

Corrective Actions: From Illusion to Effectiveness

Energy Facility Contractors Group (EFCOG)
ORPS Task Group
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BROOKHAVEN
NATIONAL LABORATORY

a passion for discovery





- 1. What Motivates Workers?**
- 2. Are Our Corrective Action Plans Effective?**
- 3. What Can Derail Action Plan Improvement?**
- 4. What Should We Include In Our 2011 Business Plan?**
- 5. A Human Performance Tool In Practice.**

A Test: Can We Eliminate Distractions For 45 Minutes?



What Motivates Workers?



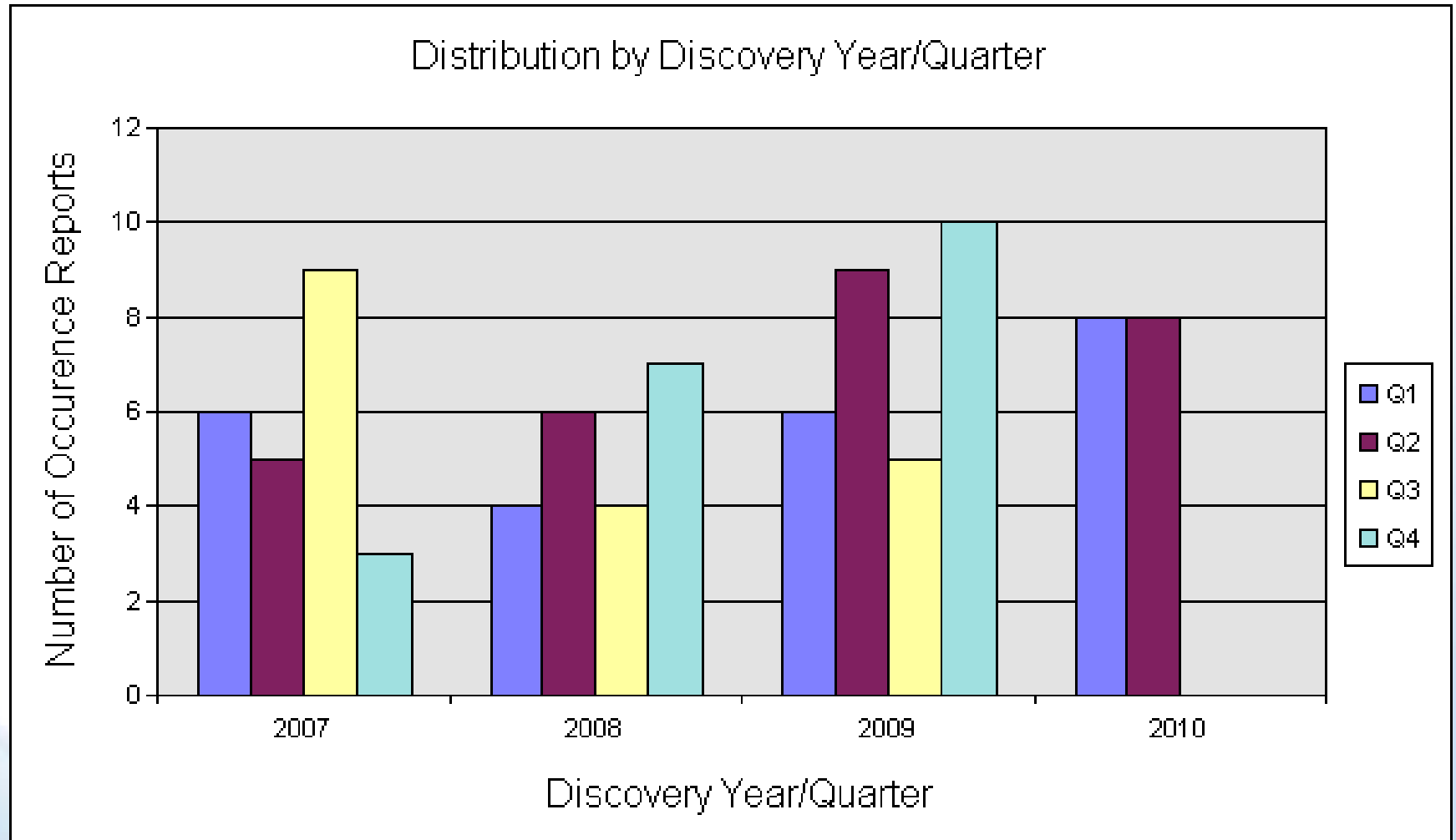
What Does the Evidence Say?

