

Winning Hearts and Minds: The Road Map

World-class HSE performance

World-class HSE performance involves more than mechanically applying a management system – it requires the involvement of all in the organisation, from top to bottom. Winning Hearts and Minds is intended to help the organisation to improve by:

1. *Leading the way* – the “Route to the Top” of the HSE Culture ladder.
2. *Providing process and tools to facilitate behavioural change* – the necessary components of a solution.

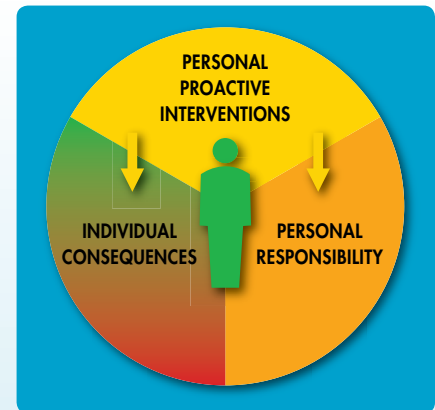
The Route to the Top

The overall “Route to the Top” (world-class HSE performance) means progressing up the HSE Culture ladder, developing an HSE maturity

to become truly pro-active and generative. There are many advantages to be had from such improvement and these will have impact well beyond our HSE performance. The workload actually decreases as an organisation becomes pro-active. Increasing trust and informedness allow us to get on with our work without requiring extra supervision and control; audits become more efficient and directed, taking less time; managers can be left to manage, workers get on to do the work. Being better informed and aligned around the business goals and trusted to deliver, we can be held accountable for our performance in a just and fair way.

The Process

For HSE, the process to achieve world-class performance is moving

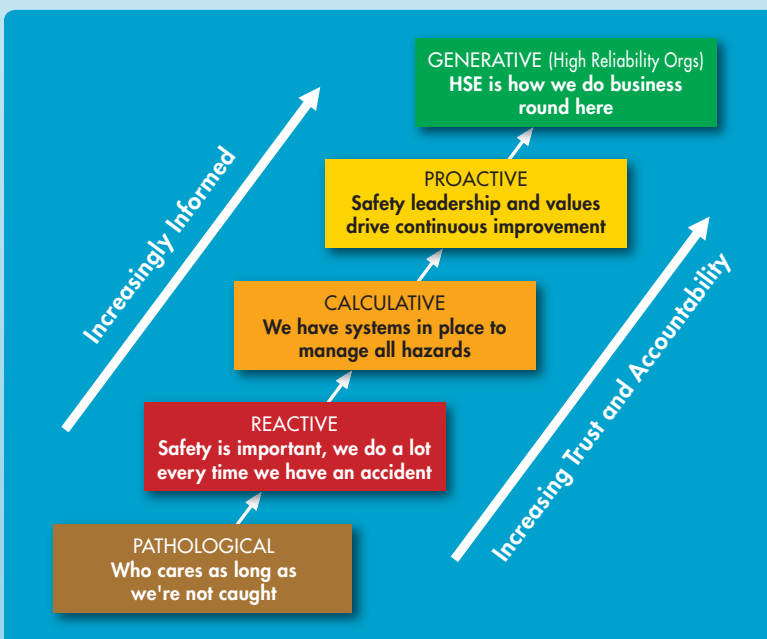


Bringing the HSE-MS to Life and Beyond

from having an HSE-MS “in place” through to actually “bringing it to life”. This requires us to focus on Three Key Elements:

1. Personal Responsibility
We understand and accept what should be done and know what is expected of us.
2. Individual Consequences.
We understand and accept that there is a fair system for reward and discipline.
3. Proactive Interventions.
We work safely because we are motivated to do the right things naturally, not just because we are told to. We want to make interventions and actively participate in improvement activities.

Weaknesses in any of these Three Key Elements inhibit behavioural and cultural change. We must balance our resources and efforts such that each element receives the necessary focus.



The HSE Culture Ladder (Animated introduction to the culture ladder www.energyinst.org.uk/heartsandminds/culture.cfm)

What will be the right action at the right time to achieve this balance will vary across the business as a function of differing levels of HSE cultural maturity and local issues and priorities.

However, Hearts and Minds methodology across EP is common and will focus on these Three Key Elements and the supporting processes. The tools and techniques should be chosen from the Hearts and Minds Toolkit.



1. Personal Responsibility

We understand and accept what should be done and know what is expected of us.

This is about being “crystal clear” in our HSE expectations. Know exactly what you expect of others and what others expect of you. Agreeing how you are going to deliver on those commitments, and whether you have the skills and competence to do it.

To support this and remove ambiguous messages, these expectations and intentions must be part of a clear line of accountability that is regularly discussed so that people only accept for what they can deliver. The foundation for this is part of the existing management system. To support our behaviours towards Personal Responsibility, specific tools and techniques are integrated into the Global Hearts and Minds toolbox.

