



GHD

Standard Operating Procedure - HSE
SMART Behaviours

HSE304

April 2016

Table of contents

1.	Purpose	1
2.	Scope	2
3.	Responsibilities	2
3.1	Management (GHD, Regional and Project) (Leaders)	2
3.2	Employees	2
3.3	HSE team.....	3
4.	Procedures	4
4.1	Identifying SMART behaviours	5
4.2	Investigate event.....	5
4.3	Classifying SMART behaviours	6
4.4	Determine SMART behaviour consequences	6
4.5	Review and Involving stakeholders	7
4.6	Communication of outcomes	8
4.7	Measuring success	8
5.	References	9
6.	Templates / Forms	Error! Bookmark not defined.

Table index

Table 2-1	GHD expected behaviours.....	2
-----------	------------------------------	---

Figure index

Figure 4-1	Classifying SMART behaviours decision tree.....	6
Figure 4-2	Culture Maturity Ladder	9

Appendix

Appendix A - Behaviours and suggested consequences	
--	--

1. Purpose

Sustainable business improvement is dependent on leaders at each level doing the necessary work to cultivate the desired organisational culture; for example, one where people willingly work in ways that keep them, their colleagues, and the environment safe. This Procedure describes how GHD manages behaviours and seeks to achieve a positive Safety Culture.

Understanding and shaping culture is a role of management. To bring about a positive culture, a leader has three tools at their disposal:

- His or her own behaviour – what they say and do.
- The systems of the organisation – providing a model for actions and activities.
- The expectations that are communicated and enforced – rewarding desired behaviour and discouraging undesired behaviour.

Equally, where Managers tolerate or endorse behaviours that are not in line with GHD expectations – particularly if their behaviour is unsafe or reckless – there must be a consequence to ensure that leadership expectations are reinforced.

Whether a leader intends to or not, every day they are shaping the culture in their organisation. Leaders, both formal and informal, all have a part to play in GHD's Safety Culture development.

Safety is one of our 4 Core values in that “we intrinsically value the safety of ourselves and others affected by our operations and services”

A Safety Culture benefits everyone in the supply chain including employees, clients, external suppliers/vendors, and the communities where we work and GHD looks towards all leaders and employees to contribute to a positive safety culture by exhibiting desired behaviours.

Implementation of the SMART approach in this Procedure will assist GHD to create a sustainable Safety Culture and promote higher levels of employee engagement.

The SMART Procedure builds upon the studies of Professor Patrick Hudson, Professor of Human Factors in Safety at Delft University of Technology in the Netherlands.



2. Scope

This Procedure applies to all GHD employees who work for – or on behalf of - GHD on any GHD or client-controlled site. Refer to the Glossary of Terms for relevant definitions.

An important element of encouraging employees to behave in a manner that helps GHD achieve its objectives is the clear communication of expectations. Failure to do this can significantly impact on Safety Culture. Past GHD experiences and incident reports suggest that appropriate attention being given to key requirements in the GHD management systems will have a positive effect on achieving desired results.

All GHD employees are required to comply with the HSE Management System, jurisdictional legal requirements and must also be able to demonstrate the below non-negotiable HSE expected behaviours. These also extend to external suppliers / vendors under the direct control of GHD.

Table 2-1 GHD expected behaviours

Theme	Expected Behaviour			
HSE	Compliance with GHD SAFEguards	Compliance with GHD Alcohol and other Drug requirements	Compliance with client and site HSE rules	Compliance with GHD Project Management HSE requirements

3. Responsibilities

3.1 Management (GHD, Regional and Project)

- Complete e-learning training on the SMART process.
- Ensure expectations, in particular non-negotiable HSE expected behaviours are clearly communicated to employees.
- Investigate events to identify the root cause and classify observed expected behaviours in accordance with the SMART Behaviours Decision Tree.
- Reward exemplary behaviour and challenge and correct undesired behaviours as per guidance in Appendix A and in consultation with relevant stakeholders.
- Ensure details are recorded using Regional reporting mechanisms.

