

# **Different types of supervision and the impact on safety in the chemical and allied industries**

## **Assessment Methodology and User Guide**

Prepared by Entec UK Ltd. for  
the Health and Safety Executive

# **Different types of supervision and the impact on safety in the chemical and allied industries**

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# 1. INTRODUCTION

## 1.1 What is supervision?

There are numerous definitions of supervision, many of which are related to an individual's job. However, for the purposes of this methodology, supervision is considered to be a function that can be delivered by one or more individuals within and/or external to a team. In this context supervision and supervisory roles involve:

- Defining overall team workload;
- Allocating day-to-day work priorities;
- Allocating manpower for daily tasks;
- Controlling/monitoring work patterns/shift rotas;
- Communicating operational information to and from the team;
- Problem solving/decision making;
- Identifying competence requirements for work tasks;
- Assessing training requirements of team members;
- Measuring team performance;
- Carrying out appraisal of team members;
- Implementing first-level discipline;
- Initiating and leading incident investigations;
- Maintaining/updating procedures;
- Providing leadership in emergency situations.

## 1.2 Relationship between supervision and health and safety

The HSE have identified a number of 'Success Characteristics' that are typically observed in organisations that achieve good safety performance. Supervision has a key role in their implementation. They include:

- Demonstrating senior management commitment to health and safety so that 'stakeholders' are in not doubt about how important health and safety is to the organisation,
- Leadership during normal and abnormal situations,
- Communication within and between teams and between employees and management to ensure effective and efficient flow of information,
- Employee involvement in health and safety to improve understanding and gain ownership,
- Defining clear roles and responsibilities,
- Training and competence.

## 1.3 What are the issues?

In recent years the nature of supervision has changed. As companies have reduced staff, 'delayed' and increased the use of contractors, they have introduced new concepts such as 'multiskilling' and 'self-managed teams'. In many cases team leaders, coaches, or mentors, who have different roles and responsibilities, have replaced supervisors and / or foremen.

Evidence suggests that poor supervision is a significant organisational factor that can contribute to accidents. Heavy workload of supervisors has been highlighted as a particular concern as it reduces the opportunities to recognise and respond to unsafe practices. Lack of supervision in the workplace is a management failure.

#### **1.4 Purpose of this methodology**

This methodology has been developed to allow organisations to evaluate their supervisory arrangements and the impact on health and safety. It accounts for the fact there are many different ways of delivering supervision, and they all have different strengths and weaknesses.

The methodology aims to bring issues regarding supervision out into the open. It encourages an objective and critical review of existing arrangements and suggests areas for improvement. The key message is that supervision is a key function in ensuring health and safety, and must be delivered no matter how an organisation chooses to organise itself.

#### **1.5 Who should use the methodology, and when?**

Organisations should assess their risks, and revisit their assessment periodically. The methodology can be used at anytime by organisations where supervision is a key management function.

Organisational changes that may affect the way supervision is delivered should receive special attention to ensure risks are not increased. HSE provide guidance for managing organisational change<sup>1</sup>. The supervision methodology can play an important part by providing a means to develop a baseline assessment (before any change occurs), predict the impact of changes and review the change after implementation. It must be remembered, however, that the methodology does not substitute a system for managing the risks of organisation change.

#### **1.6 Definitions<sup>2</sup>**

Throughout the methodology, some standard risk management terminology is used. To avoid any potential confusion, the following definitions are provided.

<b>Hazard</b>	Source or situation with a potential to cause harm.
<b>Risk</b>	Combination of the likelihood and consequence(s) of a specified hazardous event occurring.
<b>Safety Management System</b>	Part of the overall management system that facilitates the management of the health and safety risks.

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<sup>1</sup> HSE - Organisational change and major accident hazards. CHIS7 2003

<sup>2</sup> OHSAS 18001:1999

## 2. USER GUIDE

### 2.1 Components of the methodology

Two components are included in the Appendices of this report. Appendix A is the question set that forms the basis for the assessment of supervision. Appendix B is the assessor's guide, which provides prompts to the people facilitating the discussion during the assessment and interpreting the responses.

The question set has been divided into three sections:

**1. Safety Management System** - a series of questions to be discussed with a group of people knowledgeable with the organisation's safety management system.

**2. Team assessment** - a series of questions to be discussed by a group representing a particular team. This assessment should be carried out for each team (e.g. operations and maintenance).

**3. Individual assessment** - a series of questions to be discussed in a one-to-one interview. People who may have supervisory responsibilities should be interviewed. This may include individuals who have a relatively small supervisory role (i.e. team members should be involved, even if they do not have a formal supervisory role).

### 2.2 Carrying out an assessment

The question set has been separated into three sections to make it as easy as possible to carry out an assessment. In particular, the amount of time that teams need to be involved in a group has been minimised, as it is recognised that it can be difficult to take personnel out of line for any significant time. Experience during the trial applications of the methodology have shown that this approach is manageable and successful at eliciting the key points.

It is anticipated that an assessment of supervision will be carried out for a site. For larger sites, it may be necessary to carry out separate assessments for individual departments. Ideally, each assessment will include the following:

- An assessment of how the Safety Management System deals with supervision, attended by a three or more people familiar with the written form of the system, and how it is applied in practice,
- A team assessment for every team that works on the site or in the department being assessed. This includes operations, maintenance and contractors. Every shift should be considered as a separate team. Each team assessment should be attended by at least three members of the team, including people who do, and do not have, defined supervisory roles,
- Individual assessments should cover members of all the teams covered by the team assessment. It is not strictly necessary that they are the same people who were involved in the team assessment. Ideally three people from each team should be involved in the individual assessment.

Therefore, an assessment of supervision for one site or department may involve one assessment of the safety management system, several team assessments and a larger number of individual assessments.

### 2.3 Suggested approach

Whilst it is felt that the question set is comprehensive, its greatest value will come if it stimulates discussion as this is when the true issues come out into the open. The question set should certainly not be viewed as a 'postal questionnaire' that individuals can fill in on their own. Therefore, all safety assessment system and team assessments should involve a facilitator, and the individual assessments should be in the form of an interview.

It is recommended the facilitators and interviewers are people relatively remote from the issues being assessed, so that they can remain objective. They do not need to come from a third party organisation (e.g.

consultant), and could be someone from a different site or department within the company. Anyone fulfilling the facilitation/interviewer role should have the interpersonal skills to lead the assessment team, ensuring discussion takes place and consensus is reached. They also need to be familiar with the methodology, and should have taken some time to review the question set and assessors guide (Appendices A and B of this document).

