




UK Petroleum Industry Association Ltd.

Self-Assessment Module 1 –  
MANAGEMENT OF CHANGE

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		UKPIA_PSL_002_001	en	0.1	No. of sh. 19

## 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 Management of Change (MoC).

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 MoC 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 MoC document and self assessment tool represents UKPIA's view of a common framework.
2. UKPIA owns all rights to the MoC document and self assessment tool.
3. UKPIA accepts no responsibility in terms of the use or misuse of this document.
4. The MoC 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 MoC 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 1 – Management of Change		Issue Date: 9 <sup>th</sup> March 2009				
		Document identity		Lang.	Rev. ind.	Sheet    2
		UKPIA_PSL_002_001		en	0.1	No. of sh.    19

## 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 – Definition and Scope .....	7
2.4 Phase 2 – Types of Change .....	7
2.5 Phase 3 – Key Steps .....	7
2.6 Phase 4 – Audit .....	8
2.7 Phase 5 – Metrics, Training and Improvement Plan .....	8
APPENDIX-1 SELF-ASSESSMENT TOOL .....	9
APPENDIX-1 SELF-ASSESSMENT TOOL .....	9
APPENDIX-2 DEVELOPMENT PROCESS .....	10
REFERENCES .....	16
ABBREVIATIONS .....	17
ACKNOWLEDGEMENTS .....	18
REVISION HISTORY .....	19

Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet 3
		UKPIA_PSL_002_001	en	0.1	No. of sh. 19

## 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>.

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

MOC refers to the techniques and methods used to ensure that changes made during process plant design, operation and maintenance do not inadvertently affect or introduce new hazards within the process environment.

### 1.1 Scope

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

The self-assessment module has been developed through a consultation process with experts from each member organisation, the results of this consultation are provided in Appendix-2, Development Process.

### 1.2 Principles for Use

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


1. Phase 1 – Definition and Scope
2. Phase 2 – Types of Change
3. Phase 3 – Key Steps
4. Phase 4 – Audit
5. Phase 5 – Metrics, Training and Improvement Plan

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 can 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 management of change processes, and of individual changes. References should be recorded where deemed appropriate within appendix 1 to provide traceability of results. Note however that a "change process" may be detailed within an approved document outside of the main

<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.

Doc. Type    Assessment Module		Project    Process Safety Leadership				
Title    Assessment Module 1 – Management of Change		Issue Date: 9 <sup>th</sup> March 2009				
		Document identity	Lang.	Rev. ind.	Sheet	4
		UKPIA_PSL_002_001	en	0.1	No. of sh.	19

MOC documentation. For example, a procurement procedure may detail the process for contract changes, a separate form may be used for alarm changes, a shift log may be used for minor operational changes, etc. In this case, the questions should be answered on the basis of the separate approved system, rather than the MOC process.

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 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.

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

<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.

Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet 5
		UKPIA_PSL_002_001	en	0.1	No. of sh. 19

## 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 individual change records, and discussions with those personnel directly involved in the use of the procedure.

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 MOC 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. MOC and related procedures

Doc. Type    Assessment Module		Project    Process Safety Leadership			
Title    Assessment Module 1 – Management of Change		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet    6
		UKPIA_PSL_002_001	en	0.1	No. of sh.    19

2. Individual change requests
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 – Definition and Scope

The purpose of this phase is to determine if the MOC process has been robustly developed to address each category of change, and the roles and responsibilities of each person involved in the change.

Through review of the existing MOC procedures, the operator can determine if they are well defined, if they detail the different processes that must be applied when managing different categories of change, and if they detail roles and responsibilities, verified against appropriate site organograms.

Verification of the correct use of the procedure(s) will be performed as part of phase 3, key steps.

## 2.4 Phase 2 – Types of Change


A change can impact many different elements, for example instrumented systems, electrical systems and operations.

Through review of the existing MOC processes, the operator can determine if all potential types of change have been identified, and that any specific requirements for dealing with these changes have been addressed. As discussed in section 1.2 of this document, this may involve a review of processes outside of the MOC, in which case a suitable reference may be added to the comments column of the self-assessment form.

