



UK Petroleum Industry Association Ltd.

Self-Assessment Module

SUCCESSFUL LEADERSHIP

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## 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 Leadership.

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 Leadership 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 Leadership document and self assessment tool represents UKPIA's view of a common framework.
2. UKPIA owns all rights to the Leadership document and self assessment tool.
3. UKPIA accepts no responsibility in terms of the use or misuse of this document.
4. The Leadership 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 Self Assessment Module Leadership".
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.

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## 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-Assessment<sup>1</sup>.

Parts 5 and 6 of the final Process Safety Leadership Report (PSLG) relates to high reliability organisations and delivering high performance through culture and leadership through the implementation of the PSLG Principles of Process Safety.

To address these challenges, UKPIA launched its commitment statement to promote and deliver excellence in process safety. As a founding member of the Process Safety Forum, UKPIA also actively shares good practice and high level learnings with other industry sectors.

The purpose of this self assessment module is to provide a mechanism by which effective leadership, through implementation of UKPIA's Commitment to process safety, and through implementation of the guidance provided in Parts 5 and 6 of the final PSLG report can be measured.

### 1.1 Scope

This document applies to the measurement of the effectiveness of process safety leadership within the UK organisation of a company.

The scope of this module is limited to the measurement of leadership in relation to process safety, through implementation of the initiatives in place to address the recommendations within Parts 5 and 6 of the final PSLG report.

The module has been developed through a consultation process with UKPIA Council and Process Safety Leadership Network.


### 1.2 Principles for Use

The self-assessment tool is included in Appendix-1 of this document. The Leadership self-assessment is targeted at four levels within the UK corporate structure:

1. UK Management Team
2. Operational Management Team
3. Operational Safety Team
4. Operational Team

At each level within the UK corporate structure, a series of questions are provided in the self assessment module, which relate to the effectiveness and perception of leadership within the organisation.

<sup>1</sup> 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.

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The questions may be answered collectively by all members (or a key cross section) of the team, or answered individually by all team members.

Detailed guidance on the focus, development and use the self-assessment module can be found in section 3.

### 1.3 Analysis


The results of this self-assessment module may be used by the UKPIA Process Safety Programme Manager (PSPM) 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. These may in the future form the basis of a leading process safety performance indicator.

Refer to UKPIA\_PSL\_006<sup>2</sup>, guideline for peer-to-peer analysis for further information.

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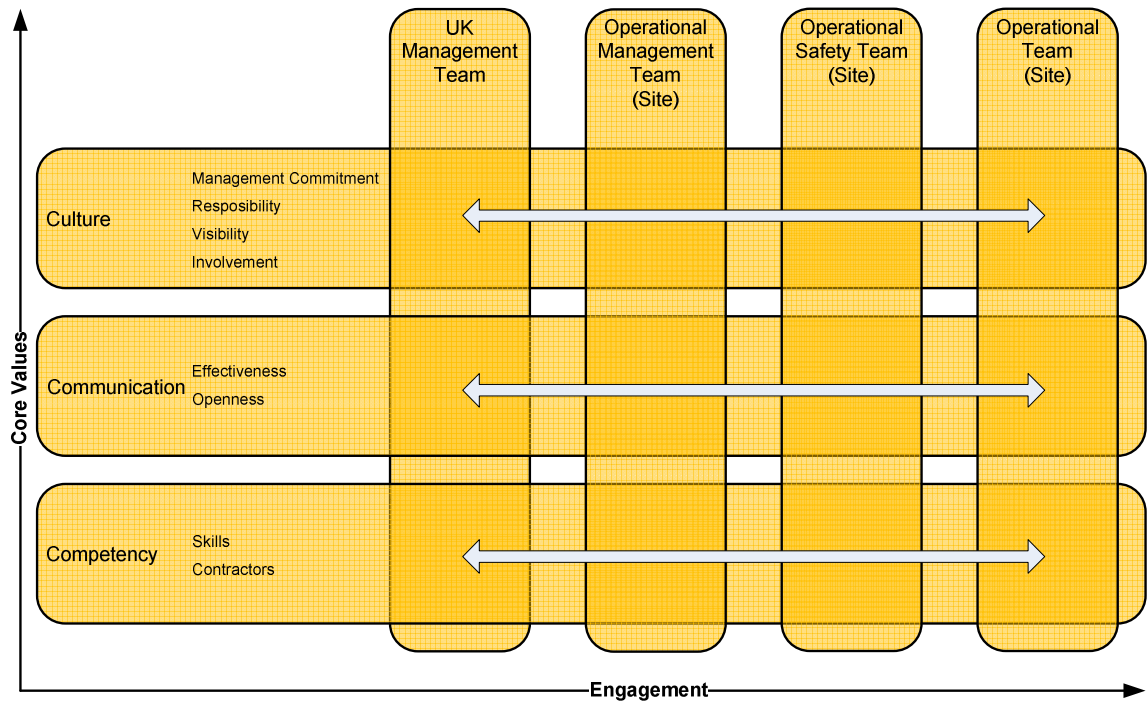
<sup>2</sup> The Guideline for Peer-to-Peer Analysis provides detailed information relating to how data captured through assessment is quantified, compared and reported back to each member, and the controls that are in place to maintain confidentiality of this information.