3.2 Employees

- Be aware of and practice expected behaviours and in particular non-negotiable HSE expected behaviours.
- Advise external suppliers/vendors of expected behaviours.
- Participate in investigations following an event.
- Follow safe working procedures.
- Wear and maintain personal protective equipment issued.
- Report incidents, near misses and hazards.

3.3 HSE team

- Provide advice, support and training in the SMART process.
- Monitor completion of SMART e-learning.
- Monitor and report on reports of desirable and undesirable behaviours and consequences in Regional reporting mechanisms.

4. Procedures

The SMART approach considers current theories of behavioural management and acknowledges there is more to behaviour management than seeking out “poor behaviour” and punishing people. Positive reinforcement at appropriate times will move people from a mindset of “I have to do safety” to “I want to do this safely”.

The circumstances of each behaviour event must be assessed on its merits. The SMART approach is not intended to be applied as a rigid formula where behaviour X results in consequence Y. It is important to identify all of the factors and conditions underlying the desired or undesired behaviour so that informed decisions can be made about an appropriate response. The SMART approach is intended to foster a strong Safety Culture by implementing a fair and transparent tool to:

- Facilitate a group discussion of available information including any relevant documents, investigation findings and interview records, and
- Help identify appropriate recognition or sanctions that will reinforce behaviours.

Application of the SMART approach:

1. **Identify** – adopt a series of measures to actively identify desirable and undesirable behaviours that affect GHD achieving its objectives. See Section 4.1 below for guidance.
2. **Investigate** - Ensure that an investigation is completed to establish the root cause of the event, prior to implementing the SMART approach. Events are to be reported using the appropriate Regional database, including recording details of consequences to be implemented as corrective actions.
3. **Classify Person’s Behaviour** – Refer Section 4.3 Classify behaviour of the person who carried out the action.
4. **Classify Manager’s Behaviour** – using the same flowchart in Section 4.3. Classify behaviour of the manager who is responsible for the person who carried out the action.
5. **Determine consequence** (encouragement or discouragement) – Refer to Appendix A. Using the behaviour identified in the Classifying SMART Behaviours Decision Tree – in consultation with appropriate stakeholders – select the appropriate individual and manager consequence using the tables located in Appendix A.

Note: The consequences associated with each behaviour in Appendix A are provided for guidance only. The final selection of consequences should be based on the behaviour but should also take into account the broader circumstances such as previous conduct, workplace conditions etc.

6. **Review** – If the outcome involves disciplinary measures, refer to the local [People Manager](#) for guidance.

4.1 Identifying SMART behaviours

This Procedure provides the framework to enable the identification of behaviours that align or misalign with GHD expectations. Using their knowledge of client and industry expectations and also the cultures (organisational and community) in which they operate, Regions may develop the necessary vehicle to enable the effective identification and recording of SMART behaviours. This might include:

- Inspections, workstation assessments and project reviews. In this instance, Region's must ensure SMART behaviours are clearly identifiable for recording purposes as clients may ask for evidence.
- Hazard and incident investigations and corrective actions – where group or individual behaviours are identified as a contributing factor.
- Unsafe acts, conditions and activation of Stop Work Authority.
- Corrective actions.
- Formal reviews and audits - that identify failures to meet accountabilities or highlight exemplary behaviour.
- Behavioural observation models - focussed on specific high risk environments. This model is typically an expectation in many Oil and Gas client organisations.

4.1.1 Stop Work Authority

If a situation arises where a person's safety or the environment are at risk, all GHD employees are empowered and expected to stop the work of themselves, colleagues and engaged external suppliers/vendors.

Stop Work Authority (SWA) can be the result of an unsafe condition, unsafe act, or where unclear of the established risk management standard for health, safety and the environment. SWA can be implemented while on site, in the office or during travel.

There will be no repercussions from implementing a SWA and work will not resume until the identified risk has been reduced to as low as reasonably practicable (ALARP).

Situations or behaviours observed that present unacceptable risk or are contradictory to the GHD expected behaviours detailed in Table 2-1 must be confronted with a Stop Work Authority and all SWA activities will be implemented in accordance with [HSE369 Stop Work Authority](#).

