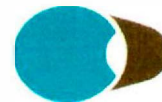




Каспийский Трубопроводный Консорциум  
**Caspian Pipeline Consortium**  
Каспий Құбыр Консорциумы



**APPROVED**  
**General Director**

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STP CPC 62.06.2024

Corporate Standard  
**Leadership**  
**in Safety Culture Development**

**Revision No. 2**

Put into effect by Resolution No. \_\_\_\_\_  
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## 1. PURPOSE

1.1.1. CPC Standard “Leadership in Safety Culture Development” (hereinafter “Standard)

- defines the key characteristics of HSE Safety Leadership,
- provides a description of the main behavioral leadership competences,
- defines the means for their implementation through managerial practices.

1.1.2. The Standard allows Managers to achieve a coordinated approach in safety development and ensures a high leadership standard at each workplace regardless of remoteness and the specific nature of manager's activities.

1.1.3. This Standard complies with the provisions of CPC HSE Policy.

1.1.4. This Standard was developed with due regard for Caspian Pipeline Consortium’s practical experience and lessons learned in HSE area, including those following implementation of CPC Expansion Project, Shareholder companies, overall oil and gas industry, as well as best international HSE practices.

## 2. APPLICABILITY

This Procedure must be followed by all CPC-R and CPC-K employees, as well as CPC contractors and subcontractors operating at CPC facilities, regardless of their form of incorporation.

## 3. REGULATORY REFERENCES

The following regulatory documents are referenced herein:

**Table 1.** List of Regulatory Documents

No.	Regulatory Documents
1	External
1.1	“Zero injury” concept (VISION ZERO) developed by MACO.
1.2	OGP Report No. 452. Management role in safety culture development
1.3	GOST R ISO 45001-2020 Health and Safety Management Systems
2	Internal
2.1	Report prepared by Ecopsy JSC and containing the findings of audit and diagnostics, areas for improvement and recommendations for the development of Safety Culture in the Company.
2.2	Report No. Out-R-CPCR-0002-2021 "Report following strategic Leadership Meeting held in the framework of 2021 Safety Day" of 04.10.2021.
2.3	CPC-R Regulations for Occupational Health, Safety and Environment Management System (HSE MS) in CPC-R, No. HSE MS STP 01.10.2020-R.
2.4	CPC-K Health, Safety and Environment Management System Manual (HSE MS), HSE MS STP 01.10.2021-K.
2.5	Standard regarding Incident Investigation Procedure No. CPC STP 04.07.2014

## 4. TERMS, DEFINITIONS AND ABBREVIATIONS

Terms and abbreviations used herein are listed in Table 2.

**Table 2.** Terms and abbreviations

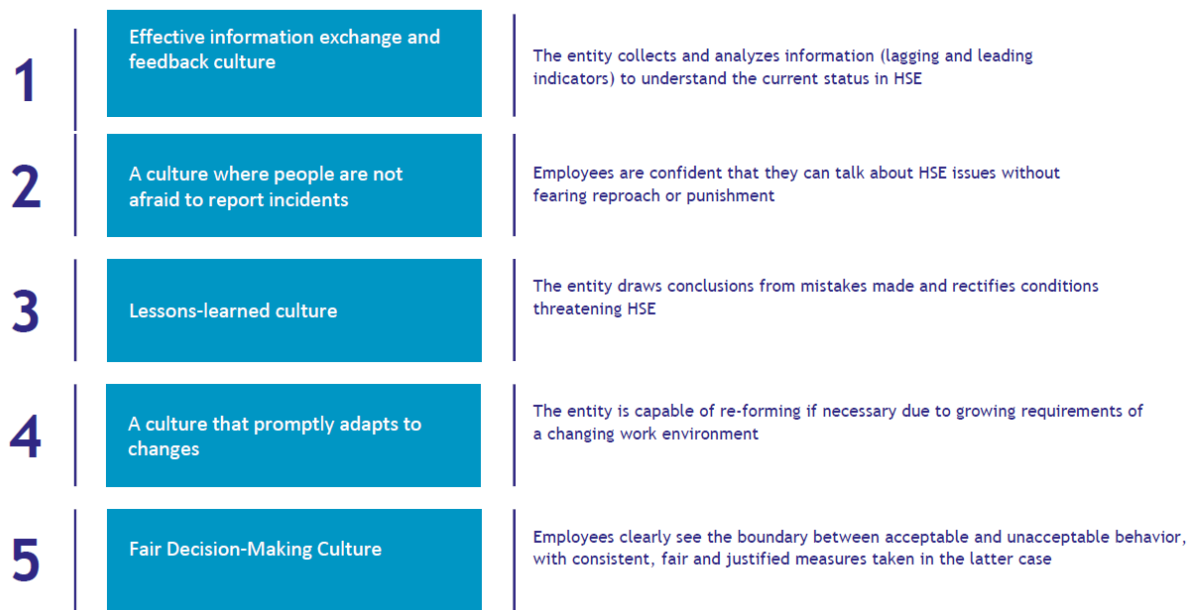
No.	Term/ Abbreviation	Term Definition / Abbreviation Meaning
1	Terms	
1.1	Life Saving Rules	Key safety rules aimed at preventing serious and fatal incidents.
1.2	SMART*	The principle of goal and objective setting based on 5 defining characteristics: Specific, Measurable, Achievable, Relevant and Time related. *From English SMART
1.3	“Stop-hour”	A tool for attracting attention to a serious health and safety problem. It is carried out in the form of a 20-30 minute meeting with personnel.
2	Abbreviations	
2.1	CPC	Caspian Pipeline Consortium-R and Caspian Pipeline Consortium-K
2.2	HSE	Occupational health, industrial safety and environment
2.3	BBS	Behavior-based safety audits
2.4		Near miss
2.5	DBNP	CPC Debottlenecking Program
2.6		Work Team Leader
2.7	PPE	Personal Protective Equipment
2.8	Standard	Leadership in Safety Culture Development Standard
2.9	Company	Caspian Pipeline Consortium-R and Caspian Pipeline Consortium-K