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## 2. Development and Guidance

### 2.1 Overview

Recognising that successful leadership should be measured at all levels within an organisation; the development of this self assessment module identifies three core values which aim to determine effectiveness throughout an organisation, from the corporate management team through to the operational teams which work day to day with an asset. The following diagram provides an overview of this process:




By utilising common themes (core values) key question sets have been developed for each level within the organisation (engagement).

Linking key questions between organisational levels (note that not all questions will be relevant to all levels within an organisation), the perception of how successful leadership is can be measured, thus having the potential to highlight where weaknesses exist.

Whilst process safety culture envelops each of the core values identified, Communication and Competency have been separated as individual topics, ensuring sufficient granularity to aid in the analysis of the assessment results, and identification of specific trends.

#### 2.1.1 Culture

##### Management Commitment

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*'Can I effectively demonstrate management commitment on process safety topics?'*

Demonstrating leadership is a responsibility of all those within an organisation, whether that is setting policy and direction from board level, or directing and influencing the work of individuals tasked with maintaining an asset.

### **Responsibility**

*'Do I know what I need to do?'*

Understanding the process safety structure within an organisation, and where an individual fits within that structure is important in determining roles and responsibilities. People, and the teams they are in, at all levels within an organisation should have a clear understanding and perspective of what it is they, and those around them, are expected to do within the framework of process safety.

### **Visibility**

*'How should I be seen to do it?'*

Whilst having clearly defined process safety roles and responsibilities tells an individual and team what they need to do, they should also be seen to be fulfilling that task, and actively engaging with others within the process safety structure.

### **Involvement**

*'Am I actively involved in process safety?'*

Defining roles and responsibilities tells an individual what they need to do, but they should have a sense that they are actively contributing to maintaining and improving process safety within the organisation. Ensuring staff are involved in the development, review and implementation of processes and initiatives is an important factor when securing their involvement.

## **2.1.2 Communication**

### **Effectiveness**


*'How well do I, and those around me, communicate on process safety topics?'*

Communication should not only be considered effective if driven from the top of an organisation, but individuals within the framework of process safety should also consider how they talk, and are receptive to, those around them - sharing knowledge, information and direction within the organisation.

### **Openness**

*'Am I comfortable in raising my concerns, and how well are they acted upon?'*

Individuals within the framework of process safety, regardless of position or seniority, should be encouraged to discuss openly any concerns and also any recommendations

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that they may have. Feedback should always be provided, and where appropriate changes made in the management of process safety should be visible and clearly communicated.

### 2.1.3 Competency

#### Skills

*‘Do I have the necessary skills to allow me to carry out my job?’*

An individual should be supported in their job role by ensuring that they have an appropriate level of training, knowledge, experience and qualification. Skills should be periodically assessed, and when responsibilities are changed, this should automatically trigger a review. Knowledge from within the organisation and externally should be clearly and effectively shared.

