

Safety Observation and Conversation (SOC)

1. Purpose

The primary purpose of SOC is to enable leaders to engage in conversations with employees and contractors so that the outcome is a reduction in both personal and process safety risk in USPL's operations.

2. Scope

This policy applies to SOC leaders within USPL including supervisors and line managers with operational responsibilities and key operations support personnel, e.g. HSSE and Engineering.

3. Minimum Requirements

	Minimum Requirements	Supporting Documentation
1.	USPL Operations Council will set the minimum expectations for completion of SOC's.	Section 5
2.	Learning and Development Team schedules SOC training.	Section 5
3.	SOC leaders participate in the SOC process as directed.	Section 5

4. Definitions

Safety Observation and Conversation—A behavioral observation method used by BP which promotes a conversation structure that focuses on the task and the risks.

5. Roles and Responsibilities

- A. USPL Operations Council
 - 1. Set minimum expectations for completion of SOC's by Operations personnel.
 - 2. Review trending analysis provided by Safety Advisors.
- B. Learning and Development Team
 - 1. Assure an adequate number of SOC instructors are available.
 - 2. Assign employees SOC training when they assume a role with SOC's as a minimum expectation.
 - 3. Schedule an adequate number of SOC training opportunities to meet USPL training needs.
 - 4. Maintain records of completed training.
- C. Safety Advisors
 - 1. Provide quarterly and annual trending analysis for completed SOC's recorded in IRIS.
- D. SOC leaders
 - 1. Participate in SOC process as directed by supervisor.

2. Record SOC's in IRIS.
3. Complete training as assigned in the Learning Management System.

6. SOC Procedure Guidance

Appendix I summarizes these steps.

6.1. Preparation

- A. Review recent incidents (onsite or on similar sites) to identify and select locations, tasks, and positions where SOC's will have the most impact.
- B. Review recent SOC's completed onsite to identify action items that may require follow-up, and to ensure appropriate coverage, e.g., ROW versus station or project versus maintenance.
- C. Review current activities on site to identify and select locations, tasks involved in change of people, plant, process, or performance.
- D. Discuss with another SOC leader, if appropriate, to identify the best time for your SOC, e.g., targeted activity will be occurring, personnel will be available, location will be accessible, etc.
- E. Select the location and/or task with a high potential to contribute to a major incident.
- F. Review relevant policies, procedures, systems to identify standards, competencies and supervision necessary for safe performance in the selected SOC.
- G. Ensure that you, and your SOC partner if applicable, follow relevant policies and procedures.

6.2. Observation

- A. Approach the location openly and greet those with whom you can safely communicate (make eye contact, nod, wave, speak, etc.).
- B. Scan the area for any immediate and serious credible risks before asking any questions. If so, intervene to address these immediately.
- C. Introduce yourselves and explain that you are observing and talking to people to improve safety as necessary.
- D. Observe (and ask yourself):
 1. What credible risks are associated with this task, situation?
 2. What energy sources are present? How could there be an unexpected release or contact with that energy source? Are these energy sources addressed in the Level 1 risk assessment (ATW) or Level 2 risk assessment (HITRA)?
 3. What are people doing (or not doing) that might increase the risk of a major incident or a credible risk of personal injury?
 4. What might predispose people to do (or not do) this?
 5. What might prevent people from doing it more safely?
- E. Mentally prepare an open-ended engaging question to begin your conversation.
- F. Adjust the length of your observation to the situation, e.g., observe as long as necessary to obtain useful information for your conversation and other rules and guidelines when you conduct the SOC.

6.3. Initiation

- A. Initiate conversation only when safe to do so. Confirm with the observed person that this is a good time for them to pause and talk to you about safety.

- B. Make eye contact and use each person's name. Introduce yourself and partner, if necessary. Speak in a respectful and friendly tone of voice. Maintain open body language (uncrossed arms, facing the speaker, acceptable personal distance, etc.).
- C. Acknowledge at least one safe practice for each observed person (may be one practice they are all doing or contributing to).

6.4. Dialogue

- A. Ask open questions (that begin with How, What, Who, When, Where, How often, In what way, etc.) that address the elements of the risk assessment model – Task, Hazard/Risk, Consequences, Options, and Action – for both personal and process safety.
- B. Only ask questions to which you do not know that answer. Do not ask rhetorical questions (e.g., questions to which the answer is obvious). Do not ask leading questions (e.g., questions designed to make a point). If you have a point to make, state it.
- C. Listen: Pause after each question to allow the person to respond. Look at the person as they respond or at what they are directing you to look at, not at your papers, etc. Confirm that you understood their response by acknowledging or restating.
- D. Ask subsequent or linked questions that follow logically from the person's answers. Continue asking questions until the underlying issue is clearly understood.

6.5. Recognition

- A. Acknowledge safe practices:
 - 1. Describe what was observed.
 - 2. Say how it reduces the risk of injury.
 - 3. Make a personal statement of appreciation.