Ultimately the assessment needs to be documented. Therefore, it is recommended that the facilitators of the workshop sessions should be supported by a scribe or note taker. As well recording the answers to questions and topics of discussion, the scribe can also read the notes for each question included in the assessor's guide, and prompt the facilitator where required. This was the approach taken initial trials of the methodology, and proved to be very successful.

## **2.4 How long does an assessment take?**

Experience from using the methodology during the pilot trials showed that the safety management system assessment and team assessment typically took between 60 and 90 minutes. Individual assessments took between 30 and 45 minutes. The actual time taken is largely dependent on the amount of discussion, and is likely to vary according to the number of people involved (i.e. although the individual assessment includes quite a large number of questions, there will be no opportunity for discussion).

Good planning will allow a number of assessment sessions to be carried out in a day. It is most important to make firm arrangements where groups are required, including arranging mutually convenient times and locations. Individual assessments can often be arranged on a more ad-hoc basis.

When planning an assessment, it is also important to consider reporting requirements. The time required should not be underestimated as it is not just a case of writing up the notes, as the value of the assessment comes from identifying any critical issues and recommending solutions.

## **2.5 Reporting the results**

Ideally, an individual should be given the responsibility to prepare the assessment report. They should bare in mind that brief, well structured reports are far more likely to be read and acted upon. Whilst is important to capture the answers to all the questions in the methodology, this does not need to be included in the report. A spreadsheet may be more effective. The report should concentrate on the key findings and, whilst this should include positive aspects emerging, the main issues will be where deficiencies are identified. However, rather than simply listing all of these, the report should also give some indication of criticality (i.e. those requiring most urgent attention).

There is no doubt that using the methodology will result in a large data set. This does not mean that the report needs to be long, as that would be counter-productive.

For any study of this nature it is important to make sufficient records of data collected to authenticate analysis and recommendations. In using this methodology the requirement is to make it clear which parts of the organisation were assessed, when and by whom. It is also important to record who was involved in the assessment, but it is also important to ensure that individuals are not subject to any repercussions from what they say. In reality, for most sites and departments it will be difficult to conduct the assessment on a confidential basis as there will be a limited number of people who can contribute to assessment. This highlights that the methodology is only suitable for organisations that have reasonably mature and 'just' culture. However, it is still important that any quotes or comments included in the report are not attributed to any individual.

### 3. PREPARING TO CARRY OUT AN ASSESSMENT

The following checklist can be used to ensure suitable preparations have been made to carry out an assessment of supervision.

	<b>Checklist for conducting supervision assessment</b>	<b>Yes / N/A</b>
<b>1</b>	<b>PRELIMINARY ARRANGEMENTS</b>	
1.1	Person appointed as responsible for completing the assessment	
1.2	Facilitators/interviewers appointed. All to familiarise themselves with the methodology, including question set and assessor's guide	
1.3	Arrangements made for note taking (facilitator/interviewer may do this or may require assistance)	
<b>2</b>	<b>SAFETY MANAGEMENT SYSTEM ASSESSMENT</b>	
2.1	Facilitator appointed (and note taker if required)	
2.2	Group of people identified to form the assessment team (i.e. knowledgeable of the safety management system)	
2.3	Room booked (suggest booking for 2 hours) and all involved notified	
2.4	Master copy of question set printed (cover sheet plus Q1.1 to Q1.25). To be completed by facilitator and/or note taker	
2.5	Additional copies of question set printed for reference by assessment team	
<b>3</b>	<b>TEAM ASSESSMENTS</b>	
3.1	Teams identified, to be involved in the assessment	
3.2	Facilitator(s) appointed (and note taker(s) if required) for each team assessment	
3.3	Room(s) booked for each assessment (suggest booking for 1.5 hours)	
3.4	Team representatives informed of time and place for assessment	
3.5	Master copy of question set printed (cover sheet plus Q2.1 to Q1.20) for each team assessment to be carried out. To be completed by facilitator and/or note taker	
3.6	Additional copies of question set printed for reference by assessment team	
<b>4</b>	<b>INDIVIDUAL ASSESSMENTS</b>	
4.1	Interviewer(s) appointed	
4.2	People to be interviewed identified	
4.3	Arrangements made for carrying out interviews (each interview should take less than 1 hour, a meeting room may not always be necessary)	
4.4	Master copy of question set printed (cover sheet plus Q3.1 to Q3.26) for each interview. To be completed by interviewer	
4.5	Additional copies of question set printed for reference by assessment team	
<b>5</b>	<b>COMPLETION OF ASSESSMENT</b>	
5.1	Responsibilities defined for completing assessment report	
5.2	Arrangements made to feedback results to those involved in the assessment	
5.3	Ownership defined for assessment team's recommendations	







# SUPERVISION WITHIN THE SAFETY MANAGEMENT SYSTEM

## Introduction

Supervision is a management function. Therefore, the delivery of supervision should be a key part of an organisation's safety management system. This section will ask you a number questions about your safety management system to determine how well it covers supervision.

This assessment considered the following safety management system:
The assessment was carried out by:
Date of assessment:

<b>Q1.1 How would you rate the level of hazard being controlled by the safety management system?</b>			
a) <b>High</b> (potential major accident)		b) <b>Medium</b> (potential fatalities)	c) <b>Low</b> (potential for serious accidents or ill health)
d) Negligible			
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

<b>Q1.2 How important do you believe supervision is to health and safety?</b>			
a) Critical		b) Important	c) Makes a contribution
d) Negligible			
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			
<i>If you have answered c or d - please explain why you think it is not important.</i>			

<b>Q1.3 How is supervision addressed in the safety management system?</b>			
a) Specifically defined		b) Referred to in general terms	c) Implied
d) Not included			
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

<b>Q1.4 Do you believe the way supervision is defined in the safety management system is proportionate to the hazard or risk?</b>			
a) Strongly agree		b) Agree	c) Disagree
d) Strongly disagree			
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			
<i>If you answered c or d - is this because supervision is over or under represented in the safety management system?</i>			