- **EVIDENCE OF PROGRESS Is The #1 Motivator (Harvard Business Review, Jan. 2010).**

Are We Making Progress With Our Corrective Action Plans?

- **At BNL: > 2,000 Institutional actions have been closed over the last 4 years.**
- **New action plans on the way. Will they have any real impact?**

BNL Occurrence Reporting by Calendar Year



Integrated Performance Management (IMP), Community of Practice

■ SMART Actions

- Specific
- Measurable
- Accountable
- Reasonable
- Timely

Are All Actions Equally Implemented?

- **There are different levels of implementation**
 - **Example: Training**

IMP, Community of Practice

What Does a Good C/A Statement Look Like?

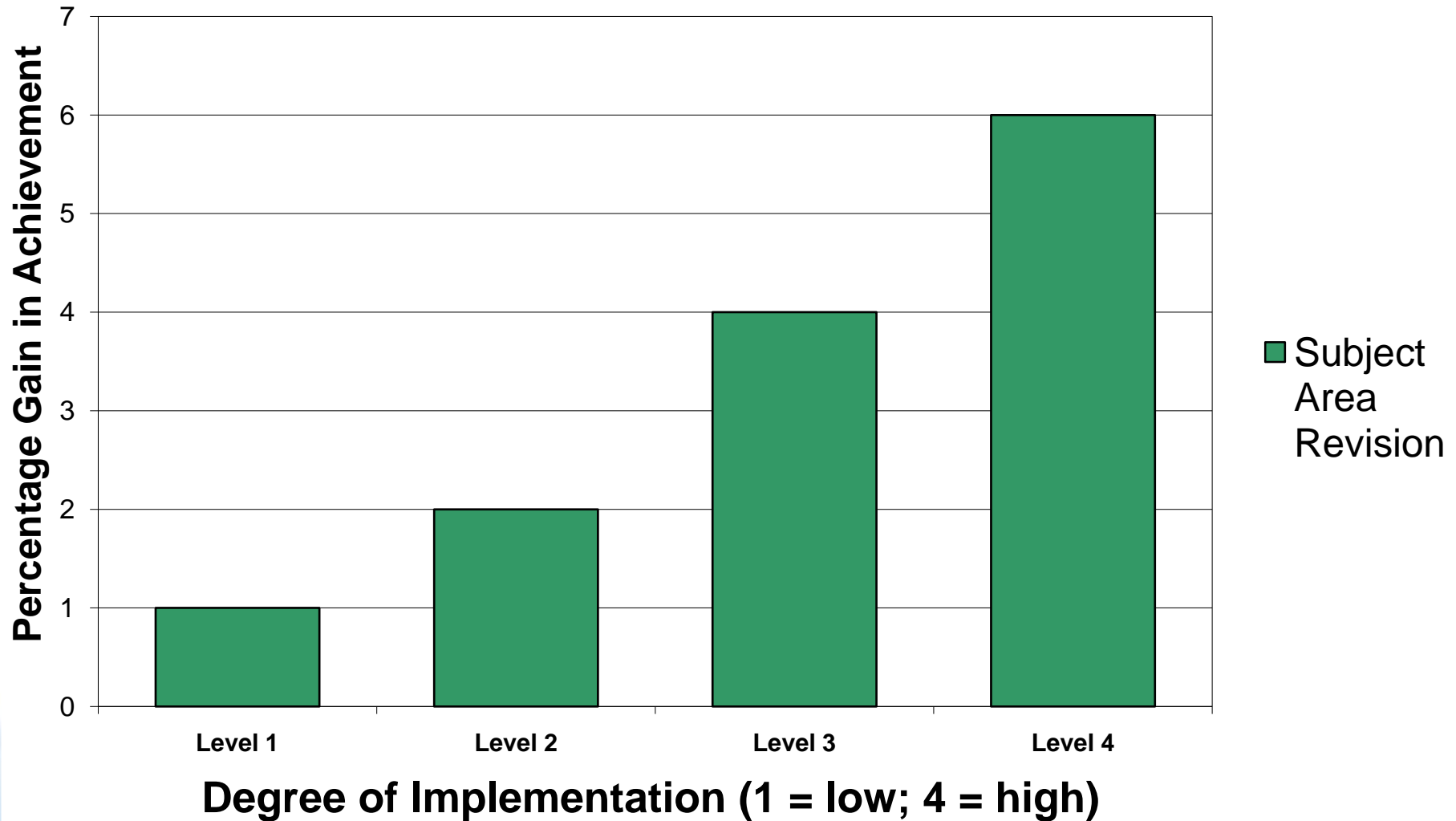
Acceptable Corrective Action Statement

- Develop an internal operating procedure on how to survey Equipment, Material, and Facility Surfaces for Removable Beryllium Contamination.