#### Contractors


*‘Do contractors have the same values, and are they equal partners in ensuring the success of process safety within the organisation?’*

Contractors form an essential part of the workforce for many operations. The selection, audit and assessment of contractors should involve all relevant parties from the organisation, and should be based on demonstrable competency. Conversely, contractors should be made to feel that they play an essential part in maintaining high standards of process safety, and can have an equal part to play in raising awareness and highlighting weaknesses with existing systems.

## 2.2 Structure

The following diagram provides an overview of the core values identified for process safety leadership, and an overview of the questions that may be asked at each level within the organisation, including references where applicable to the seven objectives of the UKPIA Commitment Statement.

Reference should be made to appendix 2, which provides a more detailed view of the question set development, based on organisational structure.

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## 2.3 Audience

Four question sets are produced as part of this self assessment module, each targeted at a different audience within the organisation:

1. UK Management Team
2. Operational Management Team
  - a. Refinery Management


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- b. Terminals Business Management
- 3. Operational Safety Team
  - a. Health, Safety and Environment Managers
  - b. Process Safety Specialists
- 4. Operational Team
  - a. Asset engineers and technicians
  - b. Shift supervisors and operators
  - c. Safety representatives

## 2.4 Source Information

In compiling the question sets for this self assessment module, the following documents were referenced for source material:

- Process Safety Leadership Group Final Report, Appendix 5 – Guidance for the management of operations and human factors
- HSE Research Report 367 – A review of safety culture and safety climate literature for the development of the safety culture toolkit
- HSE HSG 217 – Involving employees in health and safety
- HSE HSG 48 – Reducing error and influencing behaviour
- HSE INDG 277 – Leadership for the major hazard industries
- HSE Human factors briefing note number 7 – Safety culture
- CCPS Guidelines for risk based process safety – Process safety culture
- CIA Best practice guide – Process safety leadership in the chemicals industry
- Energy Institute – Understanding your culture
- UKPIA Commitment to process safety

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### 3. Self Assessment Guidance

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

The self assessment is performed by completing the question sets provided, targeting key personnel at each level within the organisation.

For each question asked, a score of between 1 and 5 should be given, where:

- 1 – I strongly disagree with the statement
- 2 – I disagree with the statement
- 3 – I neither disagree nor agree with the statement
- 4 – I agree with the statement
- 5 – I strongly agree with the statement


It is recommended that question sets are printed as a hard copy and distributed to key members at each target level within the organisation. Question sets should be completed anonymously, and returned to the originator to allow for the data to be collated.

The spreadsheet included in appendix 1 includes a worksheet labelled 'data collection'. This sheet should be used by the originator to collate all completed forms. For each corporate level questioned, enter the number of respondents from either the operational team, safety team, operational management team or corporate management team at the top of each table.


Collate the results from responders from each of the target groups for each question, and record in the appropriate table, the data entry status will display 'OK' if the total number of responses equals the total number of responders.

The analysis worksheet provides basic comparisons of key question groups that may be used as indicators of performance. These are:

1. Management Commitment – Process Safety Policy
2. Responsibility – Role and responsibility in relation to process safety
3. Visibility – Workforce perception of promoting process safety issues
4. Involvement – Process Safety Improvement Plan
5. Performance Indicators – External and Internal PSPIs
6. Learning – Perceived role of UKPIA
7. Openness – Open culture for reporting process safety issues

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- 8. Skills – Competency in job role
- 9. Skills – Contractor selection


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### 3.1 References


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

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## Abbreviations

Abbreviation	Description
CAP EPLG	Chemical and Pipelines Emergency Planning and Liaison Group
CCPS	Centre for Chemical Process Safety
CDOIF	Chemical and Downstream Oil Industry Forum
CIA	Chemical Industries Association
HSE	Health and Safety Executive
PS	Process Safety
PSF	Process Safety Forum
PSPI	Process Safety Performance Indicator
PSPM	Process Safety Programme Manager
PSLG	Process Safety Leadership Group
UK	United Kingdom
UKPIA	United Kingdom Petroleum Industry Association