<b>Q1.5 How are supervisory responsibilities defined?</b>					
a) Role descriptions cover all jobs with supervisory responsibility		b) Role descriptions cover some jobs with supervisory responsibility		c) Defined only in general terms	d) Not defined
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p> <p><i>If you have answered a or b – are the role descriptions accurate/up to date?</i></p>					

<b>Q1.6 Do you believe people understand their supervisory responsibilities?</b>					
a) Strongly agree		b) Agree		c) Disagree	d) Strongly disagree
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p> <p><i>If you have answered a or b – how do you think this level of understanding has been achieved?</i></p> <p><i>If you have answered c or d – why do you think people do not understand and how could it be improved?</i></p>					

<b>Q1.7 How is supervisory performance evaluated?</b>					
a) Key Performance Indicators specifically include supervision		b) Included as part of other Key Performance Indicators		c) Evaluated, but Key Performance Indicators are not used	d) Not evaluated directly
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p>					

<b>Q1.8 When is supervisory performance considered and formally reported?</b>			
a) Frequently (at least quarterly)		b) Infrequently (at least annually)	c) Only when there are problems
			d) Very rarely
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p> <p><i>Do you think this frequency is suitable (too often, not often enough)?</i></p>			

<b>Q1.9 Do you believe enough is done to improve supervision when problems or opportunities are identified?</b>			
a) Strongly agree		b) Agree	c) Disagree
			d) Strongly disagree
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p>			

## The following questions relate to supervision of contractors

<b>Q1.10 Do you use long-term contractors?</b>		<b>Yes</b>		<b>No</b>	
<b>If yes, how are long-term contractors viewed by company personnel? If no, go to Q1.11.</b>					
a) Another team, competent and trusted		b) Technically competent, but not always achieving necessary health & safety standards		c) Require close supervision of both technical work and attitude to health & safety	d) Unreliable and untrustworthy
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer. <i>Are all the contractors the same? If not, why are some different to others?</i>					

<b>Q1.11 Do you use short-term contractors?</b>		<b>Yes</b>		<b>No</b>	
<b>If yes, how are short-term contractors viewed by company personnel. If contractors are not used no go to Q1.20.</b>					
a) Another team, competent and trusted		b) Technically competent, but not always achieving necessary health & safety standards		c) Require close supervision of both technical work and attitude to health & safety	d) Unreliable and untrustworthy
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer. <i>Are all the contractors the same? If not, why are some different to others?</i>					

<b>Q1.12 How are supervision arrangements for contractors defined?</b>				Not applicable	
a) Specifically described in a management system		b) Referred to in general terms		c) Implied	d) Not defined anywhere
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer. <i>Do you believe the way the arrangements are defined is proportionate to the risk?</i>					

<b>Q1.13 How are contractors supervised?</b>				Not applicable	
a) Each contractor company is considered separately, and specific arrangements are put in place for each		b) Same arrangements are put in place for all contractor companies.		c) The company ensures that all contractors are able to supervise themselves	d) It is assumed that contractors will supervise themselves
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

<b>Q1.14 How are supervision arrangements for sub-contractors defined?</b>				Not applicable	
a) Specifically described in a management system		b) Referred to in general terms		c) Implied	d) Not defined anywhere
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer. <i>Do you believe the way the arrangements are defined is proportionate to the risk?</i>					

<b>Q1.15 How are sub-contractors supervised?</b>				Not applicable	
a) Specific arrangements are put in place for each sub-contractor company		b) Same arrangements are put in place for all sub-contractor companies.		c) The company ensures that all sub-contractors are able to supervise themselves	d) It is assumed that sub-contractors will supervise themselves
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

<b>Q1.16 Do you believe contractors and sub-contractors are properly supervised?</b>				Not applicable	
a) Strongly agree		b) Agree		c) Disagree	d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer. <i>If you answered c or d – how could it be improved? More responsibility for company or the contractors?</i>					

<b>Q1.17 How is performance of contractor and sub-contractor supervision evaluated?</b>				Not applicable	
a) Key Performance Indicators specifically include contractor and sub-contractor supervision		b) Included as part of other Key Performance Indicators		c) Evaluated, but not with Key Performance Indicators	d) Not evaluated directly
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

<b>Q1.18 When is performance of contractor and sub-contractor supervision considered and formally reported?</b>				Not applicable	
a) Frequently (at least monthly)		b) In-frequently (at least annually)		c) Only when there are problems	d) Very rarely
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					
<i>Do you think this frequency is suitable (too often, not often enough)?</i>					

<b>Q1.19 Do you believe enough is done to improve supervision of contractors and sub-contractors when problems or opportunities are identified?</b>				Not applicable	
a) Strongly agree		b) Agree		c) Disagree	d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

## The following questions relate to emergency response

<b>Q1.20 How are leadership roles for emergency response defined?</b>			
a) Allocated to specific individuals with arrangements in place if they are not available		b) Allocated to specific individuals, with the assumption that they will be available	c) Defined, but not allocated to specific individuals
			d) Not defined

Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.

*If you answered a, b or c – do you think these arrangements are suitable for all foreseeable emergencies?*

*If you answered b, c or d – do believe this is sufficient to ensure anyone who may take a leadership role in an emergency knows what they need to do?*

<b>Q1.21 Do you believe all individuals who have a leadership role in an emergency have received enough training and experience?</b>			
a) Strongly agree		b) Agree	c) Disagree
			d) Strongly disagree

Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.

<b>Q1.22 Do you believe that good leadership and team work occurs during emergencies?</b>			
a) Strongly agree		b) Agree	c) Disagree
			d) Strongly disagree

Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.

**The following questions are an opportunity for you to record any further comments about supervision**

**Q1.23 How does the current approach to supervision differ from your previous experience? This includes previous experience in this company and in other companies or situations.**

**Q1.24 In what ways has supervision improved over recent years?**

**Q1.25 In what ways has supervision got worse over recent years?**



## TEAM ASSESSMENT - SUPERVISION DEALT WITHIN THE TEAM?

Teams can be structured in many different ways. Some will include individuals with job titles such as Supervisor, Team Leader, Coach. Others may be described as self-managed, where everyone has very similar roles and responsibilities. People external to the team may also have an impact.

For the purposes of this assessment supervision is considered to be a function, rather than an individual's job. No matter how the team is structured that function must be delivered if health and safety is to be ensured.

This assessment considered the following team:
The assessment was carried out by:
Date of assessment:

Please tick the appropriate boxes below to identify how supervision of the team is formally defined, and how it functions in practice.