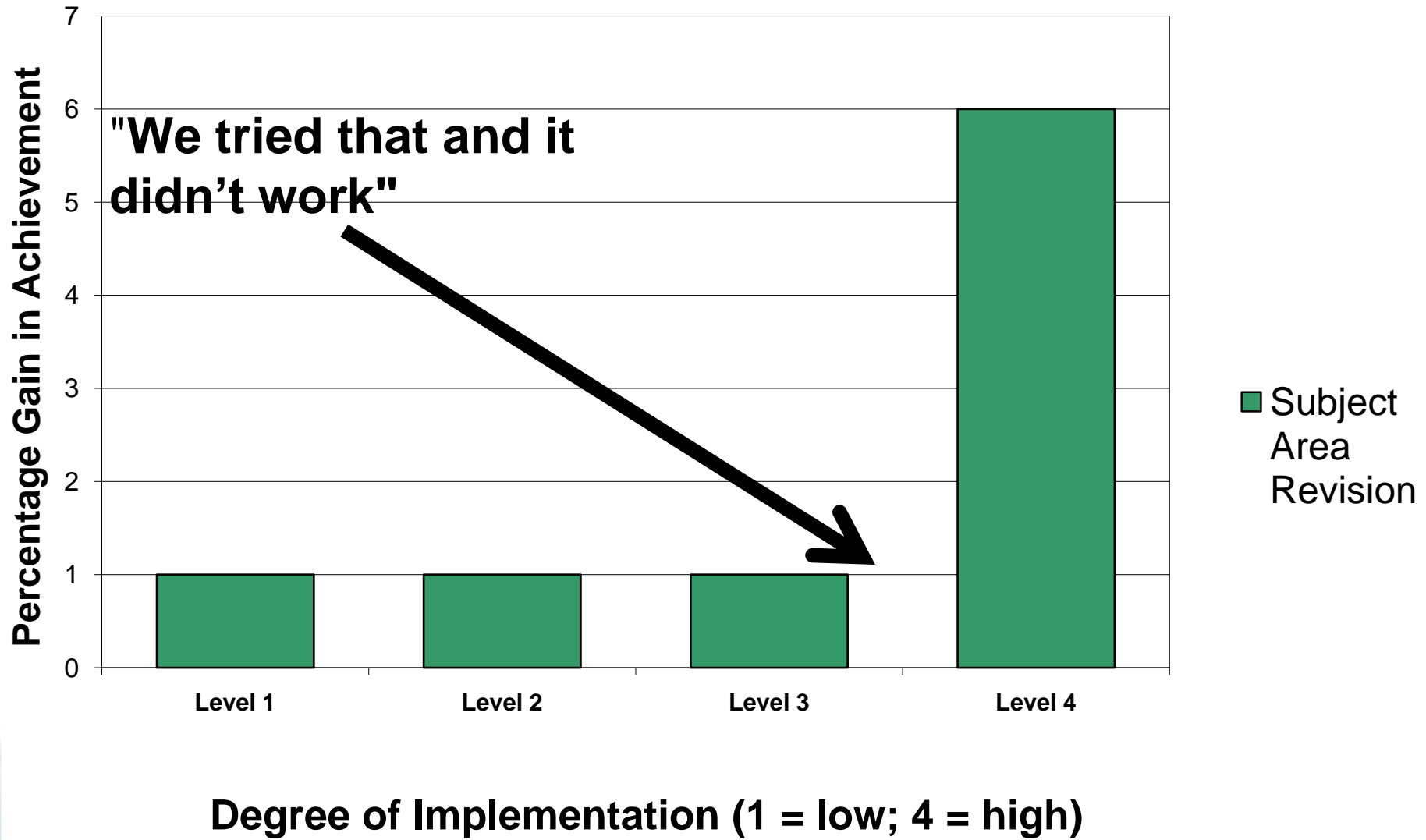
What Makes it Well-written?

- Action began with an action verb. States what will be done. Indicates that closure evidence will be an issued internal operating procedure.