4.2 Investigate event

When desired or undesired behaviours are identified, an investigation must be completed to establish the root cause of the event, prior to implementing the SMART Behaviours approach.

Events are to be reported using the appropriate Regional database e.g. IRIS, or on appropriate SMART forms in North America, with corrective actions raised to detail the consequence to be implemented.

4.3 Classifying SMART behaviours

Where a particular behaviour has been identified (either desirable or undesirable), following a review of the available evidence and/or documents, the first step in applying the SMART approach is to classify the action or behaviour according to the Classifying SMART Behaviours Decision Tree in Figure 4-1:

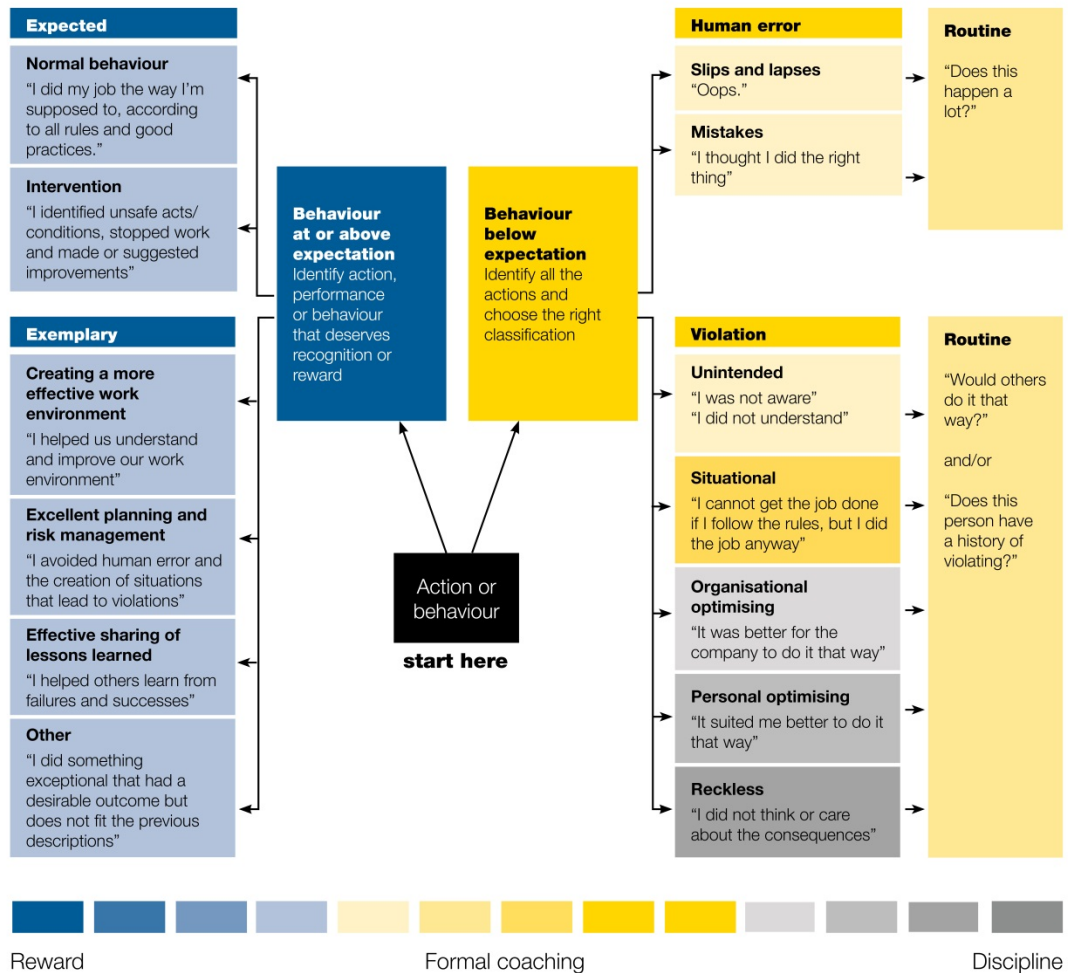


Figure 4-1 Classifying SMART Behaviours Decision Tree

4.4 Determine SMART behaviour consequences

Once behaviour is classified using the Classifying SMART Behaviours Decision Tree, facilitate a discussion with relevant stakeholders to determine an appropriate consequence, (encouragement or discouragement), for the person involved and their immediate manager. Appendix A can be used for further guidance.