## 2.5 Phase 3 – Key Steps

The MOC process should have a clearly defined structure and workflow, and where appropriate, controls should be in place to ensure that each change is raised, reviewed, approved, implemented, verified and closed in accordance with a documented procedure.

Through review of the MOC processes, the operator can determine if a formal workflow is defined, and ensure that this workflow has been followed by examination of actual change requests. Where possible, different categories and types of change (as defined

Doc. Type <b>Assessment Module</b>		Project <b>Process Safety Leadership</b>				
Title <b>Assessment Module 1 – Management of Change</b>		Issue Date: <b>9<sup>th</sup> March 2009</b>				
		Document identity		Lang.	Rev. ind.	Sheet <b>7</b>
		UKPIA_PSL_002_001		en	0.1	No. of sh. <b>19</b>

in self-assessment phases 1 and 2), should be reviewed to ensure that alternate workflow's have been applied correctly.

## 2.6 Phase 4 – Audit

To ensure the effectiveness of the MOC process, it should be subjected to periodic audit. Whilst an audit may be against individual changes raised, ensuring compliance to procedures, it should also consider any changes that may have been made without engaging MOC.

Through review of completed audits, the operator can determine if audit takes place at appropriate intervals, are against defined criteria, and where appropriate, review the status of any corrective actions. Reference to the audit reports reviewed as part of the self-assessment process may be provided where deemed necessary.


## 2.7 Phase 5 – Metrics, Training and Improvement Plan

The final phase of the self-assessment aims to review the strategy for measuring the performance of the MOC, through Key Performance Indicators, and where necessary, implementing improvements to the process. Additionally phase 5 addresses the needs of training, for both existing and new employees.

Through review of training records, the operator can determine if the training elements described in the phase 5 self-assessment questionnaire has taken place, and where knowledge testing has been applied, the results have been recorded.

For performance indicators, the operator can review the indicators for their suitability, and gain evidence that they are periodically collected and reported.


Evidence should be provided that demonstrates that the MOC and related processes undergo a formal periodic review of their effectiveness, and where updates are required, how this is performed, and communicated to the workforce.

Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet 8
		UKPIA_PSL_002_001	en	0.1	No. of sh. 19



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## Appendix-1 Self-Assessment Tool

Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project    Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet    9
		UKPIA_PSL_002_001	en	0.1	No. of sh.    19