The Linear Implementation Hypothesis



The Non-Linear Implementation Reality

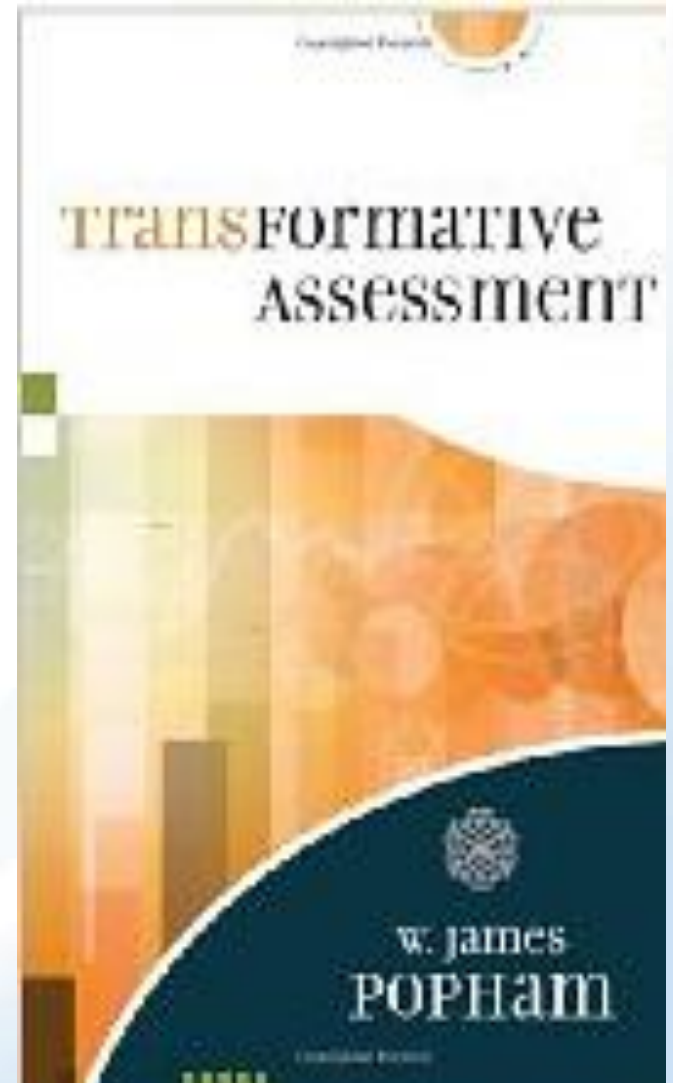


Effectiveness Reviews: To Little, To Late?

- **Quality Engineer concluded that the corrective actions implemented did not prevent improper waste segregation.**
 - **Effectiveness review, typically 6 – 9 months after last action closed.**
 - **We need to implement formative assessment.**

What is Formative Assessment?

- Formative assessment is a planned process in which management or staff use assessment-based evidence to adjust still-underway action plans.



Integrating Formative Assessment in Action Plans

- 1. In order to ensure deep and ongoing implementation of corrective actions; a report on impact of each action contained in this report will be completed.**

Due Date: July 15, 2011

- 2. In order to ensure deep and ongoing implementation of corrective actions; a report on impact of each action contained in this report will be completed.**

Due Date: November 15, 2011

- 3. Conduct an effectiveness review of the actions contained in this report.**

Due Date: March 15, 2012

What Does Deep Implementation Look Like? (Data Analysis)

- Level 1 – Data avoided and not influential
- Level 2 – Management and staff trained
- Level 3 – Evidence of data-driven operational decisions
- Level 4 – Level 3 PLUS evidence that decisions have positive impact on operations



What Does Deep Implementation Look Like? (“The HPI Movement”)



- Level 1 – Quality Management Office has HPI Religion
- Level 2 – Trained HPI Advocates
- Level 3 – Evidence that HPI Advocates are implementing HPI Tools
- Level 4 – Level 3 PLUS evidence that HPI tools have positive impact on performance and evidence that GENERAL STAFF use HPI