6.6. Agreement

- A. If applicable, agree on action to reduce a credible risk:
 - 1. Describe what was observed,
 - 2. Say how it increases a credible risk of injury,
 - 3. Describe the alternative safe practice or the necessary corrective action,
 - 4. Personal Safety: Ask for commitment to use an alternative safe practice,
 - 5. Process Safety: Agree who will take the corrective action.

6.7. Following the SOC, reflect on your effort

- A. What effect or impact did I have? How do I know?
- B. What went well and what was accomplished?
- C. What could I do better next time and how will I do it?

6.8. Feedback to supervision

- A. Commend the safe practices of the observed person to their supervisor.
- B. Advise on agreed alternative practices to their supervisor for future use in safe practice.

6.9. Documentation and follow up for SOC Learnings

- A. Document the SOC in IRIS.

- B. Document and assign tasks and due dates for any agreed actions to improve process safety. Follow all agreed tasks to completion.
- C. Close the loop: Report subsequent progress and results to observed person and any others affected by the situation.

7. Quality Assurance and Audit

Appendix II provides a self-assessment for the SOC process as well.

- A. Quarterly and annual analysis should cover such measures as:
 - 1. Participation rates – number of recorded SOC's compared to minimum expectations.
 - 2. Type of SOC percentage – percentage of Safe Act, Unsafe Act, and Unsafe Condition compared to total number of recorded SOC's.
 - 3. Action creation – number of SOC's recorded with actions created.
 - 4. Action closure – number of actions open more than 30 days.
 - 5. Notable trends – an analysis of SOC descriptions identifying noteworthy trends of what's working well and what could be improved.
- B. Balanced scorecard for SOC leader performance for individual use:
 - 1. Engagement – Did I engage in a genuine conversation?
 - 2. Risk – Did the conversation build understanding of risk?
 - 3. Action – was a clear action agreed?
 - 4. Closure – did I follow up the action and provide feedback?
- C. Balanced scorecard for the impact of SOC's for USPL Operations Council annual review:
 - 1. Leadership – How are we using SOC to improve our safety leadership?
 - 2. Culture – How is SOC enhancing our safety culture?
 - 3. Risk – How is SOC leading to a reduction in risk?
 - 4. Output – How is SOC improving our safety performance?

8. Training

- A. Employees identified with minimum expectations to conduct Safety Observations & Conversations shall complete SOC training as assigned through the Learning Management System.

9. References

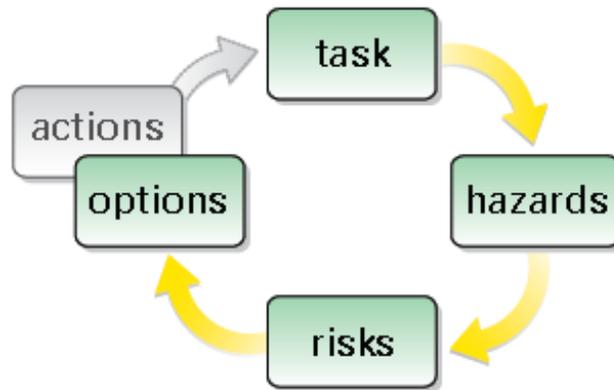
- 1. Safety in BP, "Safety Observations & Conversations (SOC)," BP, https://intranet.bp.com/en_gb/functions/safety-operational-risk/function-expertise/oms_excellence/oms_academy/safety_observations_conversations.html

Appendix I - SOC Steps

SOC steps

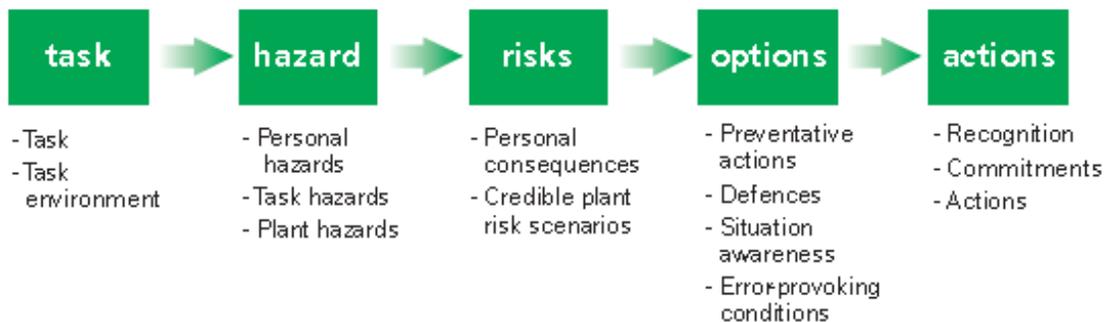


Structured Conversation



Conversational risk assessment

The personal safety and process safety elements of SOC are, in effect, risk assessments in the form of a conversation. One key difference between the two elements is that the personal safety related solutions are generally either under the direct control or influence by the individual. In a process safety conversation, the solutions are more likely to be outside the control of the individual and an action may be taken forward by the leader.