	<div style="display: flex; justify-content: space-between; align-items: center;"> <span><b>Flat organisational structure</b></span> <span>→</span> <span><b>Hierarchical structure</b></span> </div>					
	Self-managed (i.e. no direct supervision)	Rotating leadership across each team member	Coach / mentor supporting team members	Team leader appointed by team members	Team leader appointed by management	Traditional supervision / first line supervisor
<b>Q2.1 How is supervision for your team formally defined?</b>						
<b>Q2.2 How does it function in practice?</b>						
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.						

<b>Q2.3 How long has the team been organised like this?</b>	
<b>Q2.4 How was it organised in the previously?</b>	
<b>Q2.5 Why were changes made, and how were they introduced?</b>	

Q2.6 List team members/roles below	Number in team (per shift)	Do they have supervisory responsibility?	How many people do they supervise?
<i>Example: Technicians Control Room</i>	2 3	No Yes	N/A 4

Q2.7 List additional people who influence and/or are influenced by the team	Number in role	Do they have supervisory responsibility for this team?	How many people do they supervise?
<i>Example: Terminal Production Engineer</i>	1	Yes	12 - 14

<b>Q2.8 Please specify who is responsible for the following supervisory activities for your team.</b>	
Defining overall team workload	
Allocating day-to-day work priorities	
Allocating manpower for daily tasks	
Controlling/monitoring work patterns/shift rotas	
Communicating operational information to and from the team	
Problem solving/decision making	
Identifying competence requirements for work tasks	
Assessing training requirements of team members	
Measuring team performance	
Carrying out appraisal of team members	
Implementing first-level discipline	
Initiating and leading incident investigations	
Maintaining/updating procedures	
Providing leadership in emergency situations	

<b>Q2.9 How does senior management (external to the team) communicate their views regarding the importance of supervision?</b>				
a) Frequently explain to all team members that supervision is critical for health and safety		b) Frequently talk about supervision, but only with team members with supervisory responsibilities		c) Talk about supervision only occasionally
				d) Rarely and/or indirectly (not visibly, more reliant on email, memos etc.)
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.				

<b>Q2.10 Do you believe everyone has the same view about how important supervision is to health and safety performance?</b>				
a) Strongly agree		b) Agree		c) Disagree
				d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.				

<b>Q2.11 How are people selected for supervisory roles for your team?</b>				
a) By management		b) By management, with input from the team		c) By the team
				d) All team members have supervisory responsibility by default
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.				

<b>Q2.12 How is supervision of the team defined?</b>							
a) A comprehensive set of procedures and instructions covering supervisory activities		b) Procedures and instructions covering some of the supervisory activities		c) Procedures and instructions exist, but are of little use		d) No procedures or instructions covering supervisory activities	
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p> <p><i>If answered b, are there any critical gaps?</i></p>							

<b>Q2.13 Do you believe everyone in the team understands how supervision is delivered?</b>							
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree	
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p>							

<b>Q2.14 Do you believe company and team objectives are reflected in the way individuals carry out their tasks?</b>							
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree	
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p>							

<b>Q2.15 Do you believe there is good communication between members of this team?</b>							
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree	
<p>Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.</p>							

<b>Q2.16 Do you believe there is good communication between the team and management?</b>			
a) Strongly agree		b) Agree	c) Disagree
d) Strongly disagree			
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

<b>Q2.17 Do you believe there is good communication between different teams and shifts?</b>			
a) Strongly agree		b) Agree	c) Disagree
d) Strongly disagree			
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

**The following questions are an opportunity for you to record any further comments about supervision**

**Q2.18 How does the current approach to supervision differ from your previous experience? This includes previous experience in this company and in other companies or situations.**

**Q2.19 In what ways has supervision improved over recent years?**

**Q2.20 In what ways has supervision got worse over recent years?**



## INDIVIDUAL ASSESSMENT - WHAT SUPERVISORY ROLE DO YOU HAVE?

This part of the assessment is aimed at anyone with supervisory responsibilities. This is not only people with job titles like Supervisor or Team Leader, but can include any team member. This is especially the case for Self Managed Teams, where everyone has similar roles and responsibilities.

Name of person interviewed
Team title - how long have you been in the team?
Job title/role - how long have you had that role?
What have you done in the past?
Interview carried out by

<b>Q3.1 How do you perceive your position in the team?</b>			
a) At a relatively 'high' position in the team hierarchy		b) Equal to the majority of the team	c) At a relatively 'low' position in the team hierarchy
			d) All members of the team are at the same level
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

<b>Q3.2 Who allocates and plans your work?</b>			
a) You identify what needs to be done and plan all your own work		b) Some of your work is allocated and/or planned by someone else	c) Most of your work is allocated and/or planned by someone else
			d) All your work is allocated and planned by someone else
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

<b>Q3.3 How would you describe the way your work is planned?</b>			
a) Mostly proactive and well planned		b) Mixture of proactive and reactive, but well planned	c) Mixture of proactive and reactive, but not well planned
			d) Mostly reactive
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.			

<b>Q3.4 How are your supervisory responsibilities defined?</b>							
a) Specifically defined as a responsibility and included in your performance appraisal		b) Specifically defined as a responsibility, but not included in your performance appraisal		c) Not defined as a responsibility, but you do feel you perform a supervisory role		d) You do not have a supervisory role and/or any supervisory responsibility	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.5 Do you understand what is expected of you with regard to supervision?</b>							
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.6 What responsibility do you have for the team's health and safety performance and compliance with rules and procedures?</b>							
a) Ultimately responsible for all aspects of performance and compliance		b) Responsible for some aspects of performance or compliance		c) Involved in monitoring performance or compliance		d) Only responsible for your own performance and compliance	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.7 What role do you have in leading continuous improvement for your team?</b>							
a) Formally appointed coach/mentor for the whole team		b) Formally appointed coach/mentor for some members of the team		c) Not formally appointed as a coach/mentor, but feel you do perform that role to some extent		d) Do not act as coach/mentor	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.8 What opportunity do you have to communicate with the team?</b>							
a) You are able to communicate with the team almost all the time		b) For much of the time		c) For some of the time		d) Have little opportunity to communicate with the team	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.9 What opportunity do you have to communicate with management?</b>							
a) Frequent opportunities to communicate with management (at least weekly)		b) Infrequently (at least monthly)		c) Reasonable, but rarely take the opportunity		d) Little opportunity	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.10 What role do you have in decision making?</b>							
a) Ultimately responsible for making decisions on behalf of the team		b) Responsible for some specific decisions to be made on behalf of the team		c) Contribute to decision making		d) Little opportunity to contribute to decision making	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.11 Do you feel you are adequately supervised?</b>							
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.12 Do you believe you have enough time to contribute to supervision of the team?</b>							Not applicable
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							
<i>If you answered c or d – why do you not have enough time and what is the consequence?</i>							

<b>Q3.13 What supervisory training and experience have you received?</b>							Not applicable
a) Extensive training and experience		b) Extensive training, but not very experienced		c) Experienced, but not received much training		d) Little training or experience	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.14 Do you feel sufficiently competent to contribute to supervision of the team?</b>				Not applicable		
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.						