4.4.1 At or above expectation behaviours

When at or above expectation behaviours are identified, they need to be acknowledged for the contribution they make to building and sustaining the Safety Culture. At or above expectation behaviours are broken into the following categories:

- **Exemplary** behaviour is over and above what is expected. These behaviours illustrate excellence in risk management, creating a more effective working environment and sharing lessons learnt with others in their sphere of influence.
- **Expected** is doing what is normal and expected for your job or role e.g. recognising and intervening in an at-risk situation and being receptive to others interventions.

Guidance on the consequences for exemplary and expected behaviours are listed in Appendix A.

4.4.2 Below expectation behaviours

Conversely, below expectation behaviours needs to be challenged and corrected in order to instil a positive Safety Culture. Below expectation behaviours generally fall into the following categories:

- **Human error** occurs when the task requirements exceed the skills, capacity or knowledge of the person performing it. The behaviours resulting in errors and their outcomes are usually unintended.
- **Violations** involve intentional behaviour generally to achieve specific outcomes that are not aligned with GHD expectations.

Guidance on the consequences for human error and violation behaviours are listed in Appendix A.

4.5 Review and Involving stakeholders

The consequences for unwanted workplace behaviours must be reasonable for the circumstances of the event in which the behaviour occurred. Relevant stakeholders need to be involved when determining consequences to enable mitigating circumstances to be taken into account, including a person's employment history, conduct record and the prevailing workplace conditions when the behaviour occurred.

The SMART approach must be applied in conjunction with applicable agreements and conditions of employment. Failure to take account of these can result in industrial disputes and client requirements may also need to be factored into the decision making processes.

Where application of the SMART approach involves consideration of disciplinary measures, the Manager is responsible for engaging the People Manager at the earliest opportunity, to ensure that any requirements of relevant awards, enterprise agreements or conditions of employment are met and the proposed consequence is fair, reasonable and is equivalent to the consequences for similar actions across the business.

4.6 Communication of outcomes

For the SMART approach to be successful, learnings from behaviour events (positive+ or negative-) need to be communicated to employees, whilst maintaining confidentiality, where necessary (i.e. for negative behaviours). Communicating good and bad news stories should contribute to preventing reoccurrence of similar negative behaviours and encourage employees to act in a positive manner and improve GHD's Safety Culture.

Where the event has global application e.g. breach of *GHD Alcohol and other Drugs requirements*, the event is to be reported to Group HSE, to coordinate wider communications and reporting to the EMG.

4.7 Measuring success

Safety Cultures may take many different forms and the time taken to achieve the desired culture is varied. The progressive stages of a Safety Culture can be illustrated on a scale as illustrated in Figure 4.2. The challenge is understanding where on this scale the organisation, region or business unit is positioned and putting in place the appropriate measures to move them to the next stage.

The annual GHD Safety Culture Survey collects information from our people and enables GHD to measure our safety culture progression against this scale.

The Safety Culture Survey questions have been compiled to enable:

- Direct measurement against the cultural aspirations detailed within this Procedure.
- Identification of key areas for improvement in our behaviour that affects achievement of our cultural aspirations.

Using this information, we can broadly define the maturity of our safety culture and results will be measured and published annually by the Group Manager HSE.

