

## Behavioural Observation Practice

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## **1.0 Purpose**

The behavioural observation practice outlines the process of workplace observations and provides a basic understanding of behavioural factors and their effect on supporting safe work behaviours and reducing at-risk behaviours.

## **2.0 Scope**

This practice applies to all Cenovus worksites, including Cenovus offices. This document is to be used in conjunction with the Behavioural Observation form (CEN746).

## **3.0 Process Requirements Practice**

### **3.1 Introduction**

The focus of the behaviour observation process is the evaluation of peers by peers, and requires recognition of, and feedback on both safe and at-risk behaviours.

The intent is to proactively recognize those safe behaviours that are used at our work site by our employees, contractors and subcontractors then modify those behaviours that would be considered as at-risk from a solution based approach, as determined by using our Cenovus Risk Matrix.

Effective observation programs get people into the habit of noticing safe or at-risk behaviours on the site. The Cenovus Behavioural Observation process will over time make workers and supervisors more comfortable identifying and talking about behaviour and its impact on safety. Ultimately, everyone on our sites needs to be engaged and involved in conducting observations.

Supervisors lead by example and are expected to conduct observations on their employees and fellow supervisors. Employees can conduct observations of fellow employees, supervisors, Cenovus representatives/consultants and contractors. Contractors are also encouraged to conduct behavioural observations while engaged in work on Cenovus sites, using the Cenovus Behavioural Observation system, provided they have been trained to use the Cenovus Behavioural Observation process. Alternatively, contractors may perform behavioural observations using their own system upon approval of a 'site' Cenovus representative, which is usually determined at the contractor approval process. This data is not usually entered into Cenovus Incident Management System (IMS) Asset tracked by each contractor and the results presented to Cenovus representatives on a regular frequency.

**Figure 1: Process Map**



1. Stop
  - Understand what is going on
  - If possible, communicate with worker(s)
  - Take sufficient time to observe another worker or workers performing a task
  - If necessary, **intervene**
2. Observe
  - Use the checklist as a guide
  - Look for both safe and at-risk behaviours
  - Focus on the things the worker is doing right
  - Choose behaviours that are relevant to the task
3. Act
  - Talk to the worker(s) that you observed
  - Reinforce the positive behaviour
  - Explore solutions for at risk behaviour
  - Be constructive
4. Report
  - Complete the checklist
  - Focus on the relevant categories and behaviour(s)
  - Include comments to complement the behavioural selection
  - Use one checklist/form for each observation
  - Ensure checklist data is entered into IMS

Behavioural observations can be conducted in one of two ways.

### **3.1.1 Formal**

Formal observations are planned and discussed with the worker(s) in advance of the observation taking place. Ideally, notice should be given prior to work commencing such as at a pre-job meeting or safety meeting (even the day prior). Prior to starting the observation, it is important to discuss the goal of the observation, which is to reinforce observed safe behaviours as opposed to focusing on “catching” a worker doing something “wrong”.

Examples of opportunities to perform a formal observation include:

- New/Young worker
- New or existing job scope, procedure/practice
- Critical work, e.g. working at heights, crane lifts/rigging, confined space entry
- Reoccurring incidents, near misses or hazards on site
- Targeted activities from analysis of precipitating events or task categories

### 3.1.2 Informal

Informal observations can take place at any time and can be used to capture safe and/or at-risk behaviours noted during the course of the work activities.

In order to conduct an effective behavioural observation of a worker, the observer should have knowledge of the safe performance of the task, must be trained in the observation process and be conscious of the following points:

1. **Intervention:** The observer should avoid interrupting work activities as the observation is intended to capture the work being carried out in its usual fashion. However, it is important that all observed behaviours that are immediately dangerous to life, health, or the environment be stopped immediately. Do not hesitate to intervene in this case.
2. **Communication:** The observer should de-brief with the worker after the observation is complete in order to discuss the observed safe behaviours and consult to identify and find solutions for at risk behaviour. Remind the worker that the goal is to reinforce safe behaviours – not to catch them doing something wrong.
3. **Completing the Report:** In order to minimize the distraction to the worker being observed, the observer should consider completing the observation form away from the work area. The report is then entered into Cenovus’s Incident Management System.