<b>Q3.15 Do you feel you receive enough support from others, i.e., management and/or team members in fulfilling your supervisory role?</b>				Not applicable		
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.						

<b>Q3.16 Do you have direct responsibility for supervising other people?</b>				<b>Yes</b>		<b>No</b>	
<b>If yes, how much operational experience do you have?</b>							
a) Fully competent in the operation of all areas of responsibility		b) Have worked (briefly) in all areas of responsibility		c) Have only worked in some of the areas of responsibility		d) Have not worked in any of the areas of responsibility	
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.							

<b>Q3.17 Do you believe you understand enough about the operational conditions and constraints for the areas you supervise?</b>				Not applicable		
a) Strongly agree		b) Agree		c) Disagree		d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.						
<i>If you answered c or d – why is this and how could it be improved?</i>						

**The following questions relate to the supervision of contractors or sub-contractors**

<b>Q3.18 What role do you have in supervising contractors or sub-contractors?</b>					
a) Frequently involved in supervising contractors or sub-contractors (at least once a week)		b) In-frequently involved in supervising contractors or sub-contractors (at least once a month)		c) Sometimes work with contractors or sub-contractors, but not formally responsible for supervising them.	d) Very little contact with contractors or sub-contractors <i>Go to Q3.20</i>
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

<b>Q3.19 Do you understand what is expected of you in the supervision of contractors or sub-contractors?</b>					Not applicable
a) Strongly agree		b) Agree		c) Disagree	d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

<b>Q3.20 Do you believe contractors and sub-contractors are adequately supervised?</b>					
a) Strongly agree		b) Agree		c) Disagree	d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer. <i>If you answered c or d – is this because of company or contractor failing? How could they be improved?</i>					

## The following questions relate to leadership in an emergency

Q3.21 Do you have a leadership role in an emergency?					
a) Allocated a specific role		b) Allocated as a deputy for a specific role		c) No allocated role, but expected to 'jump-in' if required	d) Not expected to take any leadership role  <i>Go to Q3.24</i>
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

Q3.22 What training and practice do you receive for your role in an emergency?					Not applicable
a) Receive refresher training and take part in emergency exercises at least annually		b) Receive refresher training and take part in emergency exercises less than annually		c) Received training in the past, but not refreshed	d) Received no training
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

Q3.23 Do you feel confident to perform your role in an emergency?				Not applicable	
a) Strongly agree		b) Agree		c) Disagree	d) Strongly disagree
Record your comments or explanation here. Also, any relevant references or evidence to explain your answer.					

**The following questions are an opportunity for you to record any further comments about supervision**

**Q3.24 How does the current approach to supervision differ from your previous experience? This includes previous experience in this company and in other companies or situations.**

**Q3.25 In what ways has supervision improved over recent years?**

**Q3.26 In what ways has supervision got worse over recent years?**



## **APPENDIX B - ASSESSOR'S GUIDE**

### **Introduction**

The intention of this guide is to provide people carrying out an assessment of supervision using this methodology with some understanding of the question set. Also, to suggest how the results should be interpreted.

### **Recording basic information**

For any study of this nature it is important to make sufficient records of data collected to authenticate analysis and recommendations. Therefore it is important to record which assessments were carried, when and by whom. Notes should be made of those who were involved, although assessors should be sensitive to the fact that individuals may wish to participate anonymously.

A record sheet is provided to list all safety management system, team and individual assessments carried out. Also, each assessment has its own records page.

### **Asking the questions**

The sections below give specific guidance for each question. The aim is to give facilitators and interviews a better understanding of the underlying principles being tested. In many cases additional questions are provided that can be used to stimulate relevant discussion. Facilitators and interviewers should read through this guidance before embarking on assessment to ensure they understand each question. Although it is not intended that all are read during group sessions and interviews, they may provide useful prompts if any problems with understanding are encountered.

The following general guidance should be considered throughout a supervision assessment:

- Make sure the discussion and answers to questions is focussed on supervision. Experience of applying the method showed that people often strayed from this to talk more generally about health and safety,
- Wherever questions generate negative responses, always participants to suggest how improvements could be achieved,
- Where participants comment that supervisory arrangements have changed, try to establish why those changes have taken place and what the impact has been.

### **Interpreting the answers**

The sections below also give specific guidance for interpreting the answers. Because companies are free to organise themselves in a way that suits their business, it is not possible to define model answers for every question. Where possible, benchmark answers have been provided, based on the underlying principles of the question and the answers received during trial applications of the methodology. In some cases the benchmark answer depends on the nature of the organisation, including the way supervision is delivered.

The following general guidance should be considered whenever interpreting the answers from a supervision assessment:

- Wherever a benchmark answer is not achieved, it is important to understand why. The assessor should consider the risk posed by the current arrangements and the effort required to implement improvement. Recommendations made following an assessment should give some indication of priority (i.e. differentiate between those that are essential, those which are easily achieved and those that are more 'nice to have').
- It is important to consider how current arrangements have occurred. For example, are they driven by systems or have they built up through custom in practice (in which case they may not be sustainable, especially if changes occur).