**5. PROCESS DESCRIPTION**

**5.1.SAFETY CULTURE IN THE COMPANY. GENERAL.**

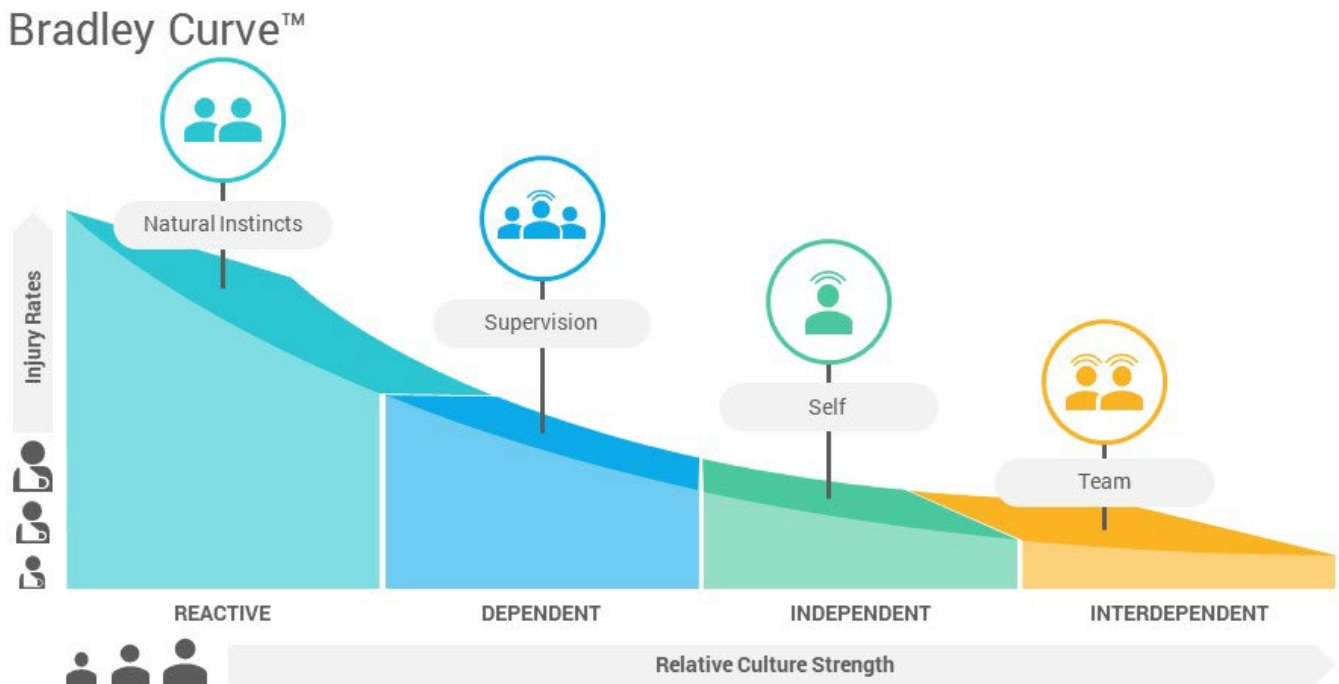
- 5.1.1. CPC is fully aware of its responsibility for protecting health and safety of its personnel and other people that can be influenced by its activities.
- 5.1.2. CPC has developed and implemented an HSE Management System: a set of inter-related and interfacing elements that establish HSE policy and goals as well as procedures to achieve these goals.
- 5.1.3. **Safety Culture** is a combination of individual and collective values and opinions, perceptions and behavior patterns determining the entity’s commitment to safety, level of development thereof and safety system management methodologies.

Five elements of sustainable Safety Culture are given below, see Exhibit No. 7 CPC Safety Culture for more details.



**Figure 1.** 5 elements of sustainable Safety Culture.

- 5.1.4. The entity’s safety culture manifests itself in the qualification and psychological preparedness of all of employees for whom safety is a universal value and an inherent need leading to awareness of responsibility and self-control while performing all types of work, as well as assistance to the people around as regards HSE.
- 5.1.5. Safety Culture has four maturity stages:
  - 1. Response stage. Personnel do not take responsibility and are sure that incidents always happen.
  - 2. Dependence stage. Personnel believe that safety means following certain rules. The number of incidents goes down.
  - 3. Independent stage. Personnel take responsibility and are aware of their ability to change the situation through their actions. The number of incidents goes down much more considerably.
  - 4. Interdependence stage. Teams express real interest and feel responsible for safety culture. They believe that zero injury is an achievable goal. See fig.2 below.



**Figure 2.** Safety Culture maturity levels (Bradley Curve).

5.1.6. Safety Culture is a key element of HSE Management System and is aimed at:

- developing employees' HSE leadership skills,
- raising motivation of each employee in making conscious decisions, complying with HSE requirements without additional oversight from management,
- building initiative and responsibility in safety issues,
- developing the atmosphere of trust, openness and mutual assistance in HSE.

5.1.7. Safety Culture is a focus area of CPC development.

## 5.2.SAFETY LEADERSHIP. GENERAL.

- 5.2.1. **HSE Leader** is any CPC or contractor employee capable of arranging activities of a team of people by motivating and inspiring them not only to consciously comply with HSE provisions, but also to take actions to develop Safety Culture and to implement Company's zero injury policy.
- 5.2.2. HSE Leader does not necessarily hold a high position or is an experienced professional. Each CPC or Contractor employee that has a responsible approach to personal safety, safety of his/her colleagues and environmental protection can develop leadership competences and practice relevant behavioral models in compliance with the provisions hereof.
- 5.2.3. HSE leadership is the key driving power in safety culture development. Therefore, strengthening leadership qualities, while forming HSE commitment for CPC and Contractor Managers of all levels is of special importance for CPC.

## 5.3.LEADERSHIP ROLE

5.3.1. HSE Leadership, as a minimum, shall manifest in:

- active participation in safe work planning, organization and oversight;
- demonstration of personal commitment and responsible attitude to HSE issues;

- Motivation and engagement of CPC and contractor personnel in safety culture development activities;
  - demonstration of safety values and development of personnel opinions and commitments.
- 5.3.2. HSE Leader’s activities are structured in Table No.3 - List of behavioral competences corresponding to the target level of Safety Culture (Safety Culture development levels diagram is provided in Figure 2).
- 5.3.3. There are four roles defined for CPC HSE Leader: example, role model, driver, inspirator. Competences corresponding to each role are given in table 3.

**Table 3.** HSE Leader roles and behavioral competences

Role	Description	Competencies
ROLE MODEL	Demonstrates high commitment to safety	Sets an example of safe behavior
		Demonstrates to the people around his/her confidence that “zero injury” can be achieved.
		Continuously improves his/her safety knowledge, studies and adopts the experience of leading companies in the same or related industry sector.
TREND SETTER	Sets the direction and defines the way of further HSE development while being governed by safety priority	Sets goals according to the strategic safety plan
		Provides clarifications to employees regarding company's expectations in safety, significant indicators and means for their achievement
		Continuously analyzes work processes, assesses risks and develops solutions for their mitigation
DRIVER	Involves others in safety culture development	Arranges and supports participation of people in safety improvements
		Trains others and helps people around achieve safety improvement
		Initiates and supports joint search for possibilities to eliminate root causes of any unwanted events
INSPIRATOR	Supports and motivates people around on the path of safety culture development	Creates an atmosphere of openness and trust in safety discussions
		Corrects behavior and consolidates safe personnel's behavior and awareness through timely feedback
		Recognizes personnel’s both personal and team achievements as well as their initiative

#### 5.4.LEADERSHIP PRACTICES

- 5.4.1. Goals that CPC sets in the area of safety require from all participants to have the same understanding of objectives and consistency in the methods of their achievement. Setting precise rules and establishing a high quality standard for safety-related processes is possible through application of unified leadership practices.
- 5.4.2. Leadership practices are simple and practical instruments application of which allows HSE Leaders to form the target Safety culture level by applying leadership qualities and by performing each leadership role. Each practice is a detailed guidance to ensure that all managers/leaders perform their obligations with due quality and efficiency, regardless of their location and specifics of their activities.

- 5.4.3. Leadership practices are implemented with varying frequency: some of them are to be performed regularly (from once per annum to once a week), others are performed on ad hoc basis in response to certain circumstances. Recommended frequency is defined for each practice, with relevant information given in Exhibit No. 8 hereof.
- 5.4.4. Practices are intended for various groups of HSE Leaders. There are universal practices application of which is recommended to all CPC personnel. These practices take into account the specific activities of certain personnel categories and are intended for top managers and line managers.
- 5.4.5. Activities of HSE Leader are not limited by leadership practices stated in this regulation and can be viewed on a greater scale to cover all operational, administrative and managerial processes.

