

Human and Organizational Performance

- HOP Overview 101



Rob Boyd

*Regional Human Performance Lead –
North America*

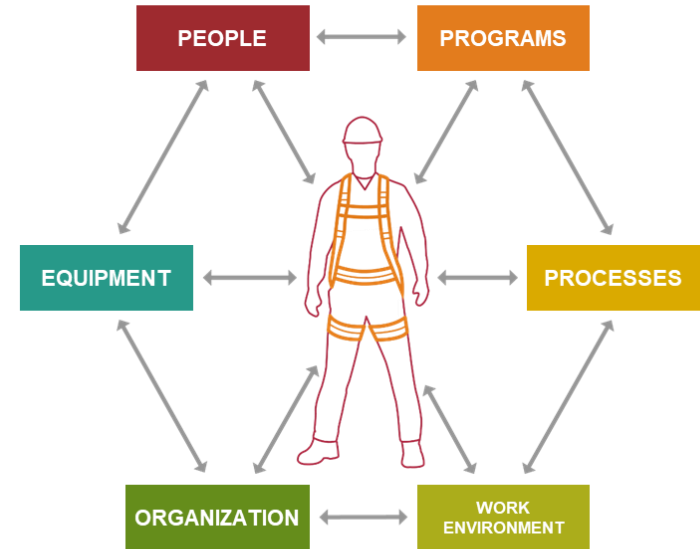
*Corporate Environmental, Health and
Safety*

Cargill

HOP as a System

90% of events are caused by something **OTHER THAN JUST** the individual

- W Edwards Deming – quality systems and systems thinking
- This does not remove the contribution or accountability of the individual
- To be effective, we need to understand both the system and the individual contributions
- “A bad system will beat a good person every time.”



Defining Human Error

- **An action or inaction that unintentionally:**
 - Results in an undesirable or unwanted condition **OR**
 - Leads a task or system outside of limits **OR**
 - **Deviates** from a set of rules, standards, or expectations
- Humans are error-making machines
- Error is not a choice
- Many errors do not impact performance
 - Our employees are experts at identifying that an error has occurred and correcting the issue before something bad can happen



A Violation is:

An action or inaction that *intentionally* deviates from a set of rules or expectations

Conscious intent to violate

Violations

For someone to commit a violation, that person

- Must know that a rule or standard exists;
- That the rule or standard applies to them; and,
- Consciously decide to deviate from the rule or standard

Violations are driven by context

- It is rare that someone committing a violation intends harm
- Our systems can create situations that force people to violate
 - Goal conflicts, procedures that contradict other procedures, local customs that conflict with other expectations

More about errors...