## 4.0 Conducting the Observation

### 4.1.1 Introduction

#### 4.1.1.1 Formal

When the observer is prepared to begin the evaluation of the worker, the observer should (if possible) approach the worker and introduce their self to the worker.

The observer must ensure that they’re not interrupting a critical work task (e.g. cutting, lifting) while attempting to introduce themselves to the worker.

#### 4.1.1.2 Informal

Alternatively, the observer can communicate with the worker after the work task is completed and introduce their self and discuss what was observed and offer constructive feedback on the safe and/or at-risk behaviours.

### 4.1.2 Observation

#### 4.1.2.1 Formal

As the worker begins to carry out their task, the observer should survey the workers actions during the task. The primary objective for the observer is to identify the behaviours being exhibited in the workplace as safe or at-risk.

#### 4.1.2.2 Informal

While passing by, a worker observes a worker or work group and notes all the safe and/or at-risk behaviours they had observed.

## 4.2 Identifying an At-Risk Behaviour

If during the observation process the observer feels that the worker has entered into a situation where there is immediate risk to life, the environment, or the equipment, the observer is obligated to intervene and stop the work (see Intervention in Section [3.1.2](#)). Once the work has been stopped, the observer should discuss the circumstances with the worker and, through mutual discussion, determine a suitable solution to the situation.

The observer is expected to:

- **Stop** the worker when and 'if' safe to do so and communicate why they are stopping the work (see Intervention in Section [3.1.2](#))
- **Communicate and clarify** what they had observed
- **Describe** why they believe the observed behaviour is putting the worker or others at-risk
- **Correct the at-risk** behaviour by exploring solutions with the worker(s)
- **Document** the particular at-risk behaviour noted on the Behavioural Observation form

## 4.3 Feedback

Once the activity has been completed the observer needs to provide the worker with feedback on their actions during the task. Since the feedback is the most important part of the observation process, it needs to be provided to the worker as soon as possible.

When providing feedback, the observer provides positive reinforcement of the safe work behaviours that were observed. There must be constructive communication between the observer and the worker in order for the program to provide the desired results. An experienced observer can utilize his or her own experiences to communicate to an inexperienced worker how the behaviour noted has an impact on their work.

If an at-risk behaviour is observed, it is important to discuss this with the worker. The worker must be given an opportunity to discuss their rationale for taking the at-risk behaviour. The observer should then use this opportunity to discuss the behaviour and provide coaching/mentoring to correct the behaviour as needed.

All comments and discussion notes from the feedback session should be captured on the observation form.

**5.0 Reporting, Measurement, Tracking and Analysis**

The behavioural observation form should be completed after the observation and prior to meeting with the worker to provide feedback (if possible). The behavioural observation form facilitates data capture and does not capture any information on the individual(s) being observed. The form should include any comments or notes about the activity/behaviours being observed whether safe and/or at-risk.

There are eight categories of critical behaviours and 43 total critical behaviours that can be evaluated. It is not required to evaluate all behaviours in each observation. Evaluate only those behaviours that are relevant to the task being observed (i.e. average of 3 to 6 behaviours per card total is considered ideal).

**5.1 Behavioural Observation Checklist CEN746**

**refer to Appendix – Figure 2**

Each completed observation is required to be captured within the Incident Management System (IMS). This will allow for tracking and statistical analysis of the leading indicator and behavioural observation data across the various Assets within Cenovus.

Following the four criteria (see **Error! Reference source not found.**) will result in an effective observation. This scorecard can be used to evaluate the quality of observations using the four criteria as a guideline. Feedback can then be given to the observer once the checklist has been reviewed.

It is not necessary to score all observations. This is a tool for the user groups only to monitor quality of observations. As a quality control check 'only', a representative number of checklists may be scored to give the user group an indication of the quality of observations recorded in their respective areas. Scoring is not required to be reported to Central Services unless directed.

**5.2 Behavioural Observation Scorecard (CEN-EHS5338)**

**refer to Appendix – Figure 3**

Behavioural observations should be focused on the relevant tasks associated with safety challenges on the work site as a priority, as well, leading at risk behaviours

aligned with task categories (or precipitating events noted in incidents and high potential near misses within IMS).

