



UK Petroleum Industry Association Ltd.

Self-Assessment Module –
COMPETENCY MANAGEMENT SYSTEMS

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		UKPIA Self Assessment Module – Competency Management Systems	en	0.0	No. of sh.	13	

Foreword


As part of its Process Safety Leadership Commitment, UKPIA has developed, through its members, a series of common self-assessment modules for process safety. This document provides detailed guidance on the use of a self-assessment tool for the element of Competency Management Systems (CMS).

This self-assessment tool was developed by UKPIA and its member companies. The completed tool is distributed to member companies to allow them to perform self-assessment in accordance with the Process Safety Leadership Commitment.

It is not the intention of this document, or the self-assessment tool itself, to specify how CMS processes should be developed, nor replace any existing corporate assessment or audit activities. The intent of this module is to provide a means by which organisations can further assess themselves against a common framework of excellence in process safety.


There are no limitations on further distribution of this module to other organisations outside of UKPIA, provided that:

1. It is understood that the CMS document and self assessment tool represents UKPIA's view of a common framework.
2. UKPIA owns all rights to the CMS document and self assessment tool.
3. UKPIA accepts no responsibility in terms of the use or misuse of this document.
4. The CMS document and self assessment tool is distributed in a read only format, such that the name and content is not changed and that it is consistently referred to as "The UKPIA Competency Management Systems Self-Assessment module".
5. It is understood that no warranty is given in relation to the accuracy or completeness of information contained in the document except that it is believed to be substantially correct at the time of publication.

Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module – Competency Management Systems	Issue Date:	15 th November 2011			
	UKPIA Self Assessment Module – Competency Management Systems	Lang.	Rev. ind.	Sheet	2	
		en	0.0	No. of sh.	13	

Contents

FOREWORD	2
CONTENTS	3
1. INTRODUCTION	4
1.1 Scope	4
1.2 Principles for Use	4
1.3 Analysis	5
2. SELF-ASSESSMENT GUIDANCE	6
2.1 Attendance Record	6
2.2 Reference Documents	6
2.3 Phase 1 – Define the scope of the CMS.....	7
2.4 Phase 2 – Design the CMS	7
2.5 Phase 3 – Implement the CMS.....	7
2.6 Phase 4 – Assess and maintain the CMS	7
2.7 Phase 5 – Verify and audit the CMS	7
2.8 Phase 6 – Apply the guidelines to the contractor workforce	8
APPENDIX-1 SELF-ASSESSMENT TOOL	9
REFERENCES	10
ABBREVIATIONS.....	11
ACKNOWLEDGEMENTS.....	12
REVISION HISTORY.....	13

Doc. Type Assessment Module Title Assessment Module – Competency Management Systems	Project Process Safety Leadership			
	Issue Date: 15th November 2011			
	Document identity UKPIA Self Assessment Module – Competency Management Systems	Lang. en	Rev. ind. 0.0	Sheet 3
				No. of sh. 13

1. Introduction

This is one of a suite of documents used to perform self-assessment against process safety excellence, as defined within UKPIA_PSL_002, Overview for Self-Assessment¹.

The purpose of this document is to provide the detailed guidance and tools necessary for performing self-assessment on Competency Management System (CMS) processes for UKPIA member organisations.

The purpose of a CMS is to control, in a logical and integrated manner, a cycle of activities that will assure competent performance. The aim is to ensure that individuals are clear about the performance expected of them, that they have received appropriate training, development assessment and re-assessment; and that they maintain or improve their competence over time.

1.1 Scope

This document applies to CMS processes used by members at their refinery and fuel storage facilities in the UK.