Count the number of times the letter “f” appears in the sentence below

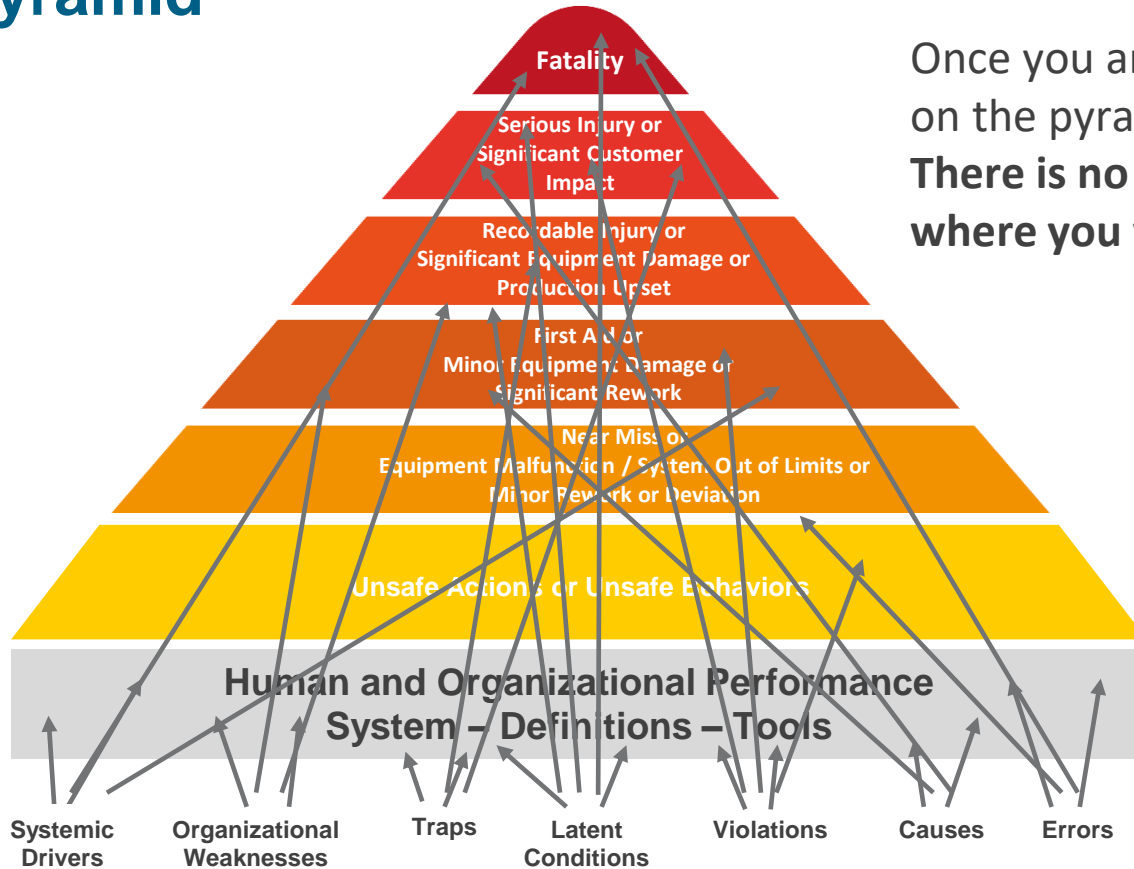


More about errors...

How many f's?



Safety Pyramid



Once you are on the pyramid...
There is no telling where you will land!