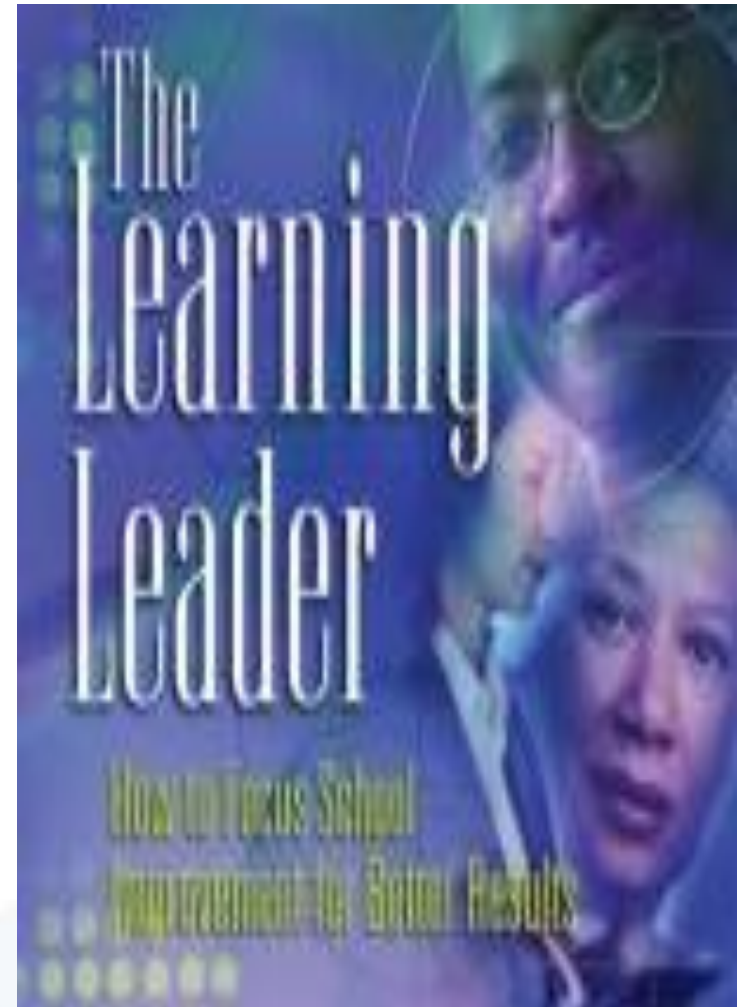
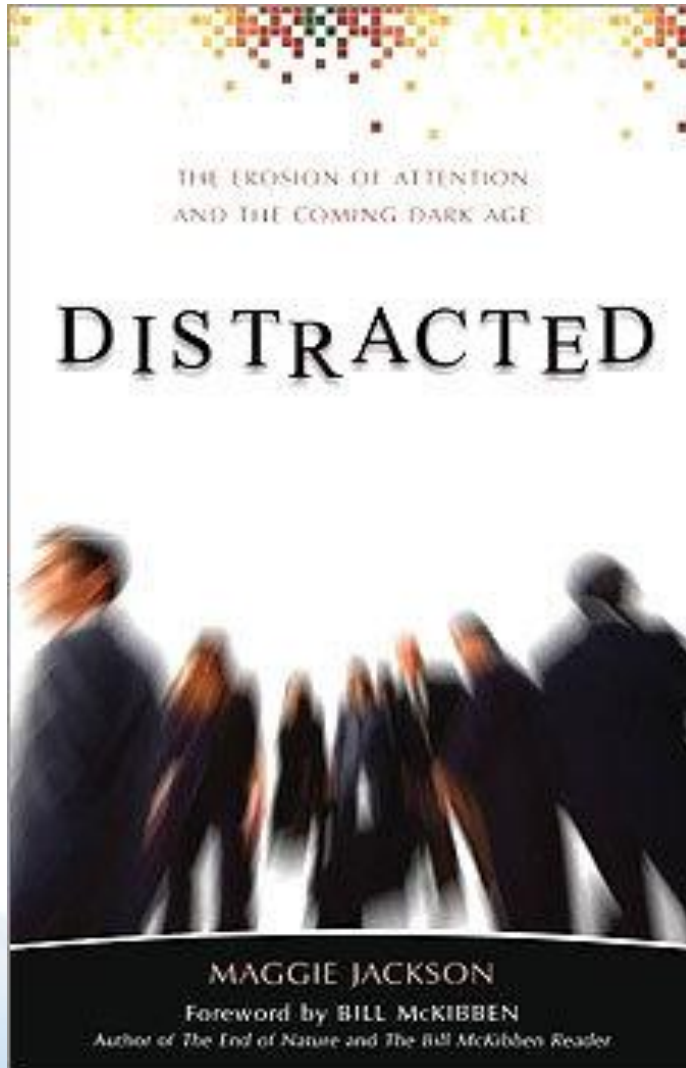
Medical Department Action Plan