Compliance of leader’s role practices are given in Table 4.

**Table 4.** Compliance of practices with HSE Leader’s Roles

No.	Leadership practices	Leader’s Roles			
		Example	Role model	Driver	Inspirator
1	Personal commitments	●			
2	Setting of safety goals		●	●	
3	Self-Assessment of Safety Leadership	●			
4	Seeking New Opportunities	●			
5	Conducting safety meetings	●	●		
6	Leader’s Visit	●	●		
7	Safety observation cards		●	●	
8	Honest Dialog				●
9	Internal investigation of incidents			●	
10	Lessons Learned from Near Misses			●	
11	Solution to Safety Dilemma		●		
12	Correction of personnel actions (feedback leading to development)		●	●	●
13	Positive motivation				●



**5.5.MONITORING STANDARD PRACTICES APPLICATION**

5.5.1. Monitoring is performed in order to track Standard roll-out progress and leadership practices application quality. Comprehensive monitoring is carried out throughout the year using various tools, with frequency defined for each of them.

- *Individual indicators* are metrics tracked individually for each manager, including as related to personal commitments.

Individual indicators monitoring shall be performed on a monthly basis or, as a minimum, on a quarterly basis, as well as at year end when summing up the results of safety goals achievement (see practice “Safety goals setting”). Findings of individual indicators control shall be applied for individual manager’s work in developing their leadership competences (see practice “Self-Assessment of Safety Leadership”, page 16).

- *Group indicators* are metrics tracked for a region / department / unit / contractor and for Company as a whole.

Group indicator monitoring shall be performed on a quarterly basis, with a summary at the end of the year (see practice “Conducting safety meetings”, page 19).

- *Annual questionnaire* - collecting personnel opinions:

The questionnaire allows to track the trend of Standard practices implementation based on several indicators.

- frequency (frequency and regularity of practices application);
- quality (precision of algorithm and/or practice principles implementation);
- usefulness (efficiency) of application of Standard’s leadership practices by managers.

The questionnaire is filled in anonymously, and the data obtained are analyzed on a general level, without detail on each manager.

5.5.2. Findings of group and individual indicators monitoring are taken into account in CPC HSE Incentive Program.

**Table 5.** Monitoring instruments of Standard leadership practices

	Individual indicators	Group indicators (by region / department / unit / contractor organization)	Leadership practices application monitoring (frequency, quality, usefulness)
Personal commitments	There are at least 3 personal commitments: at year start upon safety goals setting Report before subordinates on performance of obligations: minuted meeting at year end upon summing up process.	Share of managers that have at least 3 personal commitments: quarterly	Quality (degree of commitments publicity)
Setting of safety goals	50% of subordinates have at least 5 goals at year start, with a quarterly breakdown: January - February Actioning goals in the course of the year - once	Share of managers that have at least 5 SMART goals: quarterly	Frequency (regularity of meetings held) Quality (whether meetings are held in dialog format)

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	every quarter (see practice description for more detail)		Usefulness (subordinates' opinion on the influence of manager's actions on safety development)
Self-Assessment of Safety Leadership	<p>Manager has a personal development plan in the area of safety (includes personal commitments, goals and leadership competencies development actions): at year start</p> <p>Progress oversight: quarterly (see practice description for more detail)</p>	–	–
Seeking New Opportunities	At least 1 proposal on safety development per year: annually	<p>Hold meetings in each region / unit to discuss best practices and innovations at least twice a year: annually</p> <p>For regions - number of units where meetings are held at least twice a year</p>	<p>Frequency (new opportunities discussion density)</p> <p>Usefulness (practice efficiency)</p>
Conducting safety meetings	–	<p>Number of meetings per year for 100 people (minutes for units and company as a whole): quarterly on accrual basis.</p>	<p>Frequency (personnel coverage - frequency of meetings involving subordinates in the course of the year)</p> <p>Quality (format compliance with practice principles)</p> <p>Usefulness (influence on safety)</p>
Leader's Visit	<p>A personal plan of visits for a year (covering all locations and with due account for specific manager's activities): on an annual basis</p> <p>Number of visits made (+ form to be filled): on a quarterly basis</p>	–	<p>Frequency (coverage by managers of all locations)</p> <p>Quality (managers use the visits have dialogs)</p> <p>Usefulness (visit results)</p>

Observation Cards	At least 1 observation per week for each manager: quarterly control	At least 10% of personnel should participate	–
Honest Dialog	–	Number of protocols based on dialogs held per 100 people: quarterly on accrual basis	Frequency (frequency and coverage) Quality (duration and structure of talks) Usefulness (conversation results)
Internal investigation of incidents	–	Investigations share (at least 50% of all situations registered in the unit / company, including unsafe acts (UA), unsafe conditions (UC), near misses, minor injuries): quarterly	–
Lessons Learned from Near Misses	–	Share of investigated near misses (see below) discussed with personnel (norm is 100%): quarterly Percentage of actioned smart-decisions adopted following the meetings: quarterly	Frequency (coverage of personnel participating in the meetings) Usefulness (assessment of results)
Solution to Safety Dilemma	Number of cases developed personally (record in the general cases library): quarterly	Number of meetings held per 100 people: quarterly	Frequency (personnel coverage) Quality (performance of practice principles) Usefulness (assessment of results)
Correction of personnel actions (constructive feedback)	–	–	Frequency (number of employees involved in dialogs) Quality (algorithm and practice principles compliance) Usefulness (results of dialogs)

## 6. LEADERSHIP PRACTICES DESCRIPTION

### 6.1.MANAGER'S PERSONAL COMMITMENTS

Manager's personal commitments form is given in Exhibit 3.

#### 6.1.1. Practice description:

Manager develops personal commitments to safety, presents them and defends their performance before his/her team (a public report on actioning).

#### 6.1.2. Practice goal:

- demonstrate manager's commitment to safety principles via personal attitude and behavior;
- create atmosphere of trust between subordinates and manager

#### 6.1.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;

#### 6.1.4. Frequency: Once a year

#### 6.1.5. Algorithm:

##### 1. Formulate commitments:

- Get acquainted with the company's strategic safety plan.
- Think which goals are most important for your team? What can you do to support their achievement?
- Formulate your personal commitments for next year (not more than 7-10).

##### 2. Present your commitments to personnel and action them throughout the year:

- Arrange a meeting with subordinates and present your commitments for next year to them.
- Provide substantiation why you decided to choose specific commitments for the year.
- Listen to questions and comments from personnel. Make your commitments more specific or reformulate if required.
- Sign your commitments before the subordinates, thus sealing your intention to action them.
- Ask personnel for help in oversight and actioning of your commitments.
- Record your commitments (e.g., in "Leader's Personal Development Plan"), and make them public.
- Action your commitments within the stated period.

##### 3. Report on actioning of your commitments and present new commitments for new year:

- Report on actioning of your commitments before your subordinates and contractors.
- Give a reminder of the commitments you had undertaken. Describe the outcome of your work. Speak honestly, what you managed to do, and what has not been completed.
- Present your personal commitments for next year to your personnel and confirm your intention to perform them.