Focusing on SIF

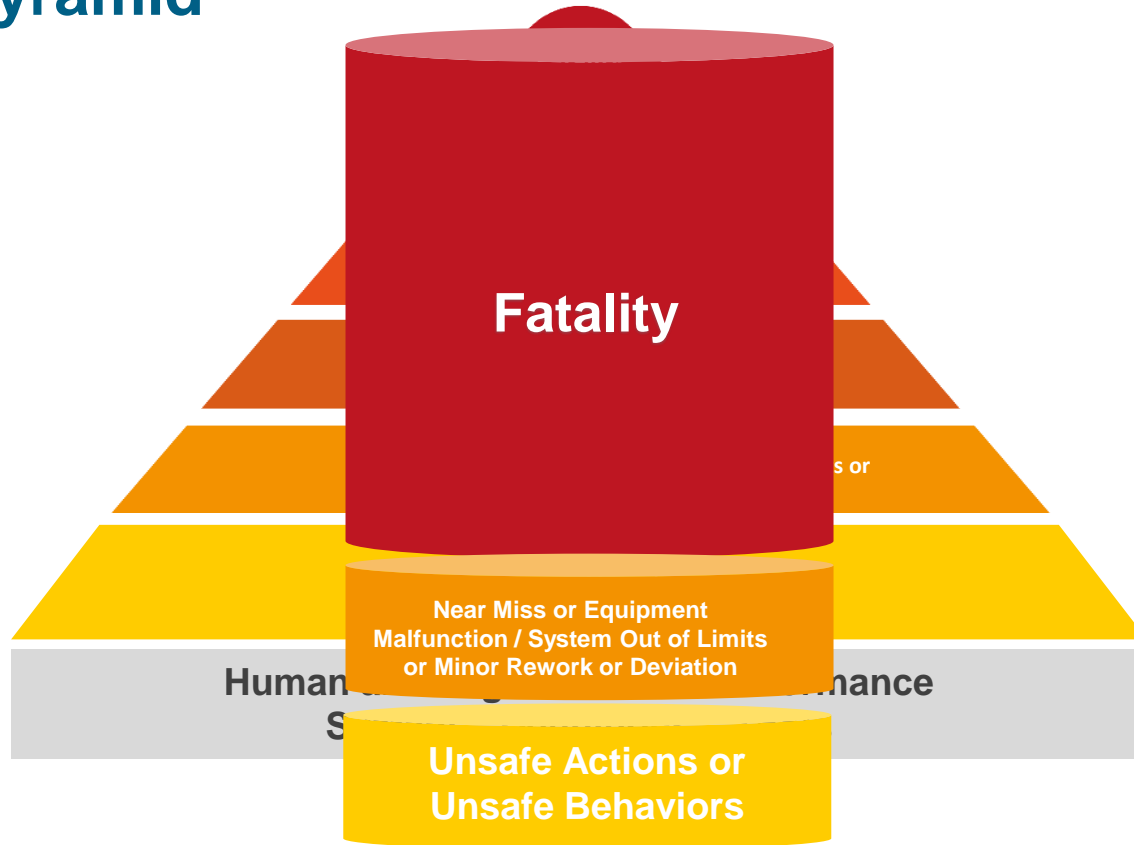
SIF – Serious Injuries and Fatalities

- Cargill has 12 LIFE saver activities where we are more likely to have a SIF exposure or SIF event
- Applying HOP thinking and methods helps us:
 - Identify systemic drivers and weaknesses
 - Look for single-point vulnerabilities
 - Verify the presence and capacity of the controls that keep us safe
 - Learn how well we support our employees and contractors performing high risk work