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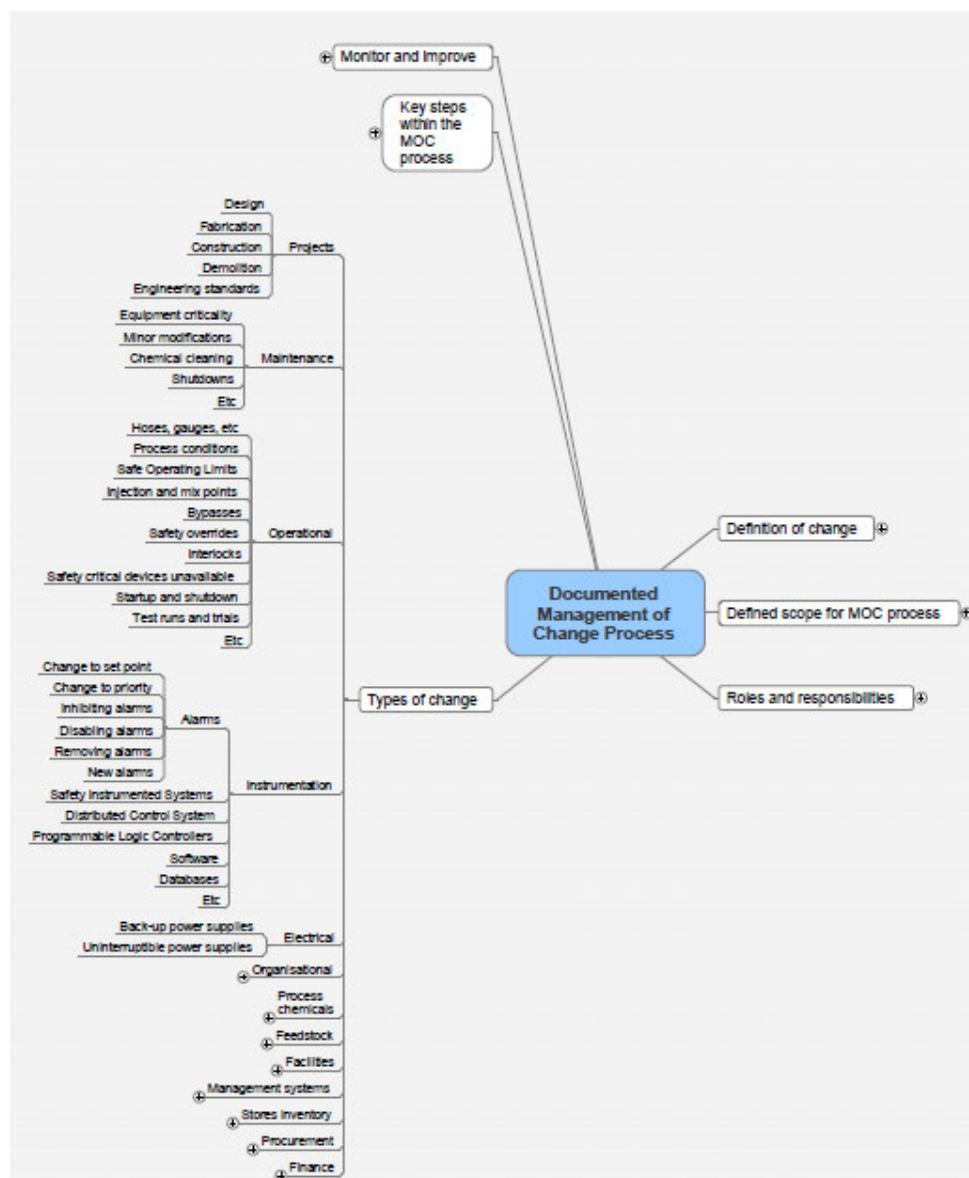
## Appendix-2 Development Process