#### 6.1.6. Recommendations:

- Personal commitments must be written by each manager individually.
- Avoid formal and vague phrases: each employee should understand what exactly you are promising and how it can be manifested.
- Your commitments are not an action plan. Do not include the next year's action plan there. Your commitments must reflect your commitment to safety principles, demonstrate your belief that zero injury can be achieved.
- Your commitments should be easily accessible - each employee should be able to review them without specifically requesting them.
- You can use 7 "golden rules" of Vision Zero as ideas for development of commitments:

- ▶ become a leader - show your commitment to principles;
- ▶ identify threats - control risks;
- ▶ define goals - develop programs;
- ▶ create a system of occupational health and safety - achieve a high level of organization;
- ▶ Ensure safety and hygiene at work places, when working with machinery and equipment;
- ▶ improve qualification - develop professional skills;
- ▶ invest in staff - motivate through involvement.

Examples of personal commitments are given in Table 4.

**Table 6.** Examples of personal commitments

	Behavioral principles	Steps in certain conditions
Instructing: “I do like this and recommend this to everyone”	“I always personally comply with safety rules”. For example, I use a full set of PPE when going to site”	“I always start operations meetings with health and safety issues, where the adopted decisions are recorded and responsible persons are appointed”.
Bans: “I do not do that and I prohibit this to everyone”	“I will not under any conditions give my support for production plans to prevail over safety issues. Safety is always priority number one!”	“I will never let a person to be fired for refusing to do an unsafe work, even if it disrupted performance indicators”

**6.2.SAFETY GOAL SETTING**

**6.2.1. Practice description:**

Manager is responsible not only for plan performance, but also for safety. Setting personal proactive goals for subordinates in the form of dialog and discussion of the means of their achievement, as well as control over performance progress and quality at regular meetings are effective means of implementing safety improvements.

**6.2.2. Practice goal:**

- cascade to employees the goals that ensure achievement of the global safety goal;
- Define objectives, ensure support in achievement of goals and control over their actioning.

**6.2.3. Management categories to whom this practice applies:**

Top managers.

**6.2.4. Frequency:**

This practice can be applied once a year upon goal approval, once a quarter or month during interim control of goals achievement.

**6.2.5. Algorithm:**

- Goal setting meeting
  1. Before the meeting:
    - ▶ Analyze safety goals set for your team. Define which subordinate you should set personal goals for. Formulate your option of his/her goals.
    - ▶ Set a meeting with the employee and instruct them to get ready:

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- ▶ Read out loud safety goals for the enterprise and your team and ask the employee to formulate his/her vision as to which goals can be set for them accordingly.

2. At the meeting:

- ▶ Ask the employee to propose their version of targets indicators and the plan for their achievement.
- ▶ Ask questions, insist that the viewpoint should be supported by facts.
  - What target indicators do you propose to set for your team?
  - How can they help achieve high level goals?
  - What are the values of targets indicators? What best/worst result in these indicators was achieved in the past? What are best practices at the market?
  - How are you planning to achieve the goals? What is limiting, setting the “ceiling” in their achievement? (equipment capability, number and qualification of people, current process etc.)
  - What resources, changes are required?
- ▶ If the employee proposes nothing, ask them to get ready and to come back with options later.
- ▶ Agree with the employee or propose your option of goals and/or means of their achievement. Provide justification of your position. Listen to the employee’s position and reach an agreement regarding all goals.
- ▶ Ask the employee to record their goals (e.g., in the “Leader’s Personal Development Plan”) and mark the progress of their achievement.
- ▶ Agree on the frequency and format to discuss the status of these goals achievement.
- ▶ Provide assurances of your support.

- Regular meetings

Hold regular meetings (at least one a quarter/month) on goals performance status and discussion of possible deviations in th format “planned - done - causes of deviation (if any) - remedial actions”.

6.2.6. Recommendations:

- Each goal should be formulated as specific actions and activities. Correlation between goal and indicators should be transparent.
- Your personal goals should be also developed jointly with your manager. Take initiative: study the possible option of your goals on your own and propose to your manager to meet in order to discuss them.

6.2.7. Principles:

- Do not confuse commitments and goals! Commitments are values and principles that a manager adheres to, they have no expiry date and must always be complied with. While goals have a due date and are formulated in SMART format. New goals replace completed ones.
- Do not propose ready solutions. Build a dialog with the employee and guide them with questions, motivate the employee to express his/her point of view, search for solution together.
- Be receptive to employee's opinion. Each of them sees the situation in greater detail, is aware of subtle aspects that may not be obvious for the manager, and can propose something new.
- Help employees in achievement of their goals. Ensure that the employee has all the capabilities. The higher an employee’s goal, the greater resources they may request for its implementation.

**6.3.SELF-ASSESSMENT OF SAFETY LEADERSHIP**

6.3.1. Practice description:

Own assessment of compliance with HSE Leader role against checklist (Exhibit No.1) and regular control of own achievements and progress in performance of undertaken obligations.

6.3.2. Practice goal:

- managers’ self-development;

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- identification of own development areas through own assessment of compliance with safety culture principles

6.3.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;
- engineers and workers.

6.3.4. Frequency: Once in a quarter.

6.3.5. Algorithm:

1. Include your obligations and other items that you would like to control additionally into the “Leader’s Personal Development Plan”.
2. Study the checklist. Seek clarification for unclear wording from your manager or HSE specialist.
3. Assess each item of the checklist using the following grades: “Was not up to the expectations”, “Worked within expectations” and “Exceeded expectations”
4. Note the items that you evaluated as “insufficient”. Think what actions you could undertake in order to change this.
5. Ask your manager to give assessment to you according to the same criteria. Discuss assessment result differences with him/her.
6. Check your findings with previous period result. Note which indicators improved and which ones deteriorated. Think what impacted the changes in the assessment. Search for reasons not only for deteriorated results, but also for improved ones.

6.3.6. Recommendations:

- If you often tick “exceeds expectations’ in the checklist, think whether you are truly being objective to yourself. Self-assessment is necessary for you to be able to adjust your actions, if required. This is what actual commitment to safety is - be objective and honest before yourself.
- If you have given yourself/received a low assessment mark and do not know what to do, consult your manager, HSE team member or subordinates - they may prompt a solution.
- If you have subordinates, use this practice as a tool for their development. Initiate with the employee discussion of the results of his/her self-assessment, provide him/her with developing comments on each criterion, help formulate development plan and control its implementation. Checklist for self-assessment of HSE Leadership is given in Exhibit 11, pages 48-49.

**6.4.SEEKING NEW OPPORTUNITIES**

6.4.1. Practice description:

Each manager should be the leader of safety development processes by personally performing systematic monitoring of best international practices and advanced trends in the area of safety. Taking into account the knowledge obtained, he regularly reviews and improves existing processes. Practice includes a wide range of activities at manager's choice depending on his/her level of responsibility and discipline specifics: benchmarking, participation in industry events, study of available information, self-training, experience exchange, introduction of new practices etc.

6.4.2. Practice goal:

Continuous search for and introduction of best experience, maintaining ongoing contact with colleagues and professional society to exchange ideas, cooperate and raise safety of own processes. As a result - safety ideas and improvements.

6.4.3. Management categories to whom this practice applies:

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- top managers;
- mid-tier managers;

6.4.4. Frequency:

- search for ideas - continuously;
- meetings to share experience - at least twice a year;
- meetings to discuss ideas - 3-4 times per year.

6.4.5. You can search for new opportunities in:

- advanced process solutions;
- innovations in information technology and automation;
- best management practices;
- examples of successful organizational transformations.

