

Human factors, risk and safety - perspectives and approaches -

AHRI WHS/Risk Management Network Event

21 July 2015

Facilitated by Dr Richard Barber, RiskIQ

Facilities provided by HWL Ebsworth

Human factors, risk and safety



What are your experiences of the link between human resources and risks to your organisation's success?

How are such risks currently managed, and how well?

How does this change if the focus is on safety, not risk in general?

What are the capability/practice gaps that matter? What would you like to do better, or have others do better?

A public sector organisation in Qld (2008)

What is driving our performance?

Systemic risk analysis

- Data collection
- Collation and mapping
- Pattern and relationships analysis
- Executive insight workshops



No:	Risk Title
1	Micro-management, over control
2	Internal barriers or stovepiping
3	Levels of discretion set too low, lack of devolution
4	Personnel issues not well managed (see R14)
5	Unclear heirarchy (see also R26)
6	Variable recruitment quality
7	Inconsistent leadership processes and behaviours
8	Poor process, or inconsistent use or documentation of processes
9	Audit centric, control oriented, (always want backside cover, risk averse)
10	Lack of resources verses workload (people)
11	Ineffective communication including feedback
12	RMS may determine how we work, and limit our future thinking
13	Reduced people engagement
14	Performance is not managed well (+ive or -ive)
15	Inwards focus and an inability to learn/adapt quickly. Insular.
16	Workforce risk
17	Churn and inefficiency caused by over-use of relieving (and temporary staff)
18	Lack of harmonisation with and learning from other states, agencies
19	Poor client engagement
20	Ineffective risk management
21	Poor strategy implementation (espoused verses extant verses needed strategy)
22	Lack of rigour and thinking in reports, analysis, advice, can't say no
23	Ineffective engagement with key external stakeholders esp Govt. Loss of reputation with them
24	Don't finish projects - ongoing change without finishing. Poor project management.
25	Australia-wide changes to taxation arrangements may make our role less critical to Govt
26	Lack of clarity of accountability, ownership, wrong level of work done, (non-requisite).
27	Inability to make decisions effectively and efficiently, risk aversion, can't say no
28	Advice going public, and going wrong, FOI issues - only an issue with 23 & 33
29	Culture issues - Two cultures - old and new, clashing
30	Top team not a team
31	Lack of training, knowledge, skills, capability in individual people for the work they need to do
32	Lack of shared view (vision), what that means for each person, clarity of expected behaviour
33	Risk of litigation

Initial list of organisational risks

Map of those risks

