
Self Assessment for Individuals

A Part of the UNDERSTAND
Training Program

Pilot version



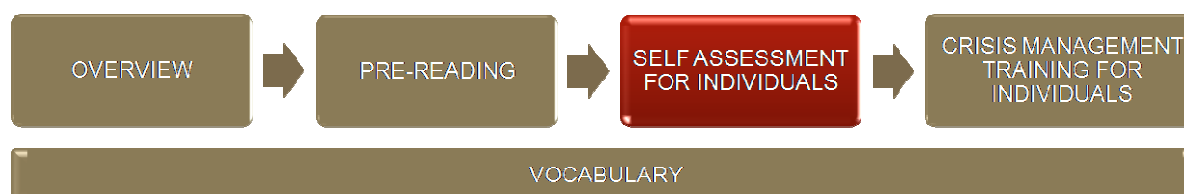
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Self Assessment for Individuals

The Self Assessment for Individuals is part of the UNDERSTAND Training Program. The program consists of four stand-alone but interconnected modules seen in the model below. The purpose of the Self Assessment for Individuals is to provide the individual with a tool to assess his/her level of maturity in the areas of Risk Management, Operational Continuity Management and Incident Preparedness. The Self Assessment can also be used to enable the individual to decide on his/her desirable level in each of the assessment areas.



The areas in the assessment correspond to those in the Crisis Management Training. The Self Assessment will raise awareness and give new insights on individual skills and preparedness useful for personal and professional development. The assessment is answered and marked individually, prior to the Crisis Management Training. If used repeatedly, it can be used as a benchmark for the individual's continuous improvement.

Areas of assessment

The Self Assessment for Individual is based on the Capability Maturity Model Integrated (CMMI) developed at Carnegie Mellon University. There are 11 areas for assessment; these can be found in the model below. Underneath each of the areas you will find the corresponding session in the Crisis Management Training for Individuals.

1. Risk Analysis When the Unforeseen Happens	2. Contingency Planning When the Unforeseen Happens	3. Exercises Preparatory Measures	4. Training Preparatory Measures
5. Identifying an Incident Immediate Actions	6. Leadership Managing the Incident	7. Communication Management Communication Management	8. Communication Technologies Communication Management
9. Recovery Recovery and Return	10. Lessons Learned Recovery and Return	11. Cooperation All sessions	

Instructions

For each area in the Self Assessment you will be asked to assess your own ability on 5 levels based on a statement for each level. The levels of maturity are:

1. Initial
2. Repeatable
3. Defined
4. Managed
5. Optimised

After finishing the assessment please complete the form below. You will be able to compile the results from all assessment areas and complete each of them with your desirable level for each assessment area, together with your thoughts on how to reach your desired level of maturity. You can also complete the figure below with your assessed percentage for each maturity level, to get a graphic result of your self assessment.

Level of Maturity	1	2	3	4	5	Desired Level
1. Risk Analysis						
2. Contingency Planning						
3. Exercises						
4. Training						
5. Identifying an Incident						
6. Leadership						
7. Communication Management						
8. Communication Technologies						
9. Recovery						
10. Lessons learned						
11. Cooperation						
TOTAL						



1. Risk Analysis

At which maturity level do you consider yourself regarding cross-border risk analysis?

Initial level 1	I consider risks only from a narrow and domestic point of view. Examples: fires and technical failures. I participate or initiate no systematic risk mapping or risk assessment. Instead, I rely on the companies insurances.
Repeatable level 2	I participate in risk analysis regularly. Also human error risks are considered. I classify risk according to effect and probability assessment. Risk data is exchanged across the border.
Defined level 3	I consider risk analysis to be a well defined part of operational continuity management cycle. Risk analysis is a defined responsibility of middle management level, but involves people from across the company including myself. I use systematic methods (e.g. statistical, mathematical, data gathering, possible reasons for event -analysis; possible alternative consequences of event -analysis) in risk analysis. A wide spectrum of consequences is considered, including societal consequences. Risk analysis is done together with the counterpart across the border.
Managed level 4	The well defined risk analysis (level 3) is executed and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the risk analysis process (level 4) is constantly improved by systematic feedback handling and through the use of innovative ideas as well as outside experts.

2. Contingency planning

At which maturity level do you consider yourself regarding cross-border contingency planning and implementation of cross-border contingency plans?