- 1. Conduct training on cyclotron targetry chemistry systems and production of carbon-11 to include valve lineups and newly developed procedures (check list) to be used during radiotracer production and or experiments. *Re-training will be given every year.***
- 2. Conduct training on proper donning and doffing of radiation control protective gloves to include location of glove disposal when working inside glove boxes. *Re-training will be given every year.***
- 3. Develop a system to ensure new researchers/students receive the training discussed in action 1 and 2 above.**

Deep Implementation Action Plan at Medical Department

- 5. In order to ensure deep and ongoing implementation of corrective actions; all radiotracer production runs and/or experiments (until further notice) will have an experienced assistant (as determined by the Group Leader) working with the researcher.**
- 6. A radiological control technician will observe and provide written feedback concerning contamination control to the group leader (until further notice) on one research and/or production run every two weeks.**

What Can Derail Us?

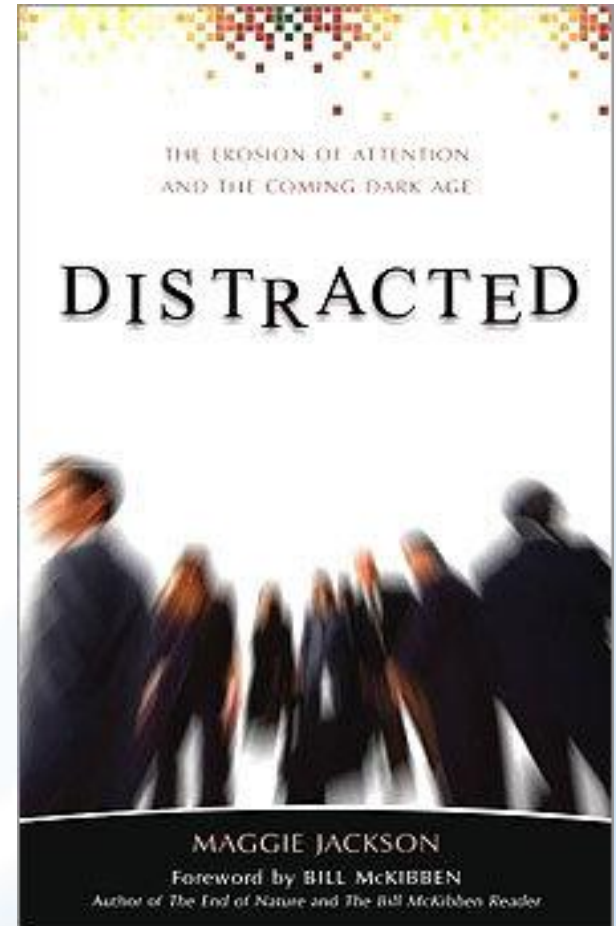


Did We Pass The Distraction Test?

- **We live in a Culture of Distraction**
 - Radically distracted
 - 60% of children multi-task
 - Hyper connected
 - Info. workers switch task every _____ min.
- **A Culture of Split Focus**
 - Executive attention suffers
 - Scanning/skimming
 - Auto behavior vs. deep learning
 - Learning transfer suffers

How Do We Address This Problem?

- **Create a renaissance of attention**
 - Attention athletes!
- **Question our values**
 - The harried boss
 - The person on a blackberry
 - Split focus seems to be valued
- **The Fix**
 - Pay attention to your attention!
 - Train the brain
 - Listening is a skill
 - <http://www.ila.camp7.org/>
 - Is your environment a distraction?