## Assessors' guide for safety management system assessment

	Guide for when asking the question	Guide to assessing the result
Q1.1	As a guide, a high rating would apply to a site/plant/area which is highly regulated because of the potential for large fires, explosions or toxic releases (e.g. a COMAH establishment). A medium rating would apply where these events are possible on a smaller scale so that regulation is less stringent. A low rating would apply to other industrial facilities and negligible would include offices and retail establishments.	This question sets the scene for the remainder of the assessment. In general, the higher the risk the more critical supervision will be to health and safety.
Q1.2	This question sets the scene for the whole assessment. The subsequent questions will explore whether the organisation really believes supervision is important to health and safety. It is worth spending some time discussing this question to make sure everyone is happy that the answer reflects what they really think.	For any high or medium risk site/plant/area we would expect the answer to be a or b. If not, it suggests that the role of supervision has been downgraded and has become ineffective.
Q1.3	Ask how often supervision is specifically mentioned in the SMS. Is there a section that deals with it? Is it mentioned throughout as an important part of implementing the SMS?	Benchmark answer is 'a.' Anything less suggests supervision is not given sufficient consideration in the management of health and safety.
Q1.4	Reflect on the three questions above. This is about how supervision is documented in SMS, not necessarily how it is delivered in practice (which will be covered in subsequent questions).	Benchmark answer is 'a.' Anything less suggests the SMS gives insufficient consideration to supervision.
Q1.5	Remember that supervision is a management function, not one individual's job. Refer to the description of supervision in the introduction to the methodology user guide. Is the link between supervision and health and safety well made? Is this reflected in a consistent way in other documents (e.g. procedures).	Benchmark answer is 'a.' Anything less suggests the responsibilities are not fully or accurately defined.
Q1.6	Are there examples that highlight where the delivery of supervision is inconsistent? Are these variations because of poor systems or individuals' personalities, and is this critical? Has consistency been achieved because of good systems or is it based on custom and practice, built over the years?	Benchmark answer is 'a.' Anything less suggests inconsistencies in approach. If 'a' is achieved simply because of custom and practice there is the danger that it cannot be sustained, especially if changes to personnel or the organisation take place.
Q1.7	What KPI's are used? Are there any that specifically require people with supervisory responsibility to engage with their team, act as a channel of communication, conduct audits and reviews and ensure team competence?	Benchmark answer is 'a.' It is recognised that supervisory performance can be quite subjective, which does not lend itself to being a KPI. However, this does not negate the importance of evaluating performance.
Q1.8	How is this done? Is there an open culture that means any problems or issues are raised immediately (i.e. not just when there is a formal review), and are discussed in an effective way?	Benchmark answer is 'a.' However, if there is an open culture 'b' may be acceptable if there is evidence that problems and issues are dealt with effectively.
Q1.9	Are there any examples where problems with supervision have, or have not been dealt with? Are solutions targeted to the problem or do they tend to be more general? Are systemic problems addressed and are individuals treated fairly?	Benchmark answer is 'a.' Anything less suggests that not enough is done to improve supervision when required.
Q1.10	In what capacity are long-term contractors used? How often are the contract company changed? How often do the people working for the contract company change? What is done to ensure contractor and host companies have consistent systems and cultures? What is the safety record of long-term contractors?	Benchmark answer is 'a.' Anything less suggests the use of long-term contractors may be introducing risk to the organisation.
Q1.11	In what capacity are short-term contractors used? How are short-term contractors selected? What is the safety record of short-term contractors? How do they compare with long-term contractors?	There may not be a benchmark answer. It is unrealistic to expect short-term contractors to be viewed as another team. Answers 'b,' 'c' and 'd' reflect a sliding scale of resource requirements to supervise. Does the company ensure enough resource is always in place to supervise short-term contractors where they are being used?

Q1.12	Where are the arrangements described? Is it part of the SMS or another document? Do the arrangements vary according to the activity or nature of the company?	Benchmark answer is 'a.' Anything less suggests insufficient consideration is given to supervision when contractors are used. Use of contractors can have a significant impact on health and safety performance, suggesting supervision is particularly critical.
Q1.13	Is every contractor considered for each job to determine how supervision is going to be dealt with? If not, what is done to ensure the correct approach is taken? Are decisions based on potential risk? Is there any difference between the approaches for long and short-term contractors?	Benchmark answer is 'a.' Anything less than this could result in inappropriate arrangements are put in place for supervising some contractors.
Q1.14	See Q1.12	
Q1.15	See Q1.13	
Q1.16	Does it vary depending on the company, nature of contract (long or short), the type of activity or how busy the company is at the time? How much influence can the company have on the way contractors and sub-contractors are supervised?	Benchmark answer is 'a.'
Q1.17	See Q1.7	
Q1.18	See Q1.8	
Q1.19	See Q1.9	
Q1.20	Are roles defined within an emergency plan, and are they consistent with other documents (e.g. SMS, individual's job descriptions)? How have potential scenarios been identified and what has the company done to test the roles for all them all?	For high and medium risk site/plant/area the benchmark answer is 'a.' For low and negligible risks the 'b' may be appropriate if the actions to be performed are simple and well defined.
Q1.21	How are they trained? How do they get experience?	Benchmark answer is 'a.' However, it is recognised that defining 'enough' is difficult for events that happen rarely, and 'b' may be a more achievable target (i.e. you can never do enough).
Q1.22	What evidence is there to show good teamwork? Are there examples of when good or bad teamwork has been experienced in an actual incident or exercise? What is the key to achieving good teamwork in an emergency?	Benchmark answer is 'a.' If less than this, need to establish if this because of inadequate emergency plans, or lack of training or experience.
Q1.23	Where have people worked in the past? What jobs have they done? Have they experienced more 'traditional' or 'dictatorial' approaches, and how do they compare? Are there more or less supervisors now than there was in the past? Are the supervisors better or worse?	This is a 'catch-all' question to allow people to make further comments if they wish.
Q1.24	Is it the systems, organisation or individuals that have improved? Are supervisors closer to their teams? Has management attitude improved? Has team work improved, and is this reflected throughout the organisation? . What was the driving force and how was it achieved?	This is a 'catch-all' question to allow people to make further comments if they wish.
Q1.25	Is it the systems, organisation or individuals that have got worse? Why is this? Is lack of time to supervise an issue? Is there too much bureaucracy? Is there petty rivalry or competition? Have terms and conditions got worse?	This is a 'catch-all' question to allow people to make further comments if they wish.