6.4.6. Algorithm:

1. Define search directions:
  - What competence and expertise improvement areas are available within your discipline? What can be improved?
  - What is the state of safety and its indicators?
  - Chose benchmarks and metrics for comparison:
  - What companies can you look to in the area of safety? According to what criteria?
  - What metrics can you use for comparison?
  - What is best experience according to these metrics?
2. Define the best search methods and sources of information:
  - How are you going to search for new ideas? What are the possible information sources?
  - Is there an opportunity of engaging partner companies to exchange experience?
3. Plan activities:
  - Which safety events will you take place in? Plan your work half a year ahead as a minimum.
  - Add meetings with colleagues and subordinates to your calendar to discuss ideas.
4. Gather and analyze the required information:
  - How does your safety performance correlate with industry leaders? What is the current gap?
  - What are the root causes of the identified gap?
5. Define the target process and actions to achieve the goals set:
  - Which process should be changed?
  - How can it be made possible?
  - What is to be done?
6. Develop actions:
  - What do the proposed technologies, organizational innovations involve?
  - What is the expected effect of the potential solutions?
  - Which activities and organizational changes are required?
  - How will the innovation influence related business processes?
  - What are the possible risks?
  - Which competences are required for implementation?
  - Which resources are required? (people, time, means)

6.4.7. Recommendations:

- Consider your business process improvement as an important part of company's success.
- Record all ideas in writing.
- Track and review regularly the current status of business processes.
- Develop a network of useful contacts.



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- Engage your colleagues in the search for new opportunities.
- Calculate technical and economic efficiency of new opportunities.
- Check the quality of implemented solutions on a pilot segment/process.
- Replicate effective solutions.
- Set ambitious safety goals before yourself and company.
- Be open to everything new. Search for new ideas and technologies in all available information sources: study literature, attend specialized events, meet with competent people.
- Improve existing processes. Identify root causes hindering safety performance improvement, analyze and find ways to eliminate them.
- Use benchmarking - compare yourself with competitors. Compare the development level for solutions applied in the company with the level in comparable companies. Assess key processes, indicators, strategies, structure and organization of company's work in the area of safety.

**6.5.SAFETY MEETINGS**

- 6.5.1. Practice description:  
Each manager holds periodic meetings with CPC and contractor personnel dedicated to the issues of safety culture development.
- 6.5.2. Practice goal:
  - maintain two-way communication with personnel as related to safety issues
  - discuss and resolve safety issues.
- 6.5.3. Management categories to whom this practice applies:
  - top managers;
  - mid-tier managers.
- 6.5.4. Frequency: monthly, duration: 40-60 minutes.
- 6.5.5. Algorithm:
  1. Before the meeting:
    - Instruct one of the meeting participants to get ready for a 5-minute safety moment, where he/she will pick a topic and prepare illustrative materials (alternatively, you can assign a topic).
    - Assign managers participating in the meeting to prepare information on implementation of changes in the area of safety within their segment (what is being implemented, any issues/achievements).
    - Chose a topic for the topic set, get ready to discuss it or instruct one of the meeting participants to prepare materials and report on the given topic.
  2. In the course of the meeting, standard agenda:
    - *Five-minute safety moment*: listen to the employee's report and discuss the issue raised with the participants. Make a focus on unsafe actions and unsafe conditions. Discuss specific actions to prevent similar situations. Formulate with the participants any lessons that can be learned from this situation.
    - *Review of the current status*. Speak briefly about the status of safety / safety culture in the company and give the floor to managers participating in the meeting one by one, so that they would details these data for their team. Discuss difficulties: group and individual ones (who deserves an award and recognition?)
    - *Discuss implementation of safety development changes*. Listen to participating managers and discuss with participants the implementation status, results, barriers. Develop solutions that ensure support of changes and elimination of barriers.
  3. During the meeting, topics set:

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- Discussion on the selected topic. Invite the speaker or make own report. Hold a discussion with the participants: build the conversation depending on the selected topic. Hints to build a dialog:
  - What is the topic for discussion?
  - What is the relevance of the issue?
  - What are opinions of the participants?
  - What are the possible solutions?

6.5.6. Recommendations:

- “Recommendations for selecting topics for topic sets” and “Recommendations for selecting talking points for five-minute safety moments” are given in Exhibit 3 and in Exhibit 4

**6.6.LEADER’S VISIT**

6.6.1. Practice description:

6.6.2. Visit the site and observe the work processes in order to assess the current safety status, reveal the current issues, generate specific ideas for development and enhance engagement of all levels of employees to safety promotion. In progress of visit, Manager shall arrange an open safety discussion with employees in order to create the atmosphere of trust and openness between the leadership and employees.

6.6.3. Practice goal:

- personally get familiar with situation at work execution location through direct communication with employees: personally assess safety status and workers relationship towards it.
- promote prevention of injuries and incidents via an open dialog on safety issues.
- demonstrate own practical commitment to safety.
- reveal safety management weaknesses, including at work places.
- make sure employees are ready to work safely.

6.6.4. Management categories to whom this practice applies:

top managers.

6.6.5. Frequency: monthly.

6.6.6. Algorithm:

1. Prior to visit

- Plan your visit to the site, think of the focuses of attention, possible topics for discussion and algorithm of communication.
- Put on PPE required for specific work location (preferably the same quality level as those used by local personnel).

2. During the visit

- Have discussions in attendance of 1-2 accompanying persons (not to exceed). While the facility round it makes sense not to involve the supervisors of concerned department/company.
- Watch the actions or working situations. Communicate with the personnel, ask questions and listen to answers carefully.
- Record the dialog results upon its completion not during the interview.
- Verify correctness and quality of 1 or 2 completed safety events (according to the plan of team you are visiting)
- Verify relevance of the data on information boards, stands, problem solving desks (if any). Discuss it with the personnel.

3. After the visit

- Monitor fulfillment of the recommendations you have provided and the decisions made. The personnel should see the changes made and systematic nature of the work.

6.6.7. Main topics for discussion during leader's visit:

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- Safety and risks;
- Behavior/actions;
- People’s position, ergonomics, comfort;
- Overalls and personal protection equipment;
- Tools and equipment;
- Rules and instructions;
- Workplace tidiness.

6.6.8. Possible discussion points:

- Please provide your perspective of safety in your team/your Company.
- Which hazard do you see in the work performed?
- What is the most likely way to get injured while performing the work?
- What could you do to reduce the likelihood of getting injured?
- What helps you to act in a safer manner?
- Which instructions do you abide by while performing the work?
- How do you assess the quality of PPE and tools the Company provides to you?
- How is it possible to perform the work safer?
- What will help you to act in a safer manner?
- Which issues shall be fixed to enable safer performance of this work?
- Which issues your supervisors help you to resolve?
- How often safety issues are discussed with you?
- How often does your supervisor visit your work location?
- How long ago and about which injury cases did your supervisors/Safety specialists told you about? Which lessons have you learned from them?

14.7 You can use the form available in Exhibit 8 for the “Leader's Visit”

**6.7.HSE OBSERVATION CARDS**

6.7.1. Practice description:

“Observation cards” have proven to be effective - any CPC and contractor employee can currently use these cards in order to inform about their safety related observations or provide a suggestion. This practice is the next step in the development of HSE Leadership: it entails not only observation, but also dialog with participants of the observed events aimed at developing the culture and forming employees’ conscious attitude to safety issues.