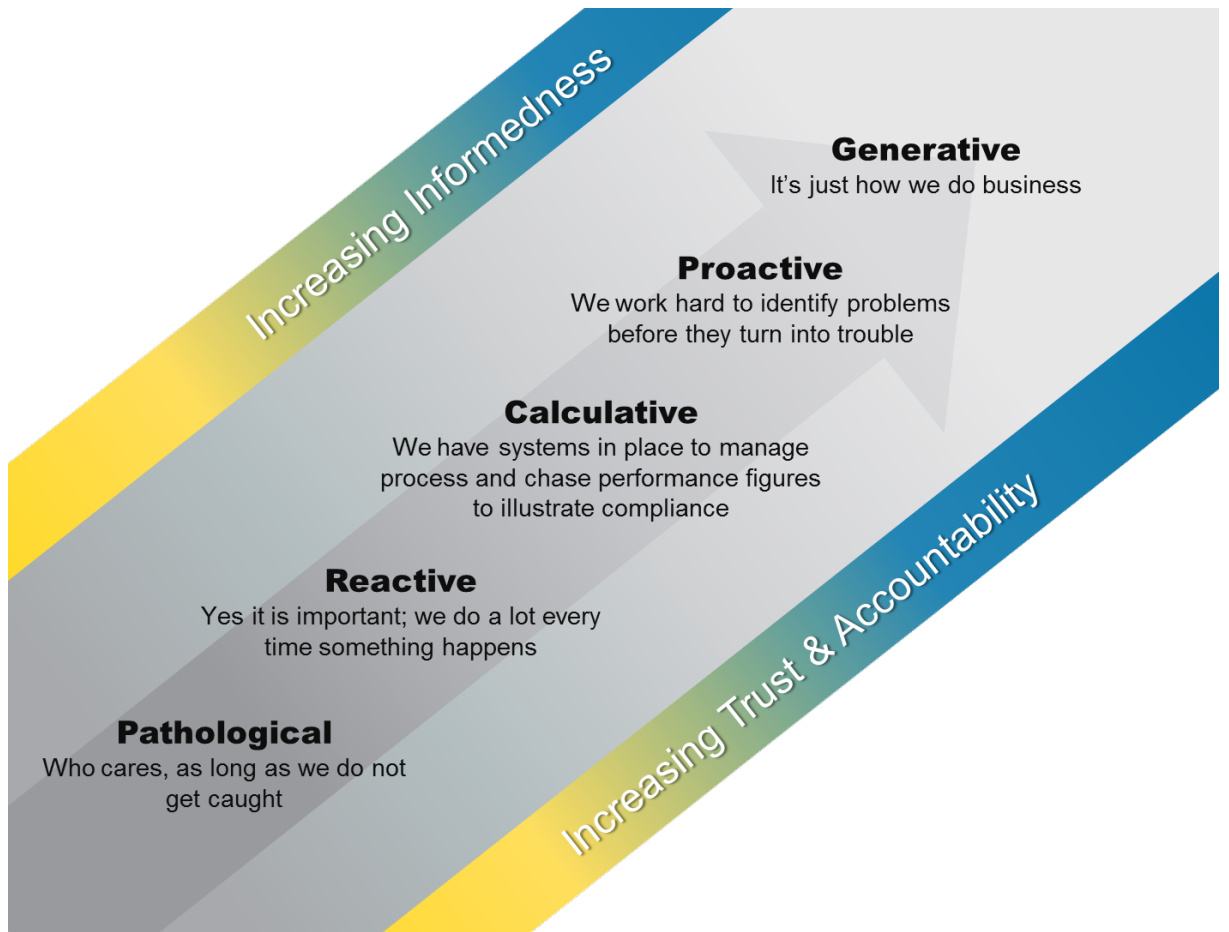


Figure 4-2 Culture Maturity Ladder

5. References

Hudson, P.T.W. 2008 SMART. SPE conference of HSE in Oil and Gas Exploration and Production. France

Appendices

Appendix A

Exemplary behaviours

Table A-1 Exemplary behaviour consequences



Behaviour	Description of behaviour	Consequences for the individual examples	Consequences for the managers of the individual examples
Excellence in risk management and, planning	Risk management, and planning has reduced the likelihood of human error or the creation of situations that lead to violations. This is characterised by taking a step back from a situation to reflect on what is happening and how the risks could be better managed.	Recognition/reward – at the discretion of the manager and in agreement with People Manager. <ul style="list-style-type: none"> • Praise • Public recognition • Special recognition awards • Positive performance appraisal • Career progression 	If this behaviour is displayed by a whole team, or regularly by some members of the team, their Line Manager should also receive appropriate recognition / reward – at the discretion of the manager in agreement with People Manager. <ul style="list-style-type: none"> • Praise • Public recognition • Special recognition awards • Positive performance appraisal • Career progression
Creating a more effective working environment	Creating trust, good communication and clear expectations in a team e.g. 'Seeing Yourself as Others See You' or 'Understanding Your Culture'.		
Effective sharing of lessons learned	Sharing experience in a way that gives genuine benefit to others e.g. highly effective communication, using lessons learned to improve a working practice.		