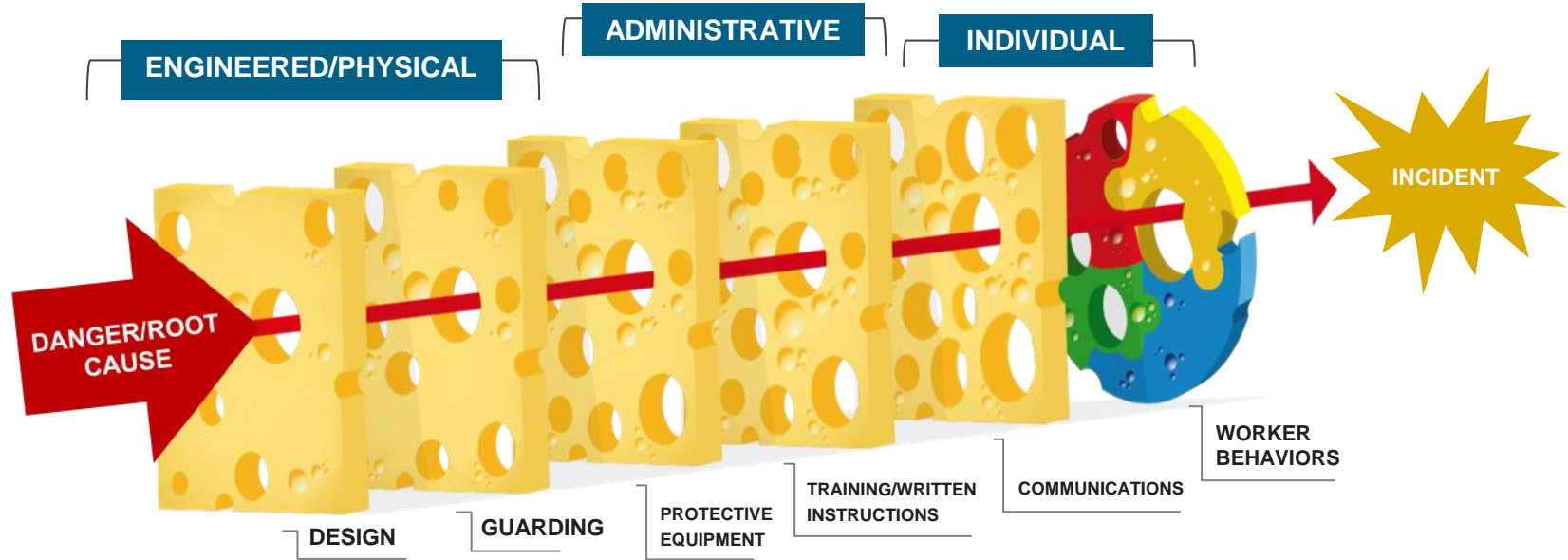
LIFE savers



Safety Pyramid



Swiss Cheese Model



Guiding Principles

People Make Mistakes*

People are fallible, and even the best people make mistakes.

Error-likely Situations are Preventable

Error-likely situations are predictable, manageable, and preventable

Organization Influences Behavior**

Individual behavior is influenced by organizational processes and values.

Positive Reinforcement Builds Trust

People achieve high performance because of encouragement and reinforcement from leaders, peers and subordinates.

We Learn From Past Incidents

Events can be avoided through an understanding of the reasons mistakes occur and lessons learned.

Deviations Are Rarely Malicious

Deviations are rarely malicious, but well-meaning behaviors, intended to get the job done.

Leadership Response Matters

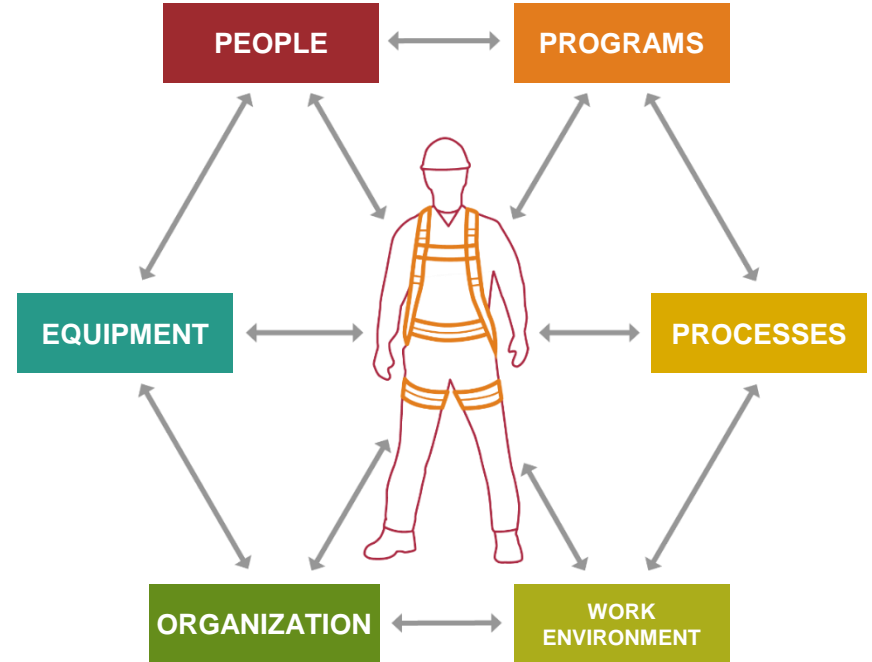
How leaders respond to mistakes and deviations matters.

Some Ideas to Take Home

“People do what they do , at the time they do it, for reasons that make sense to them at that time.”

Sidney Dekker

- Professor, author, airline pilot, key thought leader
- If we want to understand a person’s decision, we need to understand:
 - The information the person had when they made the decision
 - The situation that was developing around the person at the time
 - This context is important in understanding how our systems and our people interact



Some Ideas to Take Home

Shift from asking “why” to asking “how”

Rob Fisher

- The words we use influences the context and culture of our organization
- Shifting our language to asking “how” influences the way people look at events and opens the door to a deeper, more impactful learning
- Asking “why” too early can cut learning short because people try to draw conclusions or causes from limited data

Leadership Response Matters

How leaders respond to mistakes and deviations matters.