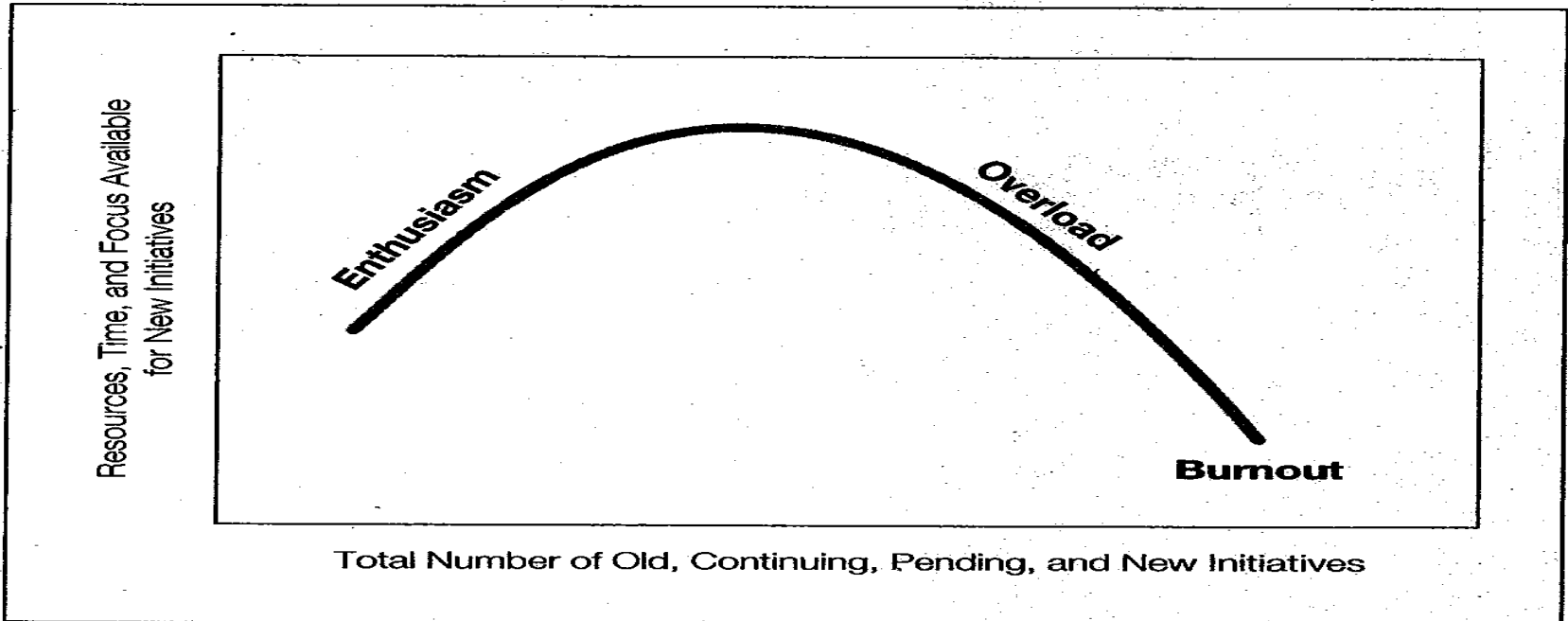
How Many Old, Ongoing and New Initiatives are in Place at Your Site?

- **It's Typically A Long List**
- **Initiatives Persist**

What is The Law of Initiative Fatigue?

- The law states: When resources of time, money, and emotional energy are held constant while the number of old, continuing, and new initiatives rises, a dramatic decline in organizational effectiveness is inevitable.

6.4 — The Law of Initiative Fatigue



Initiative Fatigue: The Fix

- The only response to the **Law of Initiative Fatigue** is a **garden party**.
- Leaders must be ever vigilant for persistent weeds with deep roots in the garden.

What Should We Add to Our Business Plan?

- **Create the “Not to Do” List for 2011**
 - **Meetings**
 - **Reports**
 - **Action plans that don't work**
 - **Create your own list!**

The Event/Issues Management Checklist



**ESH Coordinators and Quality Representatives Meeting
Brookhaven National Laboratory**

May 19, 2010

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The Event/Issues Management Checklist