- Understand your Roles and Responsibilities and ensure they are clear for all
- Create clarity and passion through 1-to-1 discussions of Roles and Responsibilities

- Individual “Top HSE priorities” identified aligned with job tasks
- People accept roles and are held accountable through meaningful personal performance contracts that drive new pro-active behaviours.



2. Individual Consequences

We understand and accept that there is a fair system for reward and discipline.

The journey to bring HSE-MS to life is about changing habits, adopting new pro-active behaviours and instilling a new level of compliance. Showing appreciation and providing encouragement should continue. There also needs to be a clear formal link between actions and consequences to reinforce and reward the required behaviours and actions, and to discourage incorrect ones.

Appraisal systems also need to reflect the aspired goals, rewarding those who deliver but with the appropriate mechanisms in place when coaching is needed. Unsafe acts at all levels must be dealt with immediately in a just, fair and transparent way. Several of our operations already have tools to make individuals clear what the personal consequences will be for their HSE behaviours and actions and should be applied uniformly. They provide a framework for holding all people accountable for their actions. Typical characteristics are:

Positive Consequences

- Coaching
- Recognition, praise, trust
- Just and Fair Reward
- Career enhancing
- Feel better, be healthy, be safe

Negative Consequences

- Coaching
- Criticism, Distrust
- Just and Fair Discipline
- Dismissal
- Injury and illness



3. Pro-active Interventions

We work safely because we are intrinsically motivated to do the right things naturally, not just because we are told to, and make interventions and actively participate in improvement activities.

This element is the very essence of bringing HSE MS to life, but also the hardest to achieve. This requires personal interventions to influence the behaviour of others and accept interventions by others. Intervention tools are accepted as part of a broader change process towards improvement.

There is a practical Hearts and Minds toolkit that provides a process and a set of tools to support most general HSE improvement programs as well as helping to solve specific problems commonly observed in our operations. The tools are designed to allow those who wish to improve to find their own best way forward, based on research and operational experience inside and outside Shell Exploration and Production. They are designed on a “by you, for you” basis, without the need for consultants. Leaders at all levels can use these tools, and can act as facilitators for those they manage. They comprise:

- Understanding your culture
- Managing Rule Breaking
- Risk Assessment Matrix
- Making Change Last
- Improving Supervision
- Seeing yourself as others see you

- Driving for Excellence
- Working Safely
- Achieving situation awareness – The Rule of Three

They are available in the form of controlled packages of brochures, slide presentations, instructions etc.

What do you do in practice?

Before setting of on this Roadmap to Winning Hearts and Minds, we need to ascertain “Why Bother?” Only if leaders are personally motivated to make a difference to our HSE performance, is this approach going to deliver results. Only then will people in our organisations truly change their perceptions of what is expected from them. Using the Hearts and Minds process will identify significant opportunities for improvement, so everyone involved, especially senior managers, must see the advantages and be prepared to commit to follow through. The first steps are:

1. What is the HSE culture?

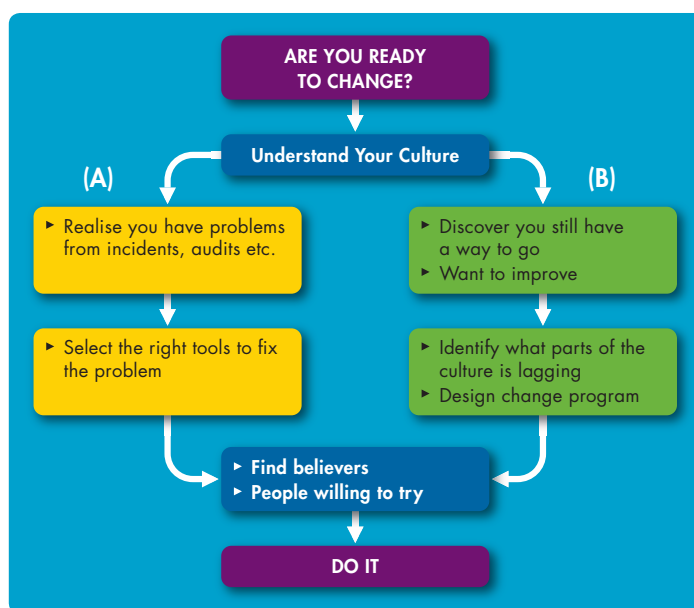
The *HSE – Understanding your Culture* brochure will help identify the local level of HSE cultural maturity and help you formulate your way forward. Once you know where you are, you will challenge your aspirations and what you personally and as team will need to do to achieve them.

