | <input type="checkbox"/> | Evidence of work release |
| <input type="checkbox"/> | <input type="checkbox"/> | Correct and complete WPC package |
| <input type="checkbox"/> | <input type="checkbox"/> | Satisfactory work performance |
| <input type="checkbox"/> | <input type="checkbox"/> | Adequate follow up or feedback |

Safe Acts
List

Unsafe Acts
List