## Assessors' guide for team assessment

	Guide for when asking the question	Guide to assessing result
Q2.1	Self managed team means that everyone in the team has the same job role in all circumstances. Rotating leadership means that there is a leadership role within the team, but different members fill the role. A coach or mentor does not directly perform a supervisory role, but assists team members in self-management. Traditional supervision means a rigid hierarchical organisation is in place, and supervisors have no hands-on operational role.	Beware that job titles (e.g. 'team leader') may not be defined as intended in this question.

Q2.2	Same definitions as Q2.1 apply. In practice, do the team or individual members act in a self-managed capacity or is there a group based approach to supervisory tasks?	
Q2.3	Determine if approach is long established, or is it still bedding in?	
Q2.4	Refer to the chart in Q3.1. Did it used to be more or less traditional/hierarchical?	
Q2.5	Was there a change to the plant or the business? Was it part of a wider reorganisation? Were there job reductions or other cost savings implemented?	
Q2.6	Make sure everyone involved in the assessment fully understands who is included in the team. May be easier to start at the top or bottom of the team organisation.	If anyone is directly supervising a large number of people there may be some question about their ability to do so. Are there other people in the 'chain of command'?
Q2.7	Make sure everyone involved in the assessment fully understands who is being considered as influencing the team.	If there are a lot of people influencing the team, this can cause confusion about responsibilities and the 'chain of command.'
Q2.8	Identify whether an individual has full or shared responsibility. Does responsibility for an item depend on the nature of event or situation (i.e. higher risk events go higher up the chain of command). Is it clear what the chain of command is? Are all elements of supervision dealt with effectively, or are some better than others?	If a large number of responsibilities are fulfilled by one person, they may be overloaded. Any gaps can cause confusion, oversights and inconsistencies of approach.
Q2.9	How often do members of senior management talk about supervision and its importance for health and safety? Who do they talk to, and does everyone get the same message? If senior management do talk directly to individual team members, does this mean they are over-riding the established chain of command, and does this cause any problems?	Benchmark answer is 'a.' However, 'b' may be acceptable if communication is good, which means that messages are communicated effectively to all team members. Answers 'c' and 'd' suggest senior management do not make enough effort to reinforce importance of supervision.
Q2.10	Is the same view held by team members, supervisors and senior management? How can this be demonstrated?	Benchmark answer is 'a.' Anything less than this could mean there is confusion and inconsistency.
Q2.11	What is the selection process? How does this ensure people have the right skills, experience and personality? Does it work well, and are the right people chosen?	For teams with defined supervisory roles the benchmark result is 'b.' For teams that are more self-managed but still have some supervisory roles defined, the benchmark answer is 'c.' Answer 'a' suggests management are not receptive to the opinions of team members.
Q2.12	This question specifically refers to procedures for supervisory activities. These may be covered by other procedures (i.e. supervisory elements mixed in with aspects of a wider activity). What types of activity are covered by procedures, who writes them and where are they stored? Are procedures used? How do people know what procedures exist?	For lower risk and/or simple situation benchmark answer is 'a.' For more complex situations, benchmark answer may be 'b,' as long as there are no critical gaps. It must be remembered that too many procedures can have a negative impact, especially on usability.
Q2.13	Are there examples that highlight where understanding is inconsistent? Are these variations because of poor systems or individuals' personalities, and is this critical? Has consistency been achieved because of good systems or is it based on custom and practice, built over the years?	Benchmark answer is 'a.' Anything less suggests inconsistencies in approach. If 'a' is achieved simply because of custom and practice there is the danger that it cannot be sustained, especially if changes to personnel or the organisation take place.
Q2.14	Are there any conflicts of interest? Do some people insist on doing things their own way? Why is this? Do systems encourage this? Is bureaucracy a problem?	Benchmark answer is 'a.' Anything less suggests there is either inadequate understanding of the 'bigger picture' or inadequate control over individuals. This is of particular concern in high risk circumstances.
Q2.15	Are all members of the team able to communicate with each other? Are there any barriers in place which make interaction difficult? What would you like to see implemented to improve team communication?	Benchmark answer is 'a.' Anything lower suggests communication could be improved.
Q2.16	Does information from management get through reliably and efficiently to team members, and does information from team members get through to management? Which individuals act as channels of communication? How far up and down the organisation does this communication work? Are there any circumstances when communication is better or worse?	Benchmark answer is 'a.' Anything lower suggests communication could be improved.

Q2.17	Which teams communicate well together? Which are not so good, and why? Which individuals act as channels of communication? Are there any barriers in place which make interaction difficult? Are there any circumstances when communication is better or worse?	Benchmark answer is 'a.' Anything lower suggests communication could be improved.
Q2.18	Where have people worked in the past? What jobs have they done? Have they experienced more 'traditional' or 'dictatorial' approaches, and how do they compare? Are there more or less supervisors now than there was in the past? Are the supervisors better or worse?	This is a 'catch-all' question to allow people to make further comments if they wish.
Q2.19	Is it the systems, organisation or individuals that have improved? Are supervisors closer to their teams? Has management attitude to improve? Is there a common approach, with all working together. What was the driving force and how was it achieved?	This is a 'catch-all' question to allow people to make further comments if they wish.
Q2.20	Is it the systems, organisation or individuals that have got worse? Why is this? Is lack of supervision time an issue? Is there too much bureaucracy? Is there petty rivalry or competition? Have terms and conditions got worse?	This is a 'catch-all' question to allow people to make further comments if they wish.