Initial level 1	I know that we have made contingency plans, but have not participated in cross-border discussions. The plans are not based on a joint risk analysis. I take part in implementing our plans. My counterpart across the border is only occasionally informed on my measures.
Repeatable level 2	I come together on an operative level at regular intervals with my counterpart across the border, exchange our contingency plans, and discuss them to make sure that both parties understand them. Operative exercises are carried out together. Investment to facilities, equipment, material, methods, education, and exercises are informed across the border. Error logs are in place.
Defined level 3	I do our contingency planning regarding cross-border transmission with my cross-border counterparts. It is based on a written agreement and a joint analysis of risks. I implement the plans the way we have agreed in the joint contingency planning phase. Top management is informed about the error logs, and some key finding are also communicated across borders.
Managed level 4	The defined planning and implementation (level 3) is done and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the managed planning (level 4) is constantly being improved in cooperation through feedback and by introducing innovative plans to better serve both TSOs' jointly agreed needs.

3. Exercises

At which maturity level do you consider yourself regarding cross-border exercises?

Initial level 1	I have not participated in a cross-border exercise.
Repeatable level 2	I have attended more than two cross-border exercises and continue to do so, on an operational level. The scale of the exercises have been moderate, mostly tabletop type, and not involved large groups of people, or many members of the business network.
Defined level 3	I regularly attend cross-border exercises. We have a well defined framework of exercises, which involves all relevant business partners on both sides of the border. We have planned several steps ahead the learning areas where exercises are needed. The results of the exercises are incorporated in each company's written procedures.
Managed level 4	The defined exercise processes (level 3) are monitored and controlled and I assist in said work. The cooperation is considered a cross-border strategic matter and is in the interest of top management and downwards
Optimised level 5	I make sure that the managed exercising (level 4) is constantly being improved in cooperation through feedback and by introducing innovative ideas to better serve both TSOs' jointly agreed needs.

4. Training

At which maturity level do you consider yourself regarding training across the border(s)?

Initial level 1	I have never participated in training across borders. I train locally.
Repeatable level 2	I have participated in several cross-border training session and continue to do so, on an operational level.
Defined level 3	I regularly attend in cross-border training. We have a well defined joint training program. The goals and methods of training are defined in cooperation. All personnel, including myself, who deal with cross- border transmission, are trained at regular intervals.
Managed level 4	The defined training (level 3) is monitored and controlled and I assist in said work. Training is considered a cross-border strategic matter and is in the interest of top management and downwards.
Optimised level 5	I make sure that the managed training (level 4) is constantly being improved systematic feedback handling and using innovative ideas. Outside consultants are used.

5. Identifying an incident

At which maturity level do you consider yourself regarding identifying and recognising a cross-border crisis situation?

Initial level 1	I am uncertain about what constitutes a crisis. More serious incidents might not receive enough attention. Much of the actual crisis management is improvised.
Repeatable level 2	Our plans define how disturbances gradually develop more serious. These definitions have been discussed across the borders. I don't waste time in deciding if the situation is a crisis.
Defined level 3	In addition to defining different kinds of crises, I am prepared for the complicated character of crisis management. I am aware of the cross-border agreements and contingency plans which define the responsibilities on each side of the border depending on the incident.
Managed level 4	The definitions of crises, crisis management and cross-border responsibilities (level 3) are updated in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the definitions of crises and crisis management (level 4) is constantly being improved by level 5 (optimised) contingency planning. Ideas for better planning are systematically collected in exercises and real crises.

6. Leadership

At which maturity level do you consider yourself regarding leadership in a cross-border crisis situation?

Initial level 1	I take cross-border contacts when there is a problem. However, much of the contacts are improvised. It is unclear who leads the action both across borders and between national sectors like transmission, distribution and authorities.
Repeatable level 2	I consider cross-border cooperation to be an operational matter and in the interest of operational management. I know our contingency plans underline that the leading responsibility of crisis management is with the operator who has had the incident or who is most seriously affected by it, but we don't disturb the responsibility areas of each actor.
Defined level 3	I know we have planned and agreed in writing with our counterpart about cooperation during crises. The leadership and responsibility takes different forms during normal disturbances, risks of events, incidents and crises.
Managed level 4	Crisis leadership and responsibility (level 3) is done and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the definition of leadership and responsibility (level 4) is constantly being improved by level 5 (optimised) contingency planning. Ideas for better leadership are systematically collected in exercises and real crises.