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

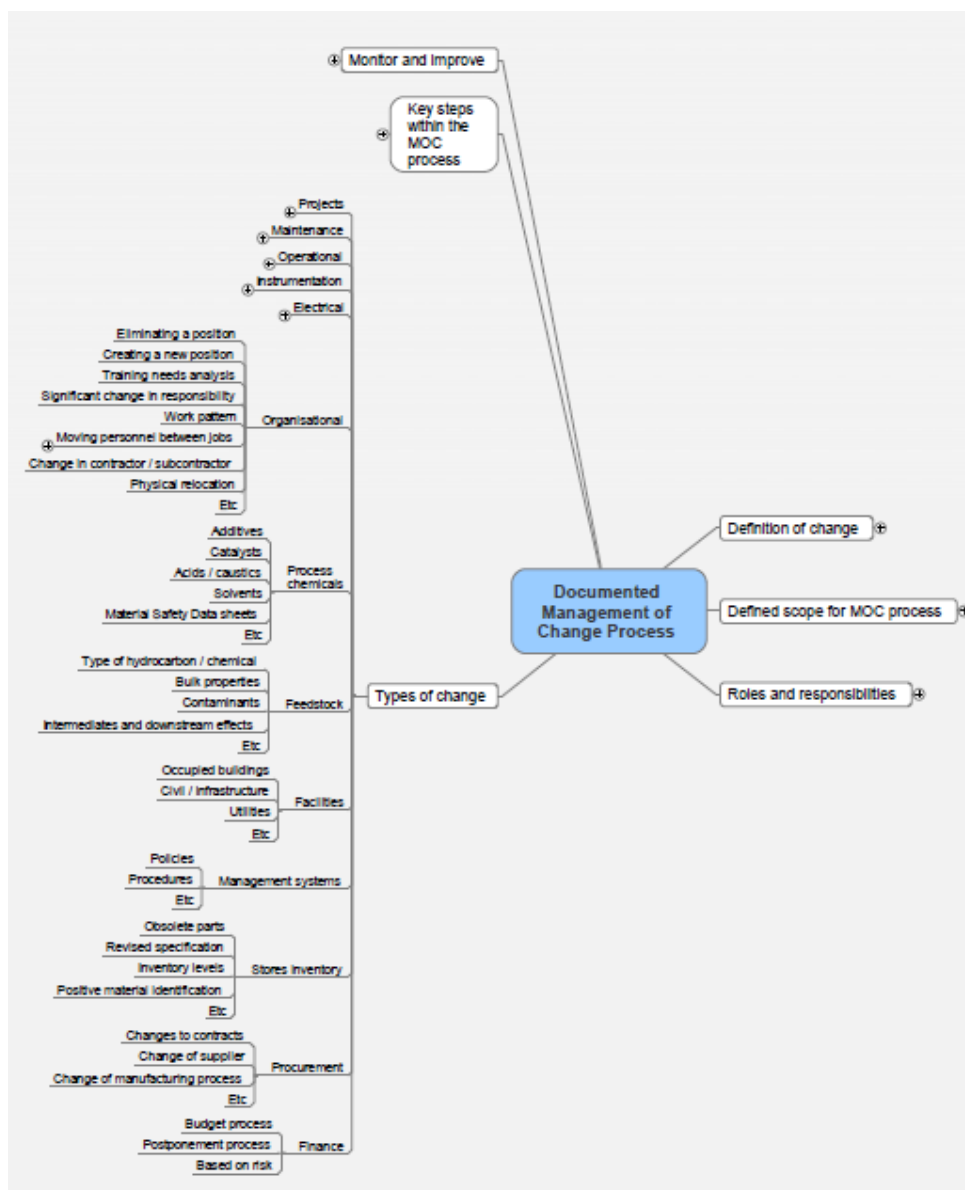
Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project    Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet    10
		UKPIA_PSL_002_001	en	0.1	No. of sh.    19



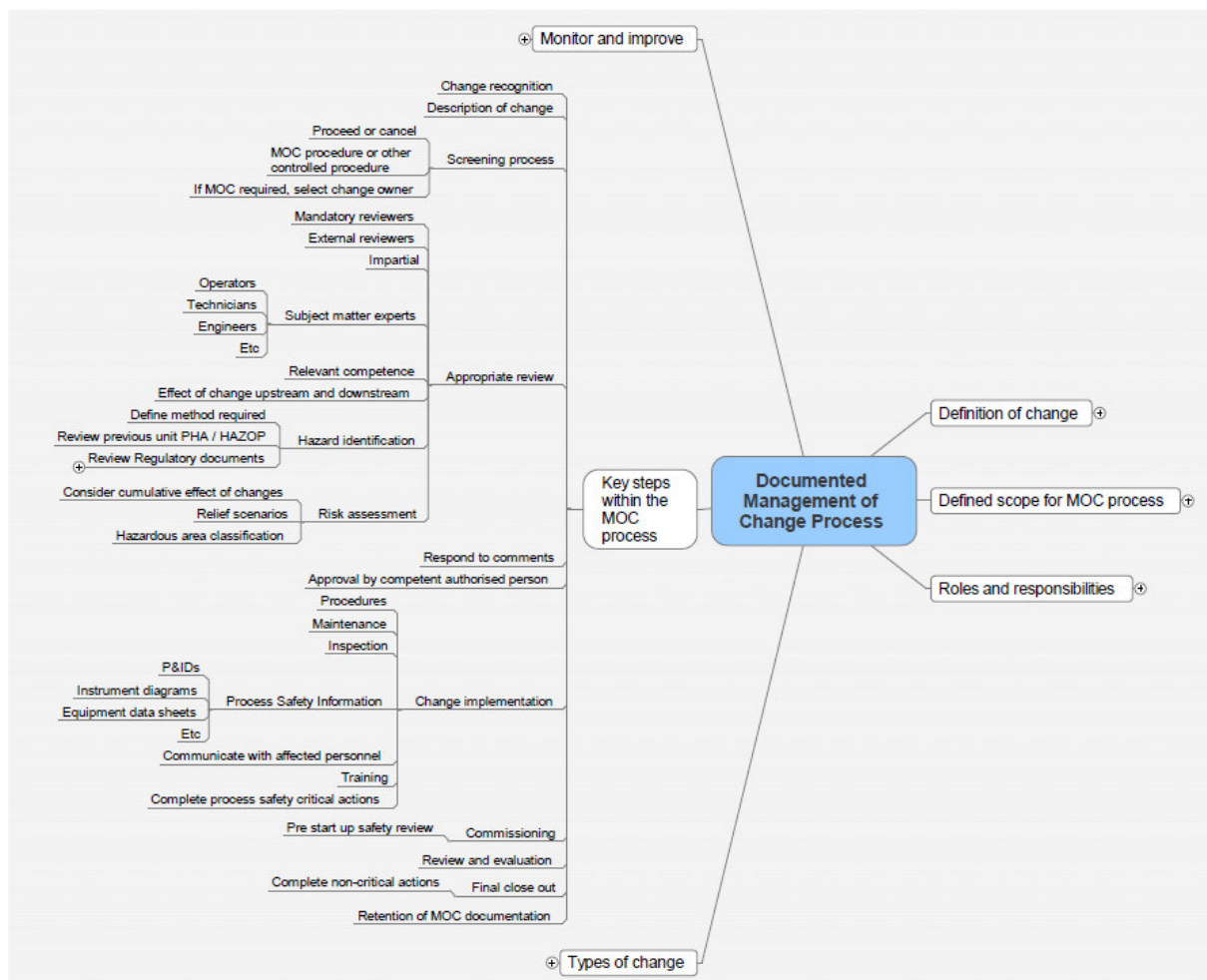
Lang.	Rev. ind.	Sheet	11
en	0.1	No. of sh.	19