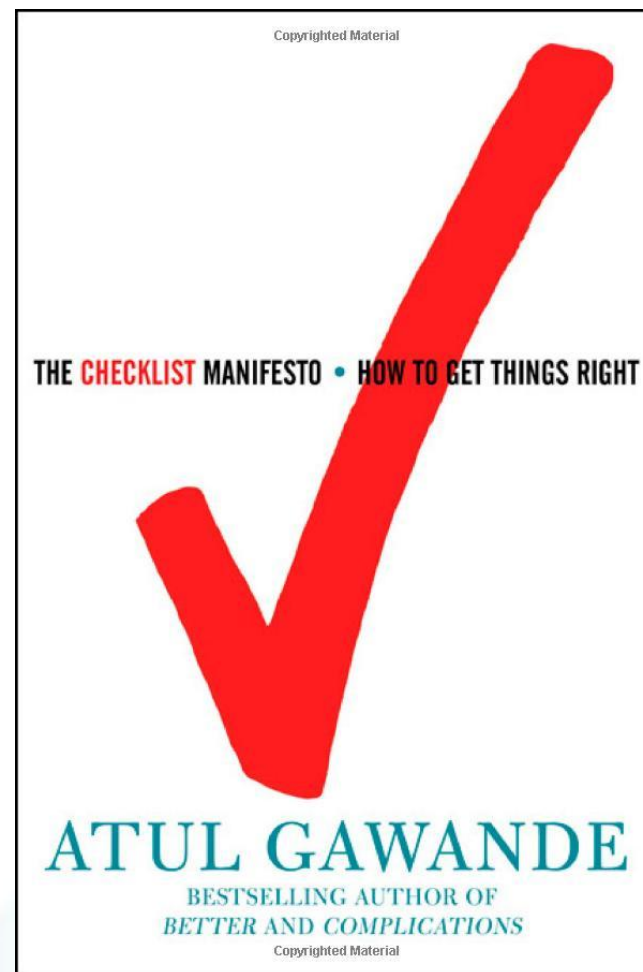
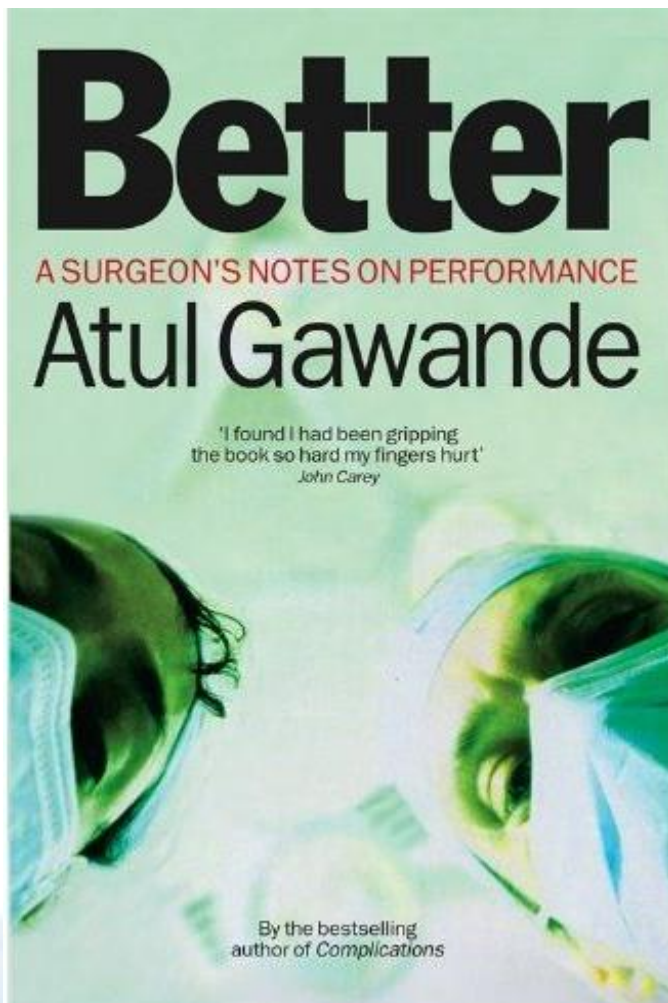
- 1. Was the event categorization appropriately justified?**
- 2. Was information gathering performed per the Events/Issues Management subject area?**
- 3. Was the causal analysis performed for this event/issue per the Events/Issues Management subject area?**
- 4. Was the outcome of the causal analysis sufficient to support the development of actions to prevent recurrence?**
- 5. Do the corrective actions address the identified cause(s)?**

The Event/Issues Management Checklist

- 6. Are the corrective actions tracked to closure?**
- 7. Are corrective action effectiveness reviews being performed when required per the Event/Issues Management subject area?**

How Many Medical Errors In The U.S. Result in Death Each Year?

- ~ 100,000



References:

- 1. Dr. D. Reeves, January 7th, 2010 Webinar - Motivating Staff and Students for a Great 2010, <http://www.leadandlearn.com/webinars>**
- 2. Dr. D. Reeves, December 14th, 2009 Webinar - Closing the Implementation Gap, <http://www.leadandlearn.com/webinars>**
- 3. “The Learning Leader,” Dr. Douglas Reeves, 2006**
- 4. “Transformative Assessment,” Dr. W. James Popham, 2008**
- 5. “Distracted,” Maggie Jackson, 2009**
- 6. Better: A Surgeon’s Notes on Performance, Dr. Atul Gawande, 2007**
- 7. The Checklist Manifesto: How To Get Things Right, Dr. Atul Gawande, 2009**

In the Spirit of Deep Implementation, Let's Slowdown, Let's Review!

- 1. What Motivates Us?**
- 2. What Is Formative Assessment?**
- 3. How Do We Improve Our Action Plans?**
- 4. What Can Derail Action Plan Improvement?**
- 5. What Should We Add To Our 2010 Business Plan?**