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1.0	All	Updated following PSLN Comments	22-Nov-2010	PSD

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## Appendix-1 Self Assessment Tool

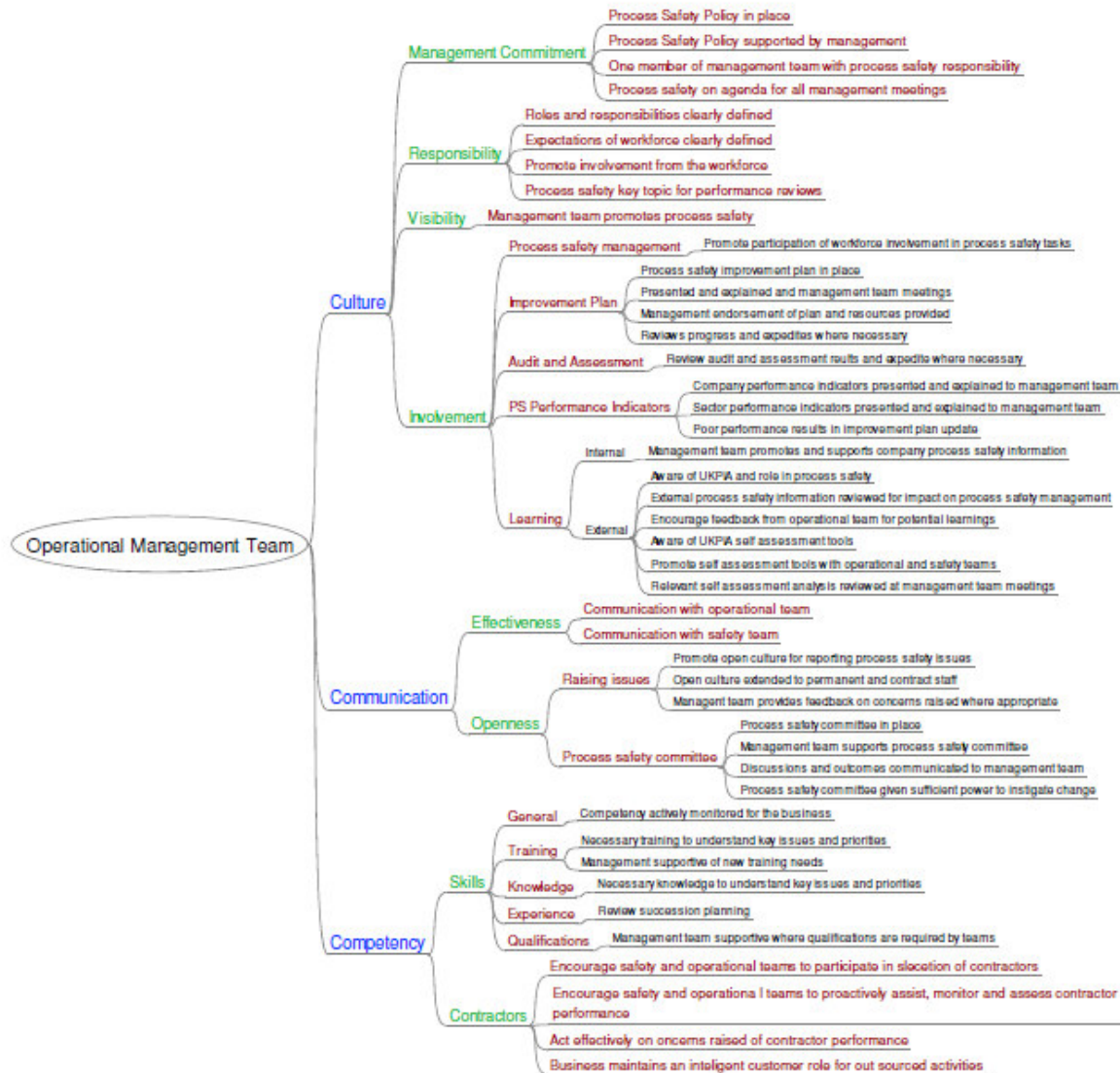
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## Appendix-2 Development Process