6.7.2. The goal of this practice is:

- correct unsafe behavior;
- Motivate employee to master successful and correct behavior in the future.

6.7.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;
- engineers and workers.

6.7.4. Frequency:

- With respect to employees of his/her own team or supervised Contractor Organizations, Manager shall submit at least one observation per week as stated in the schedule.
- Any CPC and Contractor employee shall use this practice when observing a situation. Practice duration is 5-30 minutes.

6.7.5. Algorithm:

1. Planning

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- Plan an observation. Perform regular observation over the work of your subordinates, as well as contractor staff not only on ad hoc basis, but also per schedule. Allocate at least 1 hour a week in your work schedule for this matter.

2. Observation

- Walk around the territory of the unit/facility where work is conducted. Stop and observe the work.
- Carefully assess employee’s behavior and all factors and conditions of operations environment that can impact safety.
- Note positive or negative circumstances that can be recorded in the observation card. As a hint in assessment of factors, see “Focus of attention when making observations”
- Stop the employee, after you make sure that the work you were observing can be safely stopped or (if there is no direct safety threat) wait for a break in the work. If required, use your Stop Work Authority.

3. Dialog

- If you observe unsafe actions, provide corrective feedback to the employee:
  - a) Introduce yourself, ask the employee to introduce themselves and explain the essence of the performed task;
  - b) Help the employee in formulating his/her own violations and possible consequences of unsafe work;
  - c) Ask the employee how the work can be done more safely (e.g., change the process cycle, chose other tools or PPE);
  - d) Obtain consent for employee to work safely in the future;
  - e) Discuss with employee other aspects of safety improvement and occupational health at the enterprise (training, HSE meetings, other segments and work places where injury is possible, his/her proposal on raising safety level);
  - f) Thank the employee.
- If you observe recognized conduct, provide positive feedback to the employee:
  - a) Comment on employee's safe behavior. Note the actions the employee has undertaken to ensure safety;
  - b) Discuss with the employee other aspects of safety improvement and occupational health at the enterprise, ask for their opinion, suggestions
  - c) Thank the employee.

As a hint on how to give feedback, see also practice “Correction of personnel actions”.

4. Observation card.

- Fill the observation card according to the established procedure.

6.7.6. Recommendations:

- To choose the direction for “Safety observation cards” practice, use “Focus of attention when making observations”

**6.8.HONEST DIALOG**

6.8.1. Practice description:

Dialogs with CPC and Contractor organizations to analyze their normal activities in order to identify risky situations, so that the process can be improved further.

6.8.2. Practice goal:

- Simplify the work through mitigation of potential risks:

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- process suspension
  - inefficient points
  - potential events that threaten
  - safety, life and health of employees
- 6.8.3. Management categories to whom this practice applies:
- top managers;
- 6.8.4. Frequency:
- Once every two weeks, for the duration of 40 minutes
- 6.8.5. Algorithm:
1. Preparation
    - Agree on a meeting with members of a team that has recently completed some work (works do not necessarily have to do with violations or non-compliances).
  2. Implementation
    - Explain at the start of the meeting that the goal of the dialog is to better understand the work process in order to simplify it and make it safer.
    - Ask and record answers to questions:
      - How do you normally do this work? Describe standard stages.
      - What should these stages result in? What did they sometimes end up with?
      - Did everything go to plan this time? What went wrong?
      - When did you feel most safe? And when did you feel unsafe? Why so?
      - What difficulties did you encounter during your work? How did you adapt to them or resolve?
      - What other disruptions did you have?
      - Where was an error possible?
      - What can be done in an easier manner?
      - What could happen when you were doing your work?
      - Which events in your work could cause an incident?
      - Where else could this happen?
      - What else can you tell about your work?
    - Listen carefully to what personnel say.
    - When talking, clarify any details that attracted your attention. Ask why it is convenient for workers to do the work in a certain manner, why they are doing it like this.
  3. Wrap-up and reflection
    - Thank the workers for the open dialog. Tell about further actions. If you know what you are planning to change, inform the personnel accordingly. Analyze the obtained information after the meeting and set an action plan.
- 6.8.6. Recommendations:
- Praise people for their openness, explain why this is important for the work process, for them personally;
  - If a worker tells you about an existing problem, do not ignore it;
  - Ask what the worker suggests should be done. Discuss possible solutions;
  - Do not accuse, discuss the process, not personalities. Your objective is to reduce the number of possible non-standard situations and not punish a person;
  - Do not let the dialog become a disciplinary talk. Use this dialog to get information in a most open manner;
  - Keep your word. If you promise something, make most effort to keep your promise.

## 6.9. INTERNAL INVESTIGATION OF INCIDENTS

A more detailed description of actions algorithm when investigating incidents is contained in Incident Investigation Standard CPC STP 04.07.2014.

### 6.9.1. Practice description:

Managers' participation in investigations not covered by official investigations. Identifying root causes of these situations and developing preventive actions.

### 6.9.2. Practice goal:

- Identify and eliminate the causes of unwanted events, prevent from their recurrence.

### 6.9.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers.

### 6.9.4. Frequency:

- If required, after an injury, an unsafe condition, unsafe action or near miss were recorded.

### 6.9.5. Algorithm:

1. Inspect the incident site and gather objective incident evidence.
2. Record objects position at the time of the incident.
3. Clarify what happened, when, in what circumstances:
  - Overall situation at the incident site (light, state of roads, passages, premises, any obstacles, external factors affecting events development);
  - State of workplaces, equipment, fencing devices, safeguards, vehicles;
  - PPE - how and which of them were used by the injured person;
  - Which materials, tools and appliances were used by the injured etc.

The earlier incident investigation starts, the more effective it will be.
4. Interview all those involved in the incident, first of all:
  - Immediate incident participants, including the injured ones;
  - Incident witnesses - employees of the enterprise, as well as other units, if simultaneous operations with engagement of personnel from other units/enterprises were conducted;
  - Line managers, technical specialists.
5. If required, also have conversations with:
  - Representatives of emergency services, rescue services, ambulance, police;
  - Accidental witnesses of the incident, local citizens;
  - Family members, friends.
6. Analyze incident-related documents – regulatory, operational and corporate (see examples in Exhibit 11, page 57 “Analysis of incident-related documents”).
7. Conduct additional investigations. If required (upon decision of the committee), arrange special expert review, technical calculations, laboratory research and/or re-enact the events.
8. Give a precise, detailed and unbiased description of the incident circumstances:
  - Information preceding the incident (circumstances that lead to this undesirable event, even if they happened a few days, weeks or months before the incident), as well as the problem that was the key event, the starting point of the incident;
  - Information as of the time of the incident (period of time not long before the incident and the actual moment of the incident, stating hazard factors that caused the damage or losses, people's injuries);
  - Information on events following the incident (initial response actions, all reinstatement measures and actions to mitigate losses that worked or could have worked).

Narration style and format should be simple and uniform, description should contain only facts.