2. Who should lead the process and how?

Leaders committed to improvement should be champions and facilitators. They must understand that behavioural change cannot be *pushed* onto people. A lesson from experience is that there must be direction and

coordination; but the people who drive and facilitate any program have to *believe* in the processes. Through their commitment to improve, a *pull* is generated whereby others want to participate, see the benefits, and themselves become champions. In more advanced HSE cultures the workforce will take the initiative, but whatever the cultural maturity, the journey is not easy. From the

specific tools (Route A in diagram). Otherwise you can use descriptions of the culture dimensions to identify specific improvement areas (Route B in diagram). Use the general tools and plan how to make the change using the Making Change Last framework and Hearts and Minds methodology to get everyone onboard from the start.



initial motivation, a balance needs to be maintained between the 3 *Key Elements* so that the necessary support conditions exist to drive an overall cultural change.

3. Are there specific problems?

A lot of information is out there in incident investigation reports, audits, reviews and field inspections and observations of what is happening. Typical issues are rule breaking, incorrect risk assessments, supervisors who are technically competent but short on personal management skills, ineffective contract HSE management. If you know what your issues are then you can use the

4. Specific focus on leadership.

Organisations look to their leadership for direction, priorities and coaching. Perceptions of the commitment of leadership towards HSE rather than just their intentions have a strong bearing on the actual behaviours and performance of that people in the organisation. The initiation of the ‘Hearts and Minds’ Roadmap lies with leadership teams. The commitment of management to HSE can be tested periodically by the ‘Seeing yourself as others see you’ appraisal technique which also helps management to improve their personal effectiveness.

Tools available	What they do and When to use them
HSE Understanding your Culture	What: An engagement tool to identify local strengths and weaknesses identifying a way to improve. When: Use 1st to engage people, discover their aspirations and build a case for change (2-3 hours + follow up).
Seeing Yourself as Others See You	What: HSE upwards appraisal tool to understand other's perceptions and identify how commitment is turned into action. When: Use 2nd to challenge the commitment and behaviours of any "safety leaders", (20 minutes + follow up).
Making Change Last	What: A general tool for managing change and supporting any improvement process or organisational change programmes. When: To design your own tools (1 -2 hours to start).
Risk Assessment Matrix: Bringing it to life	What: Helps people understand their risks, makes them personal and stimulate action. When: Anytime to better manage the risks. (1 hour).
Achieving Situation Awareness: The Rule of 3	What: To help everyone make better risk based decisions and be able to justify them. When: If people lose sight of their risks, or if complacency threatens to set in. Can be used anytime, especially when there is change (<5 minutes).
Managing Rule-Breaking	What: To prevent incidents being caused by rule breaking. When: If procedures are not being followed, or a need to improve procedures (2-3 hours initially then, 1 hour per issue).
Improving Supervision	What: To improve the non-technical skills of supervisors. When: If the quality of supervision, is identified as a (possible) cause of incidents (4-5 hours first time).
Working Safely	What: Intervention programme that builds on and supports existing programmes or can be run by itself. When: If safe working practices are not being followed (8 hours in total, 1 hour slots).
Driving for Excellence	What: A suite of exercises to change the behaviour of drivers and the people who manage them. When: When driving is a significant risk, professionally or personally (8 hours in total, 1 hour slots).

Overview of current Hearts and Minds tools

5. Specific focus on supervision, contractors and contract holders.

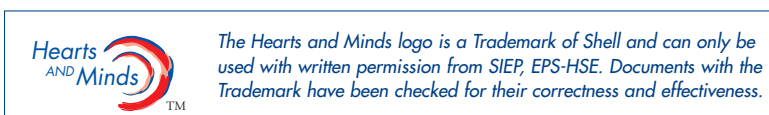
This group contains key players in building a strong safety culture because most of our serious incidents occur with contractors and involve an element of ineffective supervision. Their Hearts and Minds strategy should not differ markedly from the overall strategy and 'Understanding Your Culture' is also for this group an appropriate first step, but another useful approach is for contractors to use this tool to appraise their clients commitment to safety. The contract holders are viewed as senior managers

by their contractors and will benefit from the feedback they will receive on how their commitment to safety is perceived, by using 'Seeing Yourself As Others See You'. The other tools are just as applicable for contractors and staff when specific issues are identified, such as weak supervision. Underpinning the above proactive interventions must be the same firm basis of, crystal clear expectations from the client, commitments from the contractor, and commercial consequences for delivery. Supervisors have most impact on the day-to-day behaviour of their teams. They

therefore have to be 'believers', demonstrating the commitment of top management and supporting and encouraging their staff when they want to use the tools.

Creating Buy-in

Winning Hearts and Minds for HSE is about getting all to work safely not just because they have been ordered to, but because that is what they want to do. The art of good management is to get people to want to do what you may have already decided they should do. Help them to do so.



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