The split between observations conducted on employees and contractors is representative of the number of employees and contractors at the site (i.e. 80% contractor 20% employee observations).

**6.0 Roles and Responsibilities**

The following responsibilities apply to this practice:

**Table 1: Roles and Responsibilities**

Role	Description
Assets and Operations Shared Services	<ul style="list-style-type: none"> <li>• Support Employees/contractors in performing formal/informal and targeted observations.</li> </ul>
All Employees & Contractors	<ul style="list-style-type: none"> <li>• Actively participate in all aspects of the behavioural observation process including training, performing observations and providing feedback to each other</li> <li>• Report/record observations in IMS</li> </ul>
Leadership	<ul style="list-style-type: none"> <li>• Support for employees and contractors to receive training in behavioural observations</li> <li>• Encourage employees and contractors to actively participate in the behavioural observation program</li> <li>• Provide positive feedback to workers who participate in the behavioural observation process</li> <li>• Provide support for recording and reviewing observations within the Cenovus Incident Management System (IMS)</li> </ul>
Central Health & Safety	<ul style="list-style-type: none"> <li>• Report Cenovus results and provide feedback to the organization</li> <li>• Disseminate data received through IMS reporting on behavioural observations</li> <li>• Facilitate training, competence and understanding to all employees in the behaviour observation process</li> <li>• Provide guidance and advice as needed when conducting observations</li> </ul>
Operations Health & Safety	<ul style="list-style-type: none"> <li>• Will work with the ASSET representative/observer and provide guidance and advice as needed when conducting the observation</li> <li>• Assist ASSET representative in reviewing completed observations for quality, worker feedback and targeting of future</li> </ul>

Role	Description
	<p>observations</p> <ul style="list-style-type: none"> <li>• Assist ASSET representatives and provide guidance in ensuring completed observations are entered into IMS</li> <li>• Facilitate dissemination of information and KPI's from Central Health &amp; Safety via Group Leads to worksite</li> <li>• Provide onsite mentorship to workers for the behavioural observation process</li> </ul>

## 7.0 Training and Competency

Competency describes the knowledge and skills required to successfully perform the technical aspects of a job. A worker must be able to demonstrate competency in safely performing work tasks or using equipment.

### 7.1 Training

It is expected that all personnel involved in this process will have training and the appropriate competency to perform their roles. Cenovus expectations related to this process are outlined in guidance document CEN-EHS8833.

An effective observer plays a key role in the behavioural observation process. The process relies on these individuals to provide effective behavioural observations that can be used to identify which behaviours are being done safely and which are not. All personnel who will be conducting an observation shall be trained in:

- The behavioural observation process
- The ability to identify critical behaviours that are or are not being done correctly
- Observation and intervention techniques
- Observation recording techniques

Toolbox presentations are designed to assist the user in understanding the BO process. Presentations include:

- Behavioural observation awareness for contractors
- Behavioural observation - IMS entry
- Behavioural Observation checklist CEN746

### 7.2 Competency Verification

Competency will be validated through formal, theory-based evaluations and practical skill demonstration. All theory-based training requires a written knowledge check (e.g. test, quiz, exam) that will be reviewed and assessed by a competent instructor. Practical skill assessments of task completion and equipment use must be conducted by a competent supervisor or mentor.

Workers may be required to attend additional training sessions or complete further on-the-job training if performance deficiencies are identified through formal assessments.

Records may be maintained in hard copy or electronically.

## **8.0 Quality Assurance**

### **8.1 Performance Measurement**

Compliance with this practice and program effectiveness shall be assessed through program assessments and internal audits, or other measurement criteria as specified in the COMS Assurance Standard. Measurement can also be accomplished through the tracking of appropriate Key Performance Indicators (KPI).

Assets functions or departments impacted by this practice must include compliance and program effectiveness verifications in their Asset's assurance program. Performance will be monitored and reported within the responsible departments at least every three years.

Central Health & Safety Services will review the Cenovus-wide program KPIs at a minimum every three years in conjunction with program review and update activities.