Some Ideas to Take Home

“We can learn and improve, or we can blame and punish. We cannot do both.”

Todd Conklin

- Blame fixes nothing
- Learning and improving is a deliberate strategy that requires reinforcement and demonstration
- This idea does not remove individual accountability
- Watch and listen for counterfactual statements
 - “Employee failed to follow procedure.”
 - “SOP was not used as directed.”
 - “Team failed to recognize a risk/hazard/issue.”

Leadership Response Matters

How leaders respond to mistakes and deviations matters.

Organization Influences Behavior**

Individual behavior is influenced by organizational processes and values.

We Learn From Past Incidents

Events can be avoided through an understanding of the reasons mistakes occur and lessons learned.

Deviations Are Rarely Malicious

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Performance Modes refer to:

This
person

This
task

This
time

Skill Based Performance Mode

Things we do out of:

- **Habit** or routine (*>50 – 100 successful completions*)
- **Not thinking** (*<7-15 discrete steps or actions*)
- Using little or no conscious thought
- Tend to have errors related to inattention, slips, or lapses of memory

**Error rate
is 1 in 1,000**

Skill Based Performance Mode

Performance Mode	Key Words	Error Rate
Skill Based	<ul style="list-style-type: none">- Habit- Autopilot- Using little or no conscious thought- More than 50-100x- Less than 7-15 steps	1:1000

Rule Based Performance Mode

There is a rule – and I know
there is a rule

Do NOT have to know the rule –
just that it exists so they can find
it and follow it

Errors happen when:

- Takes a short-cut
- Misapplies a rule or procedure
- Rule or procedure is WRONG



Error rate is 1 in 100

Rule Based Performance Mode

Performance Mode	Key Words	Error Rate
Skill Based	<ul style="list-style-type: none">- Habit- Autopilot- Using little or no conscious thought- More than 50-100x- Less than 7-15 steps	1:1000
Rule Based	<ul style="list-style-type: none">- There is a rule and I know there is a rule- Application of stored knowledge- Rules can be written or unwritten	1:100 (from memory, less than 7 steps)

Knowledge Based Performance Mode

You don't know what you don't know

- Problem solving
- Engineering
- Troubleshooting
- Confusing situations
- Having questions

Error rate:

1:2 – 1:10

(yes, that is 10 – 50%!)

**You can't THINK
your way out!**

Knowledge Based Performance Mode

Performance Mode	Key Words	Error Rate
Skill Based	<ul style="list-style-type: none"> - Habit - Autopilot - Using little or no conscious thought - More than 50-100x - Less than 7-15 steps 	1:1000
Rule Based	<ul style="list-style-type: none"> - There is a rule and I know there is a rule - Application of stored knowledge - Rules can be written or unwritten 	1:100 (from memory, less than 7 steps)
Knowledge Based	<ul style="list-style-type: none"> - Lack of knowledge - You do not know what you do not know - Troubleshooting, problem solving - You cannot think your way out 	1:2 to 1:10

Performance Modes

- We constantly shift between the three performance modes
- Performance Modes are neither good nor bad
- Performance Modes can indicate where we have a higher risk for failure, and where we need to invest more time, attention and resources
- There is a natural bias toward Skill Based Performance Mode
- Remember that context is important – This Person, This Task, This Time