Expected behaviours

Table A-2 Expected behaviour consequences



Behaviour	Description of behaviour	Consequences for the individual examples	Consequences for the manager/s of the individual examples
Normal behaviour	Consistently doing what is normal and required for your project according to rules and good practices	Encouragement and recognition from line manager's management	Encouragement and recognition from manager and senior manager/s if whole team is working this way.
Intervention	Consistently recognising and intervening in a potentially problematic situation. Examples include stopping your own work activity or someone else's, catching errors, preventing someone from breaking a rule. Also includes being receptive to others' interventions.		

Below expectation behaviours

Table A-3 Human Error Behaviour Consequences



Behaviour	Description of behaviour	Consequences for the individual examples - at the discretion of the manager, in line with <i>GHD Grievance Handling or Workplace Behaviour Policy</i> and in agreement with People Manager.	Consequences for the manager/s of the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling or Workplace Behaviour Policy</i> and in agreement with People Manager.
Human error	Human error is a part of life that can rarely be entirely eliminated. Disciplinary actions in line with local practices and guidelines are usually not appropriate when slips, lapses or mistakes have been made, but often things can be done to prevent their (re-)occurrence. The classification of human error should not be the end result of the investigation; it should also be to find out what drove the behaviour resulting in the error.		
Slips and lapses	Activity that did not proceed as planned e.g. something was unintentionally done the wrong way or a step was forgotten.	Coaching on how to spot errors, what influences the occurrence of slips and lapses and the importance of reporting them to aid detection of trends and underlying causes	Coaching in error management
Mistakes	Activities that proceed as planned but do not achieve their desired end due to Incorrect decisions or inadequate planning.	Competence development / coaching	Coaching in error management and competence management.
Routine error Same errors by different people	It is not the first time that this type of error has happened to various people.	Whole team to receive coaching on how to spot errors, what influences their occurrence and the importance of reporting them to aid detection of trends and underlying causes.	Coaching in error management and competence management. Performance appraisal affected for not addressing clear problems in own area.

Behaviour	Description of behaviour	Consequences for the individual examples - at the discretion of the manager, in line with <i>GHD Grievance Handling or Workplace Behaviour Policy</i> and in agreement with People Manager.	Consequences for the manager/s of the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling or Workplace Behaviour Policy</i> and in agreement with People Manager.
<p>Routine error</p> <p>A personal history of errors – when the same errors are not made by others in similar situations</p>	<p>It is not the first time that this type of error or mistake has been made by this person. Other people in similar situations do not make this error.</p>	<p>Assessment of fitness for work via Health Monitoring Procedure (i.e. abilities and suitability for the specific project). If appropriate, competence development and coaching, or consider assigning alternative type of work.</p>	<p>Coaching on fitness for work.</p>

Table A-4 Violation behaviour consequences



Behaviour	Description of behaviour	Consequences for the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling</i> or <i>Workplace Behaviour Policy</i> and in agreement with People Manager.	Consequences for the manager/s of the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling</i> or <i>Workplace Behaviour Policy</i> and in agreement with People Manager.
Unintended violation	A rule was violated because people were not aware of the rule or did not understand it	Competence development / coaching	Coaching on how to ensure rules are available and understood.
Situational violation	An activity cannot be done if the rules are followed. Instead of stopping the activity it is done anyway and a rule is violated.	Coaching on the need to speak-up when rules cannot be followed and to stop the activity until it can be done safely. Mild disciplinary action in line with local practices and guidelines.	Coaching on managing rule breaking. If this type of situation has occurred before, performance appraisal is affected for not demonstrating commitment to rule compliance.
Organisational optimising violation Optimising for company benefit	The person who committed the violation thought it was better for the company to do it that way. The violation was committed to improve performance or to please the Line Manager.	Coaching on the need to speak-up when rules cannot be followed and to stop the activity until it can be done safely. Mild disciplinary action in line with local practices and guidelines.	Performance appraisal is affected, coaching on managing rule breaking. If this type of violation has occurred before there should be formal discipline for reckless supervision and creating a culture that encourages this behaviour.