### **8.2 Management of Change**

Proposed changes to this practice can be directed to H&S Programs and Projects.

### **8.3 Practice Verification**

The document owner will complete and document reviews of this practice, as follows:

- At minimum once every three years
- If there is a significant regulation or industry best practice change that indicates the need for review
- If an incident investigation indicates the causes were related to unclear or inadequate written instructions described within this practice

If frequent and multiple variances are required due to operational needs, the reason(s) will be investigated and the document owner will determine if there is a Assets need to update the practice.

If submitted MOC requests indicate gaps or significant improvement opportunities, the document owner will determine if there is a Assets need to update the practice.

## 9.0 Glossary

Definitions and acronyms for safety documents are described in CEN-EHS243, Definitions and Acronyms. The following definitions and acronyms are specific to this document:

**Table 2: Terms and Definitions**

Term	Definition
Formal observation	Formal observations are planned and discussed with the worker(s) in advance of the observation taking place and can consist of multi-discipline members.
Informal observation	Informal observations can take place at any time and can be used to capture safe and/or at-risk behaviours noted during the course of the work activities.

**Table 3: Acronyms, Initialisms and Abbreviations**

Term	In Full
BO	Behavioural Observation
KPI	Key Performance Indicators
IMS	Incident Management System

## 10.0 References

### 10.1 External Documents

The following external documents support this practice:

**Table 4: External Document References**

Document Type or Number	Document Title
Construction Association of Alberta	<a href="#">Best Practice for Behavioural Based Safety</a>

### 10.2 Internal Documents

The following Cenovus documents support this practice:

**Table 5: Internal Document References**

Document Type or Number	Document Title
Policy	<a href="#">Corporate Responsibility Policy</a>
CEN-EHSReg787	<a href="#">Regulatory Definitions and Acronyms</a>
CEN-EHS019	<a href="#">Hazard Assessment and Control Practice</a>
CEN-EHS022	<a href="#">EH&amp;S/Operations Risk Management Practice</a>

Document Type or Number	Document Title
CEN746	<a href="#">Behavioural Observation Form</a>
CEN-EHS5338	<a href="#">Behavioural Observation Scorecard</a>
Framework	<a href="#">Cenovus Operations Management System (COMS)</a>
Policy	<a href="#">Enterprise Risk Management Policy</a>

