

Chapter 33: [Management Walkthroughs](#)

Walkthrough Procedure

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

1 Purpose

The purpose of this procedure is for management to

- Engage workers 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 workers to work together to clarify expectations, receive feedback, and identify and make improvements. This procedure covers management walkthroughs and applies to SLAC *line management* (supervisors and managers) with *direct and/or matrixed reports* and to points of contact for users and students.

2 Procedure

Management walkthroughs are to be conducted in any area of responsibility 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 and points of contact with more than five users or students	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 and points of contact with five or less users or students	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 workers.

Step	Person	Action
Planning		
1.	Manager/ supervisor/POC	<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 workers that this is an important activity ▪ Should inform workers 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/ supervisor/POC	<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 workers, 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 employee Bargaining Unit</p>
3.	Manager/ supervisor/POC	<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 records) ▪ Makes sure to have the appropriate PPE and training to access the areas to be visited
Performing		
4.	Manager/ supervisor/POC	<p>Observes work behavior while workers perform a task or activity</p> <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/ supervisor/POC	<p>Talks with observed workers</p> <ul style="list-style-type: none"> ▪ Asks questions about the training, equipment, PPE, work planning and control, and so on required to perform the task safely ▪ Talks about observed safe behaviors and provides feedback

Step	Person	Action
		<ul style="list-style-type: none"> ▪ Discusses any improvement opportunities and observed unsafe behavior ▪ Asks the workers “what can I do to help you improve”; “what controls are in place”; “what was discussed at the tailgate meeting”; “what is the most hazardous part of your job today” ▪ If observes unsafe behavior, engages the worker 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. Recognize however that a checklist and clipboard may make some worker nervous.</p>
6.	Manager/ supervisor/POC	<p>Stops work if necessary</p> <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/ supervisor/POC	<p>Follows up on any issues identified</p> <ul style="list-style-type: none"> ▪ Resolves issue on the spot ▪ Leaves follow up/actions with workers ▪ Identifies issues requiring management follow up (correction of unsafe acts, improved tools and procedures, additional training)
8.	Manager/ supervisor/POC	<p>Documents the walkthrough using Safety Management Records Tool (SMART)</p> <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 workers. 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/ supervisor/POC	<p>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</p>
Reviewing / analyzing		
10.	Manager/ supervisor/POC	<p>Periodically reviews and discusses the results of walkthroughs with workers</p> <ul style="list-style-type: none"> ▪ This ensures that workers 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 worker response to trends and problems and demonstrates management’s commitment to safety through the walkthrough program.
11.	Integrated Performance Management Office	<p>Reviews and analyzes trends</p> <ul style="list-style-type: none"> ▪ The goal of this trending is to gain deeper understanding of the issues and patterns.

3 Forms

The following forms are required by this procedure:

- Safety Management Records Tool ([SMART](#))
- Corrective Action Tracking System ([CATS](#))

4 Recordkeeping

The following recordkeeping requirements apply for this procedure:

- Manager documents the walkthrough using Safety Management Records Tool ([SMART](#)) and enters findings and corrective actions in the Corrective Action Tracking System ([CATS](#)) for any issues that are of a *serious* or *important* significance level, as defined by the [Issues Management Program](#), that cannot be remedied on the spot.

5 References

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

- [Chapter 33, “Management Walkthroughs”](#)
- [Chapter 2, “Work Planning and Control”](#)

Other SLAC Documents

- [“Assessments: Office of Assurance at SLAC”](#) (for short tutorials on SMART)
- [Integrated Performance Management Office](#)
- [“Issues Management Program”](#) (for guidance on CATS significance levels)