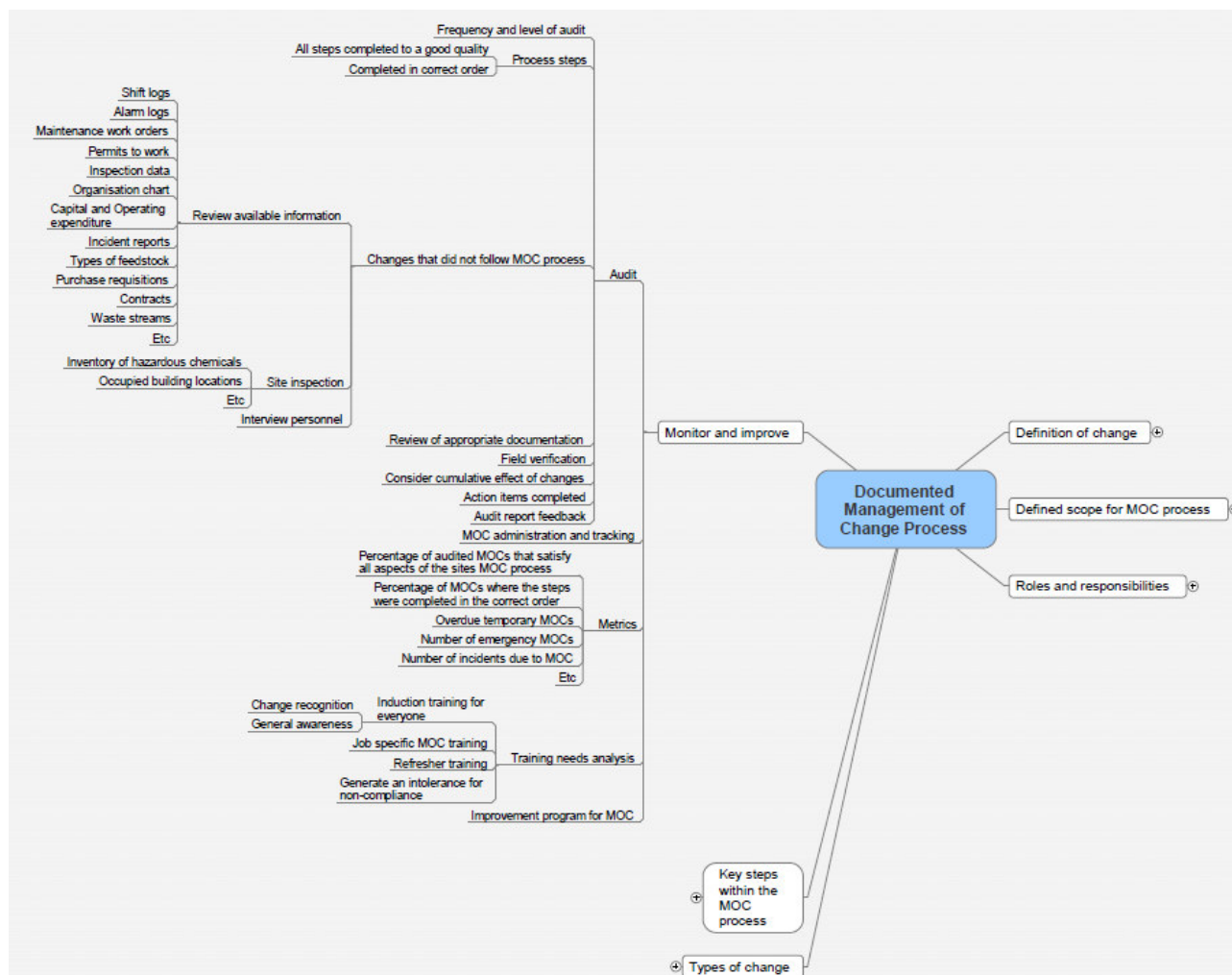
Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module 1 – Management of Change		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity		Lang.	Rev. ind.	Sheet 12
		UKPIA_PSL_002_001		en	0.1	No. of sh. 19




Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module 1 – Management of Change		Issue Date: 9 <sup>th</sup> March 2009			
UKpia		Document identity		Lang.	Rev. ind.	Sheet 13
		UKPIA_PSL_002_001		en	0.1	No. of sh. 19



Doc. Type	Assessment Module	Project	Process Safety Leadership			
Title	Assessment Module 1 – Management of Change	Issue Date: 9 <sup>th</sup> March 2009				
		Document identity	Lang.	Rev. ind.	Sheet	14
		UKPIA_PSL_002_001	en	0.1	No. of sh.	19



Doc. Type	Assessment Module	Project					Process Safety Leadership	
Title	Assessment Module 1 – Management of Change	Issue Date: 9 <sup>th</sup> March 2009						
		Document identity			Lang.	Rev. ind.	Sheet	15
		UKPIA_PSL_002_001			en	0.1	No. of sh.	19

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## References

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

Description	Reference
Risk-Based Inspection Technology	API 581 Annex D, Second Edition

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 <b>Assessment Module</b>		Project <b>Process Safety Leadership</b>						
Title <b>Assessment Module 1 – Management of Change</b>		Issue Date: <b>9<sup>th</sup> March 2009</b>						
		Document identity			Lang.	Rev. ind.	Sheet	<b>16</b>
		UKPIA_PSL_002_001			en	0.1	No. of sh.	<b>19</b>



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## Abbreviations

Abbreviation	Description
API	American Petroleum Institute
MOC	Management of Change
PSPM	Process Safety Programme Manager
UK	United Kingdom
UKPIA	United Kingdom Petroleum Industry Association

Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project    Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet    17
		UKPIA_PSL_002_001	en	0.1	No. of sh.    19


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Doc. Type Title	Assessment Module Assessment Module 1 – Management of Change	Project    Process Safety Leadership			
		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet    18
		UKPIA_PSL_002_001	en	0.1	No. of sh.    19

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Doc. Type    Assessment Module		Project    Process Safety Leadership			
Title    Assessment Module 1 – Management of Change		Issue Date: 9 <sup>th</sup> March 2009			
		Document identity	Lang.	Rev. ind.	Sheet    19
		UKPIA_PSL_002_001	en	0.1	No. of sh.    19