## 11.0 Appendix

Figure 2: Behavioural Observation Checklist CEN746



### Behavioural Observation (IMS)

Asset/Site	Observer (print name)	Observer's Co.	Date M / D / Y	Time 00:00		
Area	Company Observed					
TASK	ACTIVITY (circle): Business Support Camps Completions/Workovers Construction – Facilities & Pipelines Construction – Lease & Road Drilling Geophysical Operations/Production Offsite – Facilities & Pipelines (Oil Sands only)					
Observation	Pos. Obs.	At Risk	Observation	Pos. Obs.	At Risk	Comments (indicate No.)
<b>1.0 Hazard Awareness/Risk Mitigation</b>			<b>5.0 Communication</b>			
1.1 Correcting an unsafe act	<input type="checkbox"/>	<input type="checkbox"/>	5.1 Participating in planning	<input type="checkbox"/>	<input type="checkbox"/>	
1.2 Analyzing task hazards	<input type="checkbox"/>	<input type="checkbox"/>	5.2 Discussing H&S issues	<input type="checkbox"/>	<input type="checkbox"/>	
1.3 Pre-job safety check	<input type="checkbox"/>	<input type="checkbox"/>	5.3 Informing others on site	<input type="checkbox"/>	<input type="checkbox"/>	
1.4 Using signage or barriers	<input type="checkbox"/>	<input type="checkbox"/>	5.4 Clarifying expectations	<input type="checkbox"/>	<input type="checkbox"/>	
1.5 Planning confined space	<input type="checkbox"/>	<input type="checkbox"/>	5.5 Encouraging others to report	<input type="checkbox"/>	<input type="checkbox"/>	
1.6 Recruiting spotters	<input type="checkbox"/>	<input type="checkbox"/>	5.6 Responding to feedback	<input type="checkbox"/>	<input type="checkbox"/>	
<b>2.0 Working Environment/Conditions</b>			<b>6.0 Personal Protection</b>			
2.1 Soliciting peer input	<input type="checkbox"/>	<input type="checkbox"/>	6.1 Dressing for weather	<input type="checkbox"/>	<input type="checkbox"/>	
2.2 Resolving safety issues	<input type="checkbox"/>	<input type="checkbox"/>	6.2 Asking for help lifting	<input type="checkbox"/>	<input type="checkbox"/>	
2.3 Improving work conditions	<input type="checkbox"/>	<input type="checkbox"/>	6.3 Discussing fatigue	<input type="checkbox"/>	<input type="checkbox"/>	
2.4 Improving housekeeping	<input type="checkbox"/>	<input type="checkbox"/>	6.4 Using appropriate PPE	<input type="checkbox"/>	<input type="checkbox"/>	
2.5 Requesting equipment	<input type="checkbox"/>	<input type="checkbox"/>	6.5 Requesting training	<input type="checkbox"/>	<input type="checkbox"/>	
<b>3.0 Processes and Procedures</b>			<b>7.0 Body Positioning</b>			
3.1 Providing hazard instruction	<input type="checkbox"/>	<input type="checkbox"/>	7.1 Informing on safe positioning	<input type="checkbox"/>	<input type="checkbox"/>	
3.2 Taking time	<input type="checkbox"/>	<input type="checkbox"/>	7.2 Using hand tools properly	<input type="checkbox"/>	<input type="checkbox"/>	
3.3 Demonstrating knowledge	<input type="checkbox"/>	<input type="checkbox"/>	7.3 Lifting properly	<input type="checkbox"/>	<input type="checkbox"/>	
3.4 Performing task properly	<input type="checkbox"/>	<input type="checkbox"/>	7.4 Taking safe position	<input type="checkbox"/>	<input type="checkbox"/>	
3.5 Suggesting improvements	<input type="checkbox"/>	<input type="checkbox"/>	7.5 Using barriers	<input type="checkbox"/>	<input type="checkbox"/>	
3.6 Applying critical safety practice	<input type="checkbox"/>	<input type="checkbox"/>	<b>8.0 Leadership/Supervision</b>			
<b>4.0 Equipment/Tools</b>			8.1 Coaching co-worker	<input type="checkbox"/>	<input type="checkbox"/>	
4.1 Using equipment correctly	<input type="checkbox"/>	<input type="checkbox"/>	8.2 Creating team	<input type="checkbox"/>	<input type="checkbox"/>	
4.2 Checking condition of equipment	<input type="checkbox"/>	<input type="checkbox"/>	8.3 Engaging in safety meetings	<input type="checkbox"/>	<input type="checkbox"/>	
4.3 Selecting proper tools	<input type="checkbox"/>	<input type="checkbox"/>	8.4 Soliciting worker input	<input type="checkbox"/>	<input type="checkbox"/>	
4.4 Storing equipment safely	<input type="checkbox"/>	<input type="checkbox"/>	8.5 Inviting expert to present	<input type="checkbox"/>	<input type="checkbox"/>	
4.5 Reporting equipment label conditions	<input type="checkbox"/>	<input type="checkbox"/>	<b>8.6 Other:</b>			

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**Figure 3: Behavioural Observation Scorecard (CEN-EHS5338)**

No.	Criteria	Maximum Score	Example 1	Example 2	Example 3	Example 4	Example 5	
1	Clear description of the task being observed	5						
2	Pertinent categories are selected, relative to the hazards of the task	5						
3	Comments are provided that describe the behavior(s) observed that caused the selection on the observation card	5						
4	Feedback with the performer(s) re the observations is provided in a timely and effective manner	5						
<b>Total</b>		20	0	0	0	0	0	
			0%	0%	0%	0%	0%	
			<b>Overall Average</b>				0%	
<b>Poor</b>	<b>Information absent, too vague or irrelevant</b>	<b>0</b>						
<b>Fair</b>	<b>Information present, room for improvement</b>	<b>3</b>						
<b>Good</b>	<b>Information very clear, concise</b>	<b>5</b>						