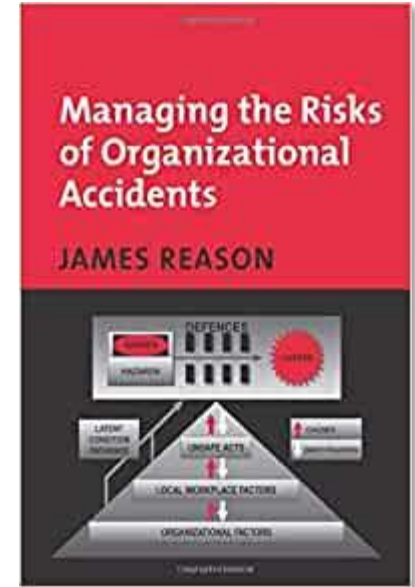
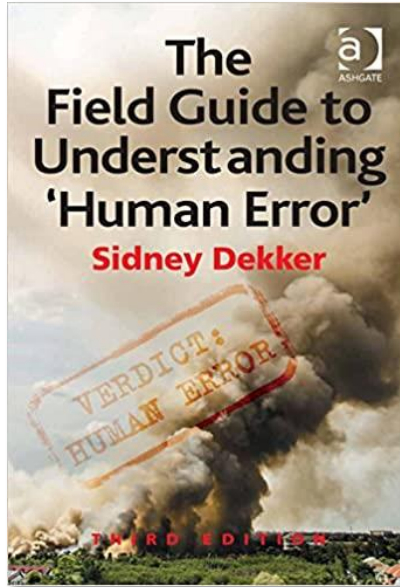
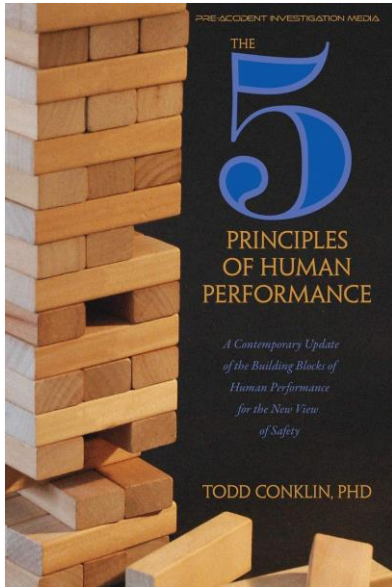
Where to Learn More...



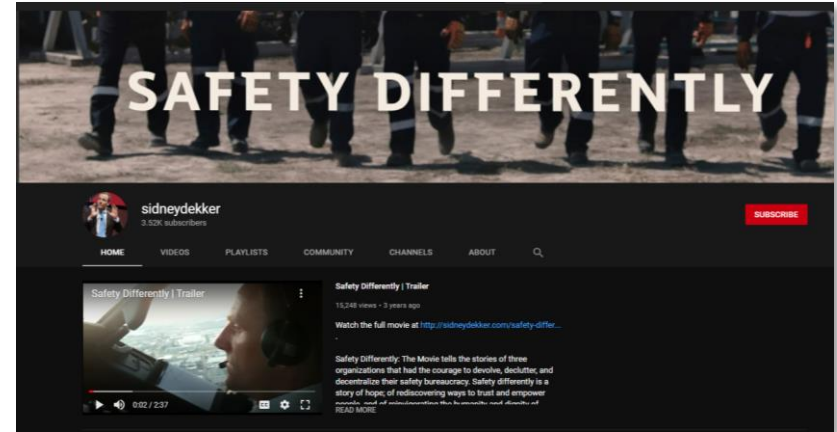
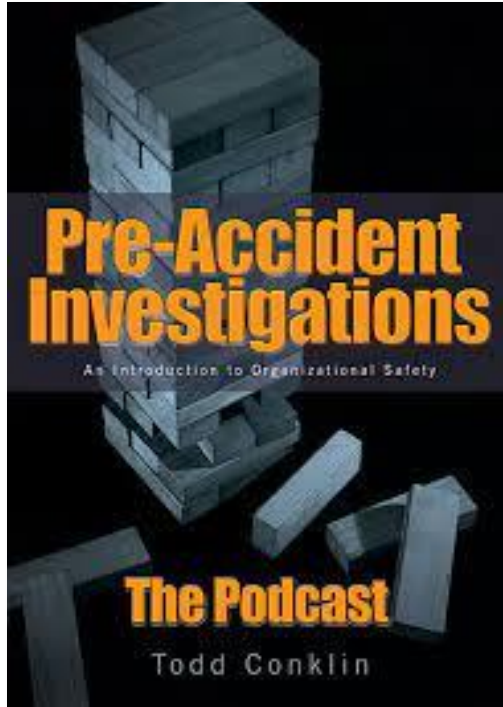
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