Behaviour	Description of behaviour	Consequences for the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling or Workplace Behaviour Policy</i> and in agreement with People Manager.	Consequences for the manager/s of the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling or Workplace Behaviour Policy</i> and in agreement with People Manager.
<p>Personal optimising violation</p> <p>Optimising for personal benefit</p>	<p>The person thought it was better for them personally to do it that way e.g. doing activity faster / incorrectly to get a longer work break.</p>	<p>Formal discipline.</p> <p>If this has happened before, then formal warning process should be followed.</p> <p>Consider anonymous publication of the violation and its consequences for worker and their managers.</p>	<p>Performance appraisal is affected for not becoming informed about clear problems in own area.</p> <p>Coaching in <i>Managing Rule Breaking</i> together with team.</p> <p>If this type of situation has occurred before, performance appraisal is affected for condoning violation or not taking action.</p> <p>The reason for condoning this behaviour should be investigated.</p>
<p>Reckless violation</p>	<p>The person committing the violation did not think or care about the consequences. Gross negligence can be considered a part of this type of violation.</p>	<p>Final warning or immediate removal for wilful and reckless violations. In worst cases, consider dismissal in line with local practices and guidelines and possible criminal proceedings.</p>	<p>Coaching in how to recognise and deal with such behaviour early.</p>
<p>Routine violation</p> <p>Everybody does it like that</p>	<p>Other people would have done or do it the same way. Checking for this type of violation can be done by using the 'situation test'. I.e. Would a significant proportion of individuals with the same training and experience have acted in the same way under the same circumstances?</p>	<p>Whole team to receive coaching in <i>Managing Rule Breaking</i></p>	<p>Performance appraisal may be affected for not becoming informed about clear problems in own area.</p> <p>Coaching in <i>Managing Rule Breaking</i> together with team.</p> <p>If this type of situation has occurred before, performance appraisal is affected for condoning violation or not taking action.</p>

Behaviour	Description of behaviour	Consequences for the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling</i> or <i>Workplace Behaviour Policy</i> and in agreement with People Manager.	Consequences for the manager/s of the individual examples at the discretion of the manager, in line with <i>GHD Grievance Handling</i> or <i>Workplace Behaviour Policy</i> and in agreement with People Manager.
<p>Routine violation</p> <p>A personal history of violations</p>	<p>The individual has a history of violation, disregarding the rules and Procedures in general, not just frequent violation of the rules under investigation.</p>	<p>Formal discipline.</p> <p>In worst cases, consider dismissal in line with local practices and guidelines.</p>	<p>Coaching in how to recognise individual violators.</p> <p>Performance appraisal is affected if it is found that violating is condoned or no action to rectify.</p> <p>If there are many routine violations of this type the reason for condoning this behaviour should be investigated, the Classifying behaviour decision tree etc. will help determine whether the manager's behaviour was an error or violation.</p>

GHD

Level 3 GHD Tower 24 Honeysuckle Drive Newcastle NSW 2300
PO Box 5403 Hunter Region Mail Centre NSW 2310
T: (02) 4979 9999 F: (02) 4979 9988 E: ntlmail@ghd.com

© GHD 2016

This document is and shall remain the property of GHD. The document may only be used for the purpose for which it was commissioned and in accordance with the Terms of Engagement for the commission. Unauthorised use of this document in any form whatsoever is prohibited.

Document Status

Rev No.	Author	Reviewer		Approved for Issue		
		Name	Signature	Name	Signature	Date
0	C Harrison	Anna Wilson	<i>Anna Wilson</i>	C Harrison	<i>C Harrison</i>	Apr 16

www.ghd.com