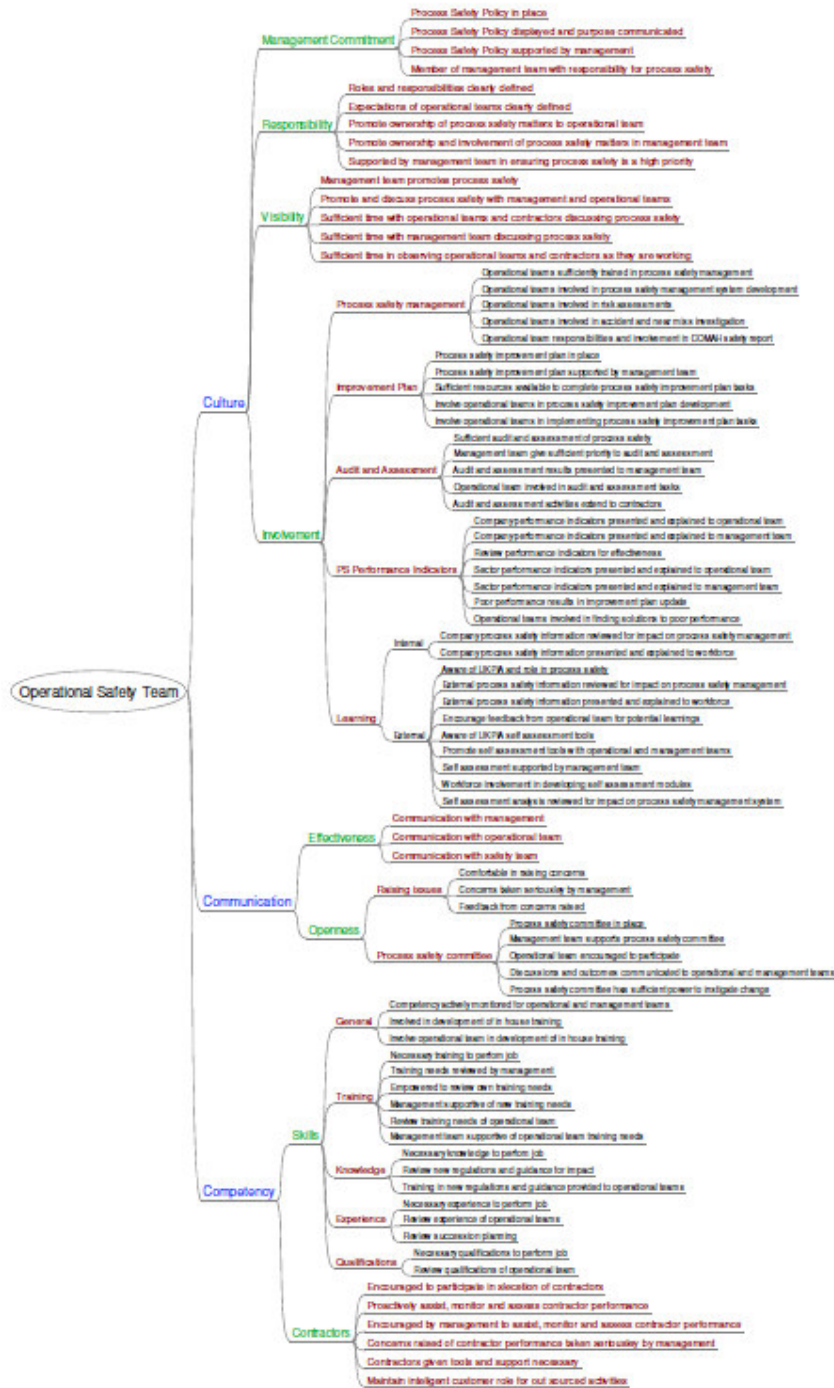
The following mind map diagrams provide a record of the self-assessment process development.