This self assessment module has been developed to align with the joint COGENT SSC/UKPIA guidance on good competency management systems which can be found here:

http://www.cogent-ssc.com/Big_Tickets/Competence_Assurance.php

Reference should also be made to the Health and Safety Executive (HSE) delivery guide for competency management which can be found here:


<http://www.hse.gov.uk/comah/ca-guides.htm>

1.2 Principles for Use

The self-assessment tool is included in Appendix-1 of this document. The CMS self-assessment is divided into six phases, each related to a specific aspect of CMS:

1. Phase 1 – Define the scope of the CMS
2. Phase 2 – Design the CMS
3. Phase 3 – Implement the CMS
4. Phase 4 – Assess and maintain the CMS
5. Phase 5 – Verify and audit the CMS
6. Phase 6 – Apply the guidelines to the contractor workforce

¹ The overview for self assessment is the controlling document which defines all modules which form the basis of the self assessment process, as identified in the UKPIA Process Safety Leadership Commitment.

Doc. Type	Assessment Module	Project	Process Safety Leadership				
Title	Assessment Module – Competency Management Systems	Issue Date:	15 th November 2011				
	UKPIA Self Assessment Module – Competency Management Systems	Lang.	en	Rev. ind.	0.0	Sheet	4
		No. of sh.	13				

As each phase is completed, the self-assessment tool calculates a percentage score based on metrics agreed as part of tool development. A level of implementation, ranging from 0 (Awareness Building) to 4 (Optimising) is attributed to each percentage score.

The results of the self-assessment may be used by the member to determine where best to focus improvement plans for this module.

The self-assessment process involves a review of the existing CMS processes. References should be recorded where deemed appropriate within appendix 1 to provide traceability of results.

Detailed guidance for how to use the self-assessment module can be found in section 2.


1.3 Analysis

The results of this self-assessment module may be used by UKPIA to perform peer-to-peer analysis of the results, and where appropriate, provide feedback to individual member organisations.

Through repeat self-assessments, percentage scores and levels of implementation can be charted over time, providing indication of increasing levels of process safety excellence, within the scope of this module.

Refer to UKPIA_PSL_006², guideline for peer-to-peer analysis for further information.

² The Guideline for Peer-to-Peer Analysis provides detailed information relating to how data captured through assessment is quantified, compared and reported back to each member, and the controls that are in place to maintain confidentiality of this information.

Doc. Type	Assessment Module	Project				Process Safety Leadership	
		Title					
Issue Date: 15 th November 2011							
	Document identity			Lang.	Rev. ind.	Sheet	5
	UKPIA Self Assessment Module – Competency Management Systems			en	0.0	No. of sh.	13

2. Self-Assessment Guidance

The self-assessment tool is included within Appendix-1 of this document.

The self-assessment is performed by individual operators, and may utilise such techniques as review of procedures, supporting documentation and inspection schedules, and discussions with those personnel directly involved in the CMS.

For each question asked, a score of between 0 and 4 should be awarded for the current level of implementation, where:

- 0 – Awareness Building
- 1 – Program Development
- 2 – Implementing
- 3 – Managed
- 4 – Optimising

An explanation of implementation level can be found in the summary sheet of Appendix-1.

Where appropriate, document references may be added in support of the responses provided.

Appendix-1 provides detailed information relating to each phase of the self-assessment, including supporting notes for each of the questions posed. The following sub-sections provide additional guidance for assessors.

2.1 Attendance Record

The attendance record may be used to provide a record of those involved in the self-assessment process.


Note that:

1. Those involved in the self-assessment process should have knowledge of the CMS process, and wider corporate management systems.
2. An independent UKPIA witness can attend the self-assessment on request.

2.2 Reference Documents

Where appropriate, a record of relevant documents reviewed as part of the self-assessment process should be provided. This may include:

1. CMS and related procedures
2. Inspection Schedules

Doc. Type	Assessment Module	Project	Process Safety Leadership				
Title	Assessment Module – Competency Management Systems	Issue Date:	15 th November 2011				
	UKPIA Self Assessment Module – Competency Management Systems	Lang.	en	Rev. ind.	0.0	Sheet	6
		No. of sh.	13				

3. Design documents
4. Operational procedures and instructions
5. Training records
6. Audit records
7. Action plan for improvements

Note that individual document references may also be included as appropriate when responding to each self-assessment question.

2.3 Phase 1 – Define the scope of the CMS

Before the CMS can be designed and implemented, its scope and purpose should be clearly defined. This definition includes identifying safety critical tasks for the business, and the roles and responsibilities of those individuals who perform those tasks.