7. Communication Management

At which maturity level do you consider yourself regarding communication between those parties that can solve a cross-border crisis situation?

Initial level 1	I only take contacts between parties when there is a problem. I don't quite know whom to contact in each situation.
Repeatable level 2	I know well whom to contact in incident- and crisis situations. I consider cooperation to be an operational matter and in the interest of operational management. There are routine contacts towards other services such as fire departments, forest companies and teleoperators, and regular coordination with the authorities.
Defined level 3	I know that we have planned and agreed in writing with our cross-border counterparts about cooperation during crises. Our contingency plans include guidelines on coordination with the authorities and other relevant sectors.
Managed level 4	The defined communication (level 3) is done and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the managed communication (level 4) is constantly being improved by level 5 (optimised) contingency planning. Ideas for better communication are systematically collected in exercises and real crises.

8. Communication technologies

At which maturity level do you consider yourself regarding using communication technologies in a cross-border crisis situation?

Initial level 1	The use of communication technologies is mostly improvised during the crisis. The grid maintenance has not been provided with sufficient communication means. There are also situations where I come to rely too much on communication technologies and not enough on situation awareness.
Repeatable level 2	I use primarily the everyday communication methods, like telephone and the computerised control system. There are also secured, tested, and regularly exercised communication channels in place for all parties involved. The movements and measures of the grid maintenance groups are optimised before the batteries of the mobile phone base stations run out.
Defined level 3	I know that more sophisticated computerised maintenance management systems are in place. I do not use communication technology at the expense of situation awareness.
Managed level 4	The defined communication (level 3) is done and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the managed communication (level 4) is constantly being improved by level 5 (optimised) contingency planning. Ideas for better communication are systematically collected in exercises and real crises.

9. Recovery

When you think about actual experiences, at which maturity level do you consider yourself regarding cross-border recovery cooperation from crises?

Initial level 1	I make sure our side gets up and running. I inform our counterpart across the border when we have solved our problems.
Repeatable level 2	I exchange recovery plans and recovery situation reports on an operative level. I volunteer and welcome ideas both ways across the border for faster and better recovery.
Defined level 3	I keep constant touch during the recovery according to predefined rules. I also give and receive assistance across the border when it is useful and within the resources available.
Managed level 4	I know the defined recovery (level 3) is done and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the managed recovery (level 4) is constantly being improved by systematically collecting ideas in the recovery phase. (The best ideas, including mine, will then be innovatively used in the lessons learned phase.)

10. Lessons learned

When you think about actual experiences, at which maturity level do you consider yourself regarding cross-border handling of lessons learned from crises?

Initial level 1	I keep my/our lessons learned sessions on our side only. I sometimes report on mine/our ideas to the counterpart, though.
Repeatable level 2	I often participate in joint session after a cross-border transmission crisis or after a near crisis situation. The way we use the results of the session vary. Error logs are in place.
Defined level 3	I document these sessions and the results are always taken into account in the next joint contingency planning round. I inform top management about the error logs, and some key finding are also communicated across borders.
Managed level 4	The defined lessons learned sessions (level 3) are done and controlled in cross-border cooperation from top management downwards and I assist in said work.
Optimised level 5	I make sure that the methods for handling lessons learned are regularly improved by using new approaches from social sciences and pedagogy. The improvement possibility is always on the session agenda.

11. Cooperation

At which maturity level do you consider yourself regarding cooperation across the border(s)?

Initial level 1	Contacts across the border are taken when there is a problem or when I have a concrete proposal for common development. It is unclear whom to contact in each situation.
Repeatable level 2	I am aware of that we have established contact person and responsibility lists on each side. We have defined situations that I know about when to contact and what information to exchange. These contacts are taken regularly. The cooperation is considered an operational matter and is in the interest of operational management.
Defined level 3	I know that we have planned and agreed in writing with our counterpart about the work processes and technical processes that need cooperation. The goals and methods to achieve them are specified in cooperation.
Managed level 4	The defined processes (level 3) are monitored and controlled in cross-border cooperation and I assist in said work. The cooperation is considered a strategic matter and is in the interest of top management and downwards.
Optimised level 5	I make sure that the processes managed (level 4) are constantly being improved in cooperation through feedback and by introducing innovative processes to better serve both TSOs' jointly agreed needs.

You have now completed the Self Assessment for Individuals.