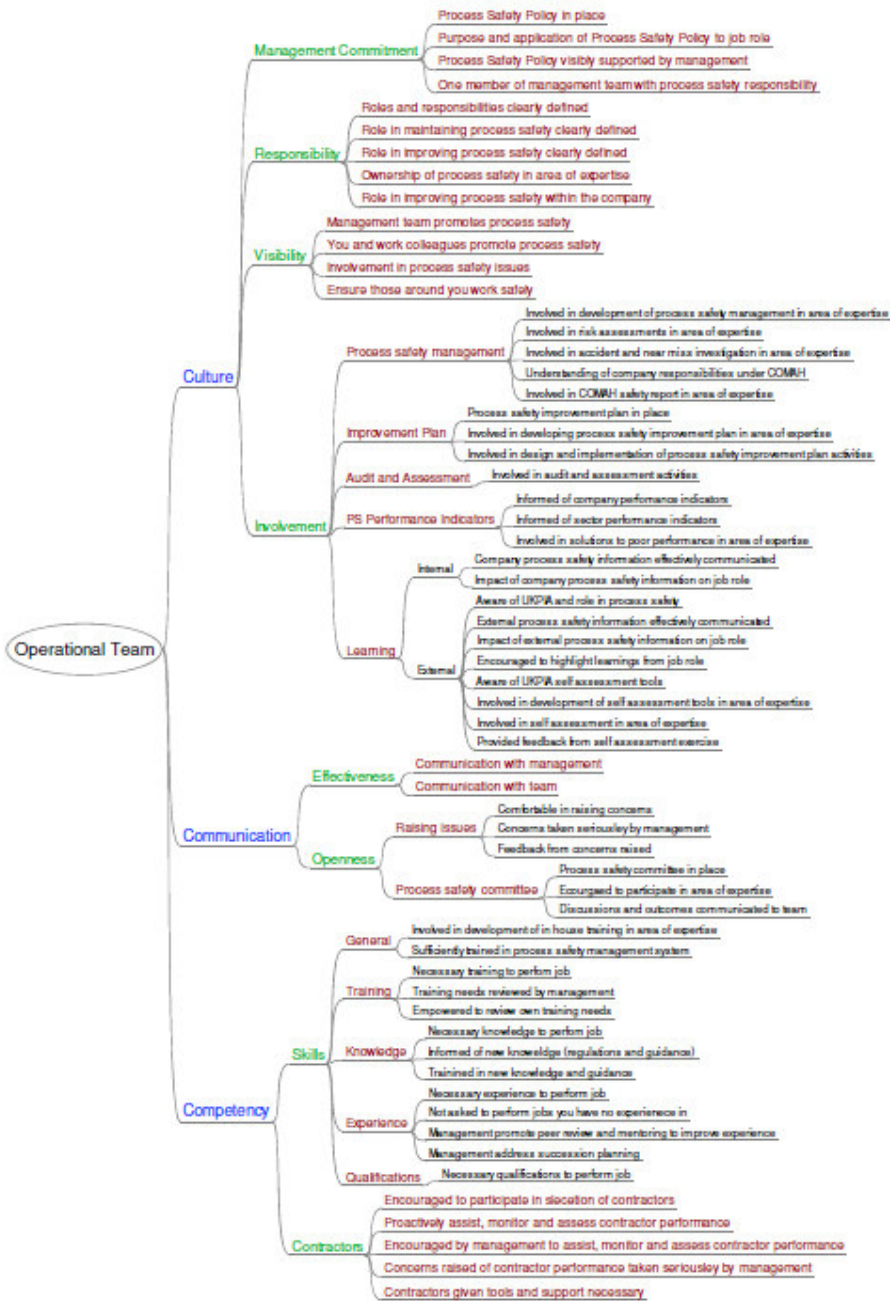
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