2.4 Phase 2 – Design the CMS

The purpose of this phase is to ensure that the CMS has been designed to assure the organisation, individual employees and external bodies, that the workforce is demonstrating ongoing competence in any role, across all disciplines.

2.5 Phase 3 – Implement the CMS

In implementing the CMS, the business should ensure that it measures and verifies competence against the defined standards. Personnel should be trained, monitored and re-assessed to maintain the defined standards.


2.6 Phase 4 – Assess and maintain the CMS

The CMS should be updated where necessary to maintain standards in response to change. The competency of those responsible for managing and assessing others against the standard should also be maintained.

Key performance indicators should be used as a measure of the performance of the CMS.


2.7 Phase 5 – Verify and audit the CMS

The CMS should be audited to ensure that it is being applied correctly, and verified that it is continuing to maintain competency within the organisation. Any areas of improvement identified should be fed back to refresh and update the CMS where necessary.


Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module – Competency Management Systems	Issue Date: 15 th November 2011				
	Document identity UKPIA Self Assessment Module – Competency Management Systems	Lang.	Rev. ind.	Sheet	7	
		en	0.0	No. of sh.	13	

2.8 Phase 6 – Apply the guidelines to the contractor workforce

The final phase considers the application of the CMS to the contractor workforce as a means of providing assurance of contractor competence and the implications for the procurement of contractors and third party suppliers.

Doc. Type	Assessment Module	Project				Process Safety Leadership	
Title	Assessment Module – Competency Management Systems	Issue Date: 15 th November 2011					
	UKPIA Self Assessment Module – Competency Management Systems	Lang.	Rev. ind.	Sheet	8		
		en	0.0	No. of sh.	13		

Appendix-1 Self-Assessment Tool

Doc. Type	Assessment Module	Project				Process Safety Leadership
Title	Assessment Module – Competency Management Systems	Issue Date:				15 th November 2011
		Document identity	Lang.	Rev. ind.	Sheet	9
		UKPIA Self Assessment Module – Competency Management Systems	en	0.0	No. of sh.	13


References

The following table provides references to documentation used to develop the self-assessment module.

Description	Reference
Guidelines for Competency Management Systems for Downstream and Petroleum Sites	COGENT/UKPIA publication version 1, May 2011
HSE Delivery Guide – Competency Management	TBA


The following table provides details of applicable UKPIA process safety leadership documents that should be referenced where indicated within this self-assessment module.

Description	Reference
Overview Self Assessment Framework	UKPIA_PSL_002
Guideline for Peer to Peer Analysis	UKPIA_PSL_006

Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module – Competency Management Systems	Issue Date:	15 th November 2011			
	Document identity UKPIA Self Assessment Module – Competency Management Systems	Lang.	Rev. ind.	Sheet	10	
		en	0.0	No. of sh.	13	


Abbreviations

Abbreviation	Description
CMS	Competency Management System
HSE	Health and Safety Executive
COGENT SSC	COGENT Sector Skills Council
UK	United Kingdom
UKPIA	United Kingdom Petroleum Industry Association

Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module – Competency Management Systems	Issue Date: 15 th November 2011				
	Document identity UKPIA Self Assessment Module – Competency Management Systems	Lang.	Rev. ind.	Sheet	11	
		en	0.0	No. of sh.	13	


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Doc. Type	Assessment Module	Project				Process Safety Leadership	
Title	Assessment Module – Competency Management Systems	Issue Date: 15 th November 2011					
		Document identity	Lang.	Rev. ind.	Sheet	12	
		UKPIA Self Assessment Module – Competency Management Systems	en	0.0	No. of sh.	13	

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Doc. Type Title	Assessment Module Assessment Module – Competency Management Systems	Project Process Safety Leadership			
		Issue Date: 15 th November 2011			
	Document identity UKPIA Self Assessment Module – Competency Management Systems	Lang.	Rev. ind.	Sheet	13
		en	0.0	No. of sh.	13