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9. Draw a timeline and define critical factors. Incident timeline is a horizontal time axis that contains chronological description of 5 facts related to the incident.  
How to draw a timeline:
  - Paraphrase each fact into action (who did what?) and conditions (circumstances of these events);
  - Record each fact on separate sheets of paper (sticky notes are convenient). If exact time of the event is important, state it on the sticker;
  - Draw a timeline on a big sheet of paper or on a board. Place stickers in chronological order and state the start and the end of time intervals, especially if they overlap (it is not necessary to maintain the timescale along the axis);
10. Re-establish the order of the events. Gather additional information if there are any contradictions or gaps.
11. Perform a cause and effect analysis for the incident and identify the root cause. Use “5 Why” and “Metric Tree” methods.
12. Develop corrective and preventive activities. Activities shall:
  - Comply with SMART principle;
  - Define the planned actions priority;
  - Eliminate or reduce the risk by defining the end result;
  - Take into account the likelihood of impact from the source of hazard, gravity of implications from the impact of the hazard source, frequency of impact from the hazard source, costs.

6.9.6. 5 Why method

Search for root causes with the help of repeating questions “Why did this happen?” and search of answer to them among identified incident circumstances (facts).

- When to be used:  
When analyzing causes of an insignificant / simple incident.
- How to use:  
As a rule, it is sufficient to ask the question five times in order to identify the root cause of the incident.

6.9.7. Cause and Effect Tree method

It is the most complicated method to analyze the cause and effect connection and to identify several root causes of an incident (consists of several branches “5 Why”). The basis is represented by the principle of multiple causes, according to which incidents are usually related not to a single cause but several ones.

- When to be used:  
Use for the analysis of incident cause combination (complicated cases).
- How to use:  
Gather and analyze facts. Ask question “why so?” to each of them and build parallel branches of causes. Some of them appear to be unrealized, but some, coming to one time point, will manifest themselves as the root causes of the incident.

6.9.8. What is important to remember:

- Incidents can be the consequence of various systemic causes (imperfect procurement system, HR, information exchange etc.). Therefore, not only HSE system should be analyzed, but also other elements of organization management system;
- Hazardous actions of the injured person cannot be considered as incident root cause. It does not matter whether the actions were deliberate or not. Investigation should identify which management system defining employee’s actions is faulty. Systemic problems requiring detailed analysis and corrective actions lie behind any person’s error at work;

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- An effective cause and effect tree is clear, understandable, with relation between event and outcome, without conditional and generic statements.

6.9.9. Analysis of incident-related documents.

- Documents of regulatory nature
  - Technical, process and organizational documents (equipment passports, equipment operating manuals, occupational safety instructions, technical specifications, diagrams, drawings, process descriptions, flow charts, equipment layout etc.). In addition, safety rules and regulations, GOSTs, RDs, citations of state supervisory authorities.
  - Operational documents
  - Issued permits for work (work permits), shift log, employees’ qualification certificates, workplace safety inductions registration log, certification committee reports, test certificates, equipment inspection reports, industrial safety expert review statements, machinery condition inspection reports, data on the injured.
- Corporate documents
  - Company polices, standards, procedures, instructions, resolutions, directives and orders, audit findings, reports on actioning of planned actions.

6.9.10. Principles:

- It is recommended to investigate all identified undesired events, including unsafe actions, unsafe conditions and near misses.

**6.10. LESSONS LEARNED FROM NEAR MISSES**

6.10.1. Practice description:

Interviewing employees during so called “stop hours” (temporary work suspension), in the course of work meetings, pre-job toolbox talks etc. in order to timely identify near misses and discuss them with personnel. Actions aimed at preventing the identified risks shall be developed based on the results of such discussions.

6.10.2. Practice goal:

- Discuss the Near Miss investigation results: what happened and root causes of the incident;
- Elaborate a joint plan to prevent realization of similar risks at the site;
- Distribute tasks, set up timeline and appoint responsible specialists.

6.10.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;
- Engineers

6.10.4. Frequency:

- In response to the identification of Near Misses;
- Duration 10-30 minutes.

6.10.5. Algorithm:

1. Before the meeting:
  - Review the Near Miss materials:
    - What happened?
    - Which route / systemic causes and thresholds were identified for them (if an investigation ever took place)?
    - Which adjustments actions were developed for the “thresholds”?
  - Prepare pictures - photos, charts, etc.



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2. At the meeting
  - Tell about the incident. Discuss the following items and make sure all those in attendance are involved:
    - Why the above happened? What could have happened?
    - Can the above happen in our division? Who may be affected and which way?
    - What could be done to prevent the above from happening to us?
3. Summarize the discussion results – what should be done, specifying timeframe and responsible people (most important). Tell the personnel they shall be informed of the results. Arrange for the control over the work progress.

6.10.6. Recommendations:

- Discuss near misses in a timely manner: the faster causes and near miss investigation findings are discussed, the greater the likelihood of preventing something similar and stopping a near miss;
- Refrain yourself from and do not allow your colleagues make thought and perception errors (see Exhibit);
- Do not allow the discussion turn into ‘who is to blame and why’ debriefing;
- Make sure all the risks in your team are reviewed;
- Remember that the best actions based on the discussion results shall be those suggested by the personnel themselves (just in case you agree with them);
- Make sure all the members of your division were involved in the discussion;
- Make sure the adjustment actions on the previous Near Misses have been completed in a timely manner;
- In the event of delays and difficulties in performance provide the responsible people with the required resources and solve the issue as soon as possible.

**6.11. SOLUTION TO PLAN/SAFETY DILEMMA**

6.11.1. Practice description:

Discuss with employees the methods of work execution on example of production examples with the aim to mitigate risks and to train the decision-making in hazardous situation with due account to Plan/Safety relation.

6.11.2. Practice goal:

- Each employee to form the right understanding of Plan and Safety balance.

6.11.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;
- engineers and workers;

6.11.4. Frequency - once a quarter.

6.11.5. Algorithm:

1. Before the meeting:

- Prepare the following materials:
  - Cards describing various examples (cases);
  - Cards with options solutions to resolve given issue;
  - Empty schedule with risk-cost scales (ALARP);
  - Schedule showing the position of solution options along the risk-costs line;
  - Final schedule showing the position of solution options along the risk-costs line highlighting the optimum option (as it should be).

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2. At the meeting:

- Propose a example (case) for employees to analyze. Make sure all employees understand what the dilemma is all about;
- Ask employees what issue solution options they can see;
- Highlight your solution options to employees. Suggest that the employees place these options on risk-costs schedule;
- Suggest that employees chose the solution option they think it the most optimal. Ask them to support their opinion. Hear each employee;
- Explain to employees, what solution is optimal from risk and costs perspective. Ask if employees agree with solution proposed.

6.11.6. Recommendations:

- Prepare examples that will reflect best the processes available at the enterprise;
- Involve employees in discussions process;
- Try to answer all the employees’ queries. Important that they understand why the priorities are placed exactly this way; probably, the optimum option will not be the safest.

Explain to employees, why this exactly option is chosen (risk occurrence probability is very low or consequences are insignificant versus losses at work suspension and s.f.).

6.11.7. A case example:

A crack in cladding was found. A crack in cladding was found during equipment inspection. At the moment this does not affect the quality. There’s risk of cladding destruction during operation what may cause personnel injury. Decision is to be made when to replace the cladding.

Potential options to resolve the issue:

- To continue working as before till scheduled break, replace casing during break;
- Continue working as before until the repair service is ready to replace the casing. Replace casing when maintenance service is ready;
- Immediately inform maintenance service, until maintenance service is ready, continue working at lower RPMs;
- Immediately stop equipment and wait for casing replacement.