© 2009 BP International Ltd. All Rights Reserved

Appendix II - SOC Quality Checklists



Preparation: “Did I prepare sufficiently well?”

Behaviour	Observed?
1. Review recent incidents (onsite or on similar sites) to identify and select high potential locations, tasks, and positions.	
2. Review recent SOC's completed onsite to identify action items that may require follow-up, and to ensure appropriate coverage (e.g., process plant operations vs. mechanical workshop).	
3. Review current activities onsite to identify and select locations, tasks involved in change of plant, process, people, etc.	
4. Discuss with appropriate leaders to identify the best time for your SOC, e.g., targeted activity will be occurring, personnel will be available, location will be accessible, etc.	
5. Select the location, task with a high potential to contribute to a major incident.	
6. Review relevant policies, procedures, systems to identify standards, competencies and supervision necessary to safe performance in the selected SOC.	
7. Pinpoint at least two important areas of performance on which you will provide positive feedback, if you observe it.	
8. Schedule the SOC with your SOC partner.	
9. Ensure that you and your SOC partner follow relevant policies, procedures, and other rules and guidelines when you conduct the SOC.	



Observation: “Were my eyes (and mind) open?”

Behaviour	Observed?
– Approach the location openly and greet those with whom you can safely communicate (make eye contact, nod, wave, speak, etc.).	
– Scan the area for any immediate and serious credible risks before asking any questions. If so, intervene to address these immediately.	
– Introduce yourselves and explain that you are observing and talking to people to improve safety.	
– Observe (and ask yourself) 1. “What credible risks are associated with this task, situation?” 2. “What are people doing (or not doing) that reduces the risk of a major incident or a credible risk of personal injury?” 3. “What are people doing (or not doing) that might increase the risk of a major incident or a credible risk of personal injury?” 4. “What might predispose people to do (or not do) this?” 5. “What might prevent people from doing it more safely?”	
– Mentally prepare an open-ended engaging question to begin your conversation.	
– Adjust the length of your observation to the situation, e.g., observe as long as necessary to obtain useful information for your conversation.	



Conversation: “Did we have a genuine, effective, two-way conversation about risk?”

Behaviour	Observed?
Initiation	
<ul style="list-style-type: none"> - Initiate conversation only when safe to do so. Confirm with the observed person that this is a good time for them to pause and talk to you about safety. 	
<ul style="list-style-type: none"> - Make eye contact and use each person’s name. Introduce yourself and partner, if necessary. Speak in a respectful and friendly tone of voice. Maintain open body language (uncrossed arms, facing the speaker, culturally acceptable personal distance, etc.). 	
<ul style="list-style-type: none"> - Acknowledge at least one safe practice for each observed person (may be one practice they are all doing or contributing to). 	
Dialogue	
<ul style="list-style-type: none"> - Ask open questions (that begin with How, What, Who, When, Where, How often, In what way, etc.) that address the elements of the risk assessment model – Task, Hazard/Risk, Consequences, Options, and Action – for both personal and process safety. 	
<ul style="list-style-type: none"> - Only ask questions to which you do not know the answer. Do not ask rhetorical questions (e.g., questions to which the answer is obvious). Do not ask leading questions (e.g., questions designed to make a point). If you have a point to make, state it. 	
<ul style="list-style-type: none"> - Listen: Pause after each question to allow the person to respond. Look at the person as they respond or at what they are directing you to look at, not at your papers, etc. Confirm that you understood their response by acknowledging or restating. 	
<ul style="list-style-type: none"> - Ask subsequent or linked questions that follow logically from the person’s answers. Continue asking questions until the underlying issue is clearly understood. 	
Recognition	
<ul style="list-style-type: none"> - Acknowledge safe practices: <ol style="list-style-type: none"> 1. Describe what was observed 2. Say how it reduces the risk of injury 3. Make a personal statement of appreciation 	
Agreement	
<ul style="list-style-type: none"> - (If applicable) Agree on action to reduce a credible risk <ol style="list-style-type: none"> 4. Describe what was observed 5. Say how it increases a credible risk of injury 6. Describe the alternative safe practice or the necessary corrective action 7. Personal Safety: Ask for commitment to use alternative safe practice 8. Process Safety: Agree who will take the corrective action 	



Action: “What impact did I have on the thinking, behaviour, and practices of others?”

Behaviour	Observed?
Reflect on the SOC	
– What effect or impact did I have? How do I know?	
▪ What went well and what was accomplished?	
▪ What could I do better next time and how will I do it?	
Feedback	
– Commend the safe practises of the observed person to their supervisor.	
– Advise agreed alternative practises to their supervisor for future use in safe practise.	
Learning	
– Record the SOC in IRIS . Document and assign tasks and due dates implied by any agreed actions to improve process safety. Follow all agreed tasks to completion.	
– Close the loop: Report subsequent progress and results to observed person and any others affected by the situation.	
– Communicate any lessons learned to other similar sites.	