### Assessors guide for individual assessment

	Guide for when asking the question	Guide to assessing result
Q3.1	This depends on the structure of the organisation, the persons job and their perception of their position in the organisation.	This sets the scene for the remainder of the assessment. Do people answering 'b' or 'c' have any supervisory role?
Q3.2	How is work to be done identified, and by whom? Is there a 'master plan,' and how this generated? Are jobs allocated one at a time, or does the individual choose when they get done?	Benchmark answer depends on the circumstances. Is there an appropriate balance between autonomy for the individual, control of work priorities and business needs?
Q3.3	How is work planned? What is done to avoid reactive work? What happens when reactive work has to be done, is it possible to also complete the planned work?	Benchmark answer is 'a' or 'b.' Anything less suggests work is performed inefficiently.
Q3.4	How much of the job is supervision? Is it more or less important than other aspects of the job? How are appraisals carried out?	Benchmark answer is 'a.' Answer 'b' suggests insufficient attention is paid to supervision, whilst 'c' suggests role descriptions are inaccurate and have not kept up with the evolving organisation. Most people have some supervisory responsibility, even if it is only keeping an eye on colleagues and other working on the plant/site/area.
Q3.5	How were expectations communicated at first, and what is done to update these (if necessary)? How much is dictated by management and how much evolves from custom and practice?	Benchmark answer is 'a.' Anything less could lead to confusion and possible omissions.
Q3.6	What do you do to ensure the health and safety performance and compliance? Are you in a position to monitor and control adequately? Are you comfortable with the responsibilities you have? What are you uncomfortable about?	For anyone in a defined supervisory role, benchmark answer 'a.' Most individuals have some responsibility, even if it is only monitoring colleagues and other working on the plant/site/area.
Q3.7	Is continuous improvement an aim, and how is it achieved? What activities do you perform that may be considered to be coaching or mentoring? Does this include existing personnel and trainees?	Benchmark answer depends on the circumstances. Answer 'c' suggests role descriptions are inaccurate and have not kept up with the evolving organisation.
Q3.8	How do you communicate with others? If you don't spend much time with them, do you have continual access to telephone, two-way radio; and are these reliable?	Benchmark answer is 'a.' What consequences could there be if communication is poor?
Q3.9	How often do you meet with members of management, and do they talk to you. How does information from management get through to you, and how do you get information to them? Is there someone you use as a channel of communication with management, and how well does this work?	Benchmark answer is 'a.' Anything less suggests key messages may not get through.

Q3.10	What decisions have to be made on a routine and non-routine basis? How many of them are critical, and what are the consequences of making the wrong decisions? Who is involved in making decisions?	Benchmark answer depends on circumstances. Answer 'd' may suggest decisions are made without all necessary information.
Q3.11	Who supervises you? Are they a good supervisor? Do they have enough time to fulfil their supervisory role? Does this vary depending on events or workload? How would you prefer to be supervised?	Benchmark answer is 'a.' Anything less suggests the individual does not feel adequately supported.
Q3.12	Have you been told how much time you should be spending on supervision? Do you have too many people to supervise? Does the time available vary? Are you able to fulfil your responsibilities within your normal working hours, or do you have to do over-time?	Benchmark answer is 'a.' Anything less suggests that the person has too many other responsibilities, supervises too many people or that supervision is not given sufficient priority.
Q3.13	What supervisory training has been provided? Was this for the current job or for a previous job? How useful was the training? Is it refreshed? Was training provided before starting the job, or has it been picked up over time? Are people competent when they start supervisory jobs (i.e. receive training before starting) or does this take time to develop? What experience has been achieved?	For experienced people benchmark answer is 'a.' For less experienced benchmark answer is 'b.' People new to supervisory jobs should receive training before they take over the job. Relying on experience alone means new starters will take time to become effective, and may mean best practices in supervision are not followed.
Q3.14	How has your level of competence been achieved (training and/or experience)? Can it be demonstrated? How long has it taken you to reach this level of competence, and what was it like in the past?	Benchmark answer is 'a.' Recognise that, even with good training, full competence also requires experience, which can take time to develop.
Q3.15	Who provides support for supervisory activities (e.g. team members, people in other teams, management, technical personnel)? How do they provide support? Are they proactive, or only respond when asked? Do they take a hands-on approach?	Benchmark answer is 'a.' Anything less suggests individuals may sometimes be in positions where they do not have the competence, time or influence to make the appropriate supervisory interventions.
Q3.16	Has the individual done all the jobs that they supervise? How long ago did they do those jobs, and for how long? Did they achieve the necessary level of competence and would they still be deemed competent?	This is a lead into Q3.17. Answers 'c' or 'd' may lead to the situation where the person in a supervisory role make inappropriate decisions because they do not know the operational constraints.
Q3.17	How does the individual know and understand operational conditions and constraints (especially if they have not worked in all the jobs)? Are they required to get involved in the detail, or only give direction? Are the people working for them competent to self-manage, and do they communicate well to ensure the supervisor knows what is going on?	Benchmark answer is 'a.' Anything less suggests that the way supervisory activities are performed sometime will not reflect operational conditions and constraints. Refer to Q3.16
Q3.18	When are contractors and sub-contractors used, and for what types of task? Do they have their own supervisors? What type of interaction is there (direct supervision, liaison with contractor supervisors, issuing permits-to-work)?	This is a lead into Q3.19
Q3.19	What is expected, and how has this understanding been achieved? Is it the same for all contractors (different companies, activities the performing, other events on plant/site)? Is this a lot of responsibility, and how much time does it take?	Benchmark answer is 'a.' Anything less suggests confusion and inconsistency, that may result in inadequate supervision of contractors.
Q3.20	Does the individual have sufficient time and opportunity, and what is the general situation? Any examples of good or bad practice? Does it vary, and why?	Benchmark answer is 'a.' Anything less suggests insufficient consideration is given to supervision when contractors are used. Use of contractors can have a significant impact on health and safety performance, suggesting supervision is particularly critical.
Q3.21	What is the role? What emergency events does this apply to?	This is a lead into Q3.21 and Q3.22
Q3.22	What training is provided and how often is it refreshed? What type of training is provided (table top exercises, full emergency exercises)? How useful is the training?	Benchmark answer is 'a.' Anything less is insufficient to maintain competence in a critical role that people do not get to practice on a routine basis.
Q3.23	What gives confidence and how is this achieved? Any experience of real emergencies, or is this based on training exercises? Any examples of where it has gone well or badly?	Benchmark answer is 'a.' However, need to avoid over confidence. Anything less means people feel they do not receive enough training, or that it is not realistic enough to give them confidence.

Q3.24	Where have people worked in the past? What jobs have they done? Have they experienced more 'traditional' or 'dictatorial' approaches, and how do they compare? Are there more or less supervisors now than there was in the past? Are the supervisors better or worse?	This is a 'catch-all' question to allow people to make further comments if they wish.
Q3.25	Is it the systems, organisation or individuals that have improved? Are supervisors closer to their teams? Has management attitude to improve? Is there a common approach, with all working together. What was the driving force and how was it achieved?	This is a 'catch-all' question to allow people to make further comments if they wish.
Q3.26	Is it the systems, organisation or individuals that have got worse? Why is this? Is lack of time to supervise an issue? Is there too much bureaucracy? Is there petty rivalry or competition? Have terms and conditions got worse?	This is a 'catch-all' question to allow people to make further comments if they wish.