**6.12. CORRECTION OF PERSONNEL ACTIONS**

6.12.1. Practice description:

Conducting briefings for personnel aimed at consolidating the positive and correction of negative behavior for safety purposes. Dialog with employees aimed at consolidating positive and correcting negative personnel actions

6.12.2. Practice goal:

- Motivate employee to master successful and safe behavior in the future;
- Correct unsuccessful behavior or that violating the established rules.

6.12.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;
- engineers and workers;

6.12.4. Frequency:

- Monitoring the desirable or undesirable behavior of an employee. Length:
- Positive conversation - 5-10 minutes
- Corrective conversation - 10-15 minutes

## 6.12.5. Definitions:

*Undesirable behavior* is any behavior of an employee creating barriers for safety development. Undesirable behavior is not restricted to violations only. Apart from the conversation, the violation should be followed by just punishment. All other types of undesirable behavior shall be corrected in the course of a corrective conversation.

Undesirable behavior is manifested as:

- Formal approach to safety;
- Indifference towards violations and risks;
- Criticisms re necessity to comply with the rules;
- Failure to act under circumstances when the safety may be improved etc.

*Desirable behavior* means not only absence of violations which in essence is a norm as stipulated by each employee's job descriptions. Desirable behavior means all cases of the proactive actions by employees as well as manifestation of awareness and personal involvement in safety.

Desirable behavior is manifested as:

- Making proposals to improve safety
- Promotion of safety principles among colleagues
- Participation in employee development projects
- Raising safety
- Stopping unsafe behavior, etc.

## 6.12.6. Algorithm:

1. Describe what exactly you observed
2. Explain the impact of such behavior on safety
  - In the event of undesirable behavior, tell the employee why it is important to act otherwise;
  - With desirable behavior, tell the employee why such behavior is valued.
3. Listen to the employee's opinion
4. Agree upon expectations for the future.

## 6.12.7. Recommendations

- When facing violations, remember that their causes may vary. Unintended error or lack of knowledge should be corrected by softer means while the willful, especially repeated violation requires stricter approach.
- Personnel actions should be corrected in a timely manner:
- Response should be fast. Immediate correction is always more efficient than the delayed one.
- Personnel actions should be corrected as frequently as possible. Absence of feedback demotivates employees as they perceive it as the manager's indifference towards their work and results.
- Communication should be positive. If you are worked up, take a break, calm down and make up your mind before holding the meeting.
- Corrective conversations should be conducted face to face. Exception - when an employee's actions are dangerous. In this connection a corrective conversation should be conducted immediately
- The goal of corrective personnel actions is to help, not punish:
- Note success, not only errors. Do not treat success as something obvious.
- Distinguish between errors and violations. Error means erroneous behavior under circumstances when the correct sequence of actions was not established as obligatory. Violation is a situation when the correct sequence of actions was established and known to the employee but he/she willfully acted otherwise.

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- Psych yourself up before the corrective talk: “My goal is to help the person change their behavior for a more successful one, and not become personal or threaten him/her”. Fear gives rise to distrust and the employee may start hiding problems from you.
- Hold a dialog, do not just talk. Ask questions assisting the employee to review his/her actions and their impact on the result.
- Remember that the best actions based on the corrective conversation results shall be those suggested by the employee himself / herself in reply to your questions (and you agree with them).
- It is the employee’s actions (behavior) and results should be discussed, not his/her personality.:
- Describe specific situation and behavior, not the employee’s personal qualities. No phantasizing, no generalization, no interpretation. Please speak about what you have seen by yourself. Verify information on the employee’s actions received from third parties before using it in a corrective conversation.
- Check understanding. Conduct corrective conversation using simple and understandable language. It is important that the employee should understand you correctly.
- You should be based on the target behavior model. For the purposes of formulating the behavior expected from the employee, you should be guided by the Company’s principles and approaches.
- Make sure the causes of unsafe behavior were first formulated by the employee on his/her own:
- Clearly formulate and make sure the employee has realized the consequences his/her unsafe behavior or actions could have led to.
- Make sure the employee has formulated possible negative consequences of his/her unsafe behavior (even if you have formulated them first).
- Agree with the employee further actions allowing to prevent unsafe behavior from being repeated. Make sure he/she promised to do this.

**6.13. POSITIVE MOTIVATION**

6.13.1. Practice description:

It represents a set of practices that help the manager consolidate employees’ positive actions aimed at raising safety, motivate them for desirable behavior in the future. Use of positive motivation in conjunction with the “Correction of Personnel Actions” leadership practice enhances the effect of both tools.

6.13.2. Practice goal:

- Motivation system should be balanced: in addition to the effective punishment system we should focus on recognition of desirable behavior.

6.13.3. Management categories to whom this practice applies:

- top managers;
- mid-tier managers;
- engineers and workers;

6.13.4. Frequency:

- When personnel actions requiring recognition are identified;

6.13.5. Practice duration is 5-10 minutes.

6.13.6. Algorithm:

1. Observation
  - Watch the employee and note a positive aspect of his/her behavior
  - Formulate it for yourself:
    - What did you observe?

- What was actually the employee doing?
  - What did / may this lead to?
  - Is this a desirable behavior requiring recognition?
  - What exactly would you like the employee to do in similar situations in the future?
  - What recognition is the most appropriate / efficient under these circumstances?
2. Conversation with employee
- Describe your observations and conclusions to the employee. Express your approval.
  - Take a break and let the employee respond to what you've said.
  - Thank the employee or apply to him/her one of the motivation tools (see Positive Motivation Tools attachment).

#### 6.13.7. Recommendations:

- Apply the leadership practice “Correction of personnel actions” to talk to the employee.
- What is important to know about non-material motivation
- Individual motivation if more preferable than team-based;
- Requirements should be realistic: even an average employee in an average team should be capable of becoming the winner (it is clear, how);
- Fair, transparent award criteria: it should be clear what the reward was granted for;
- The reward should be quick (effort → reward);
- The reward should contain some benefit that employees understand, not something useless;
- Reward should bring positive emotions (nice + memorable);
- Wide engagement of employees, own and contractors’.
- Constant communication is important:
- communication to and involvement of the personnel together with formal and informal HSE leaders (from discussion of future prizes to summing up the results);
- public recognition of “Positive models” behavior, promotion of such examples.

#### 6.13.8. An employee that should be rewarded

- informs about incidents, unsafe acts, unsafe conditions, identifies hazards and manages risks, intervenes in hazardous situations, suspends hazardous actions;
- shows insistence, integrity in resolution of safety issues
- carries out BBS (behavior-based safety) audits and promote a healthy lifestyle
- makes proposals / performs activities to improve working conditions and mitigate risk
- initiates discussion of complicated issues that impact safety
- arranges and carries out safety events
- introduces safer work methods
- trains others in safe work methods etc.

**7. LIST OF EXHIBITS**

Table 7. List of Exhibits

Exhibit	Title
1	HSE Leadership Self-Assessment and Assessment
2	Recommendations for selecting topics for topic sets
3	Recommendations for selecting talking points for five-minute safety moments
4	Focus of attention when making observations
5	Positive motivation tools
6	HSE and Safety Culture Commitment Form
7	CPC Safety Culture Program
8	Leadership Practices Frequency
9	“Leader’s Visit” practice implementation template
10	Questions for monitoring implementation of the Leadership Standard practices
11	Leadership practices brochure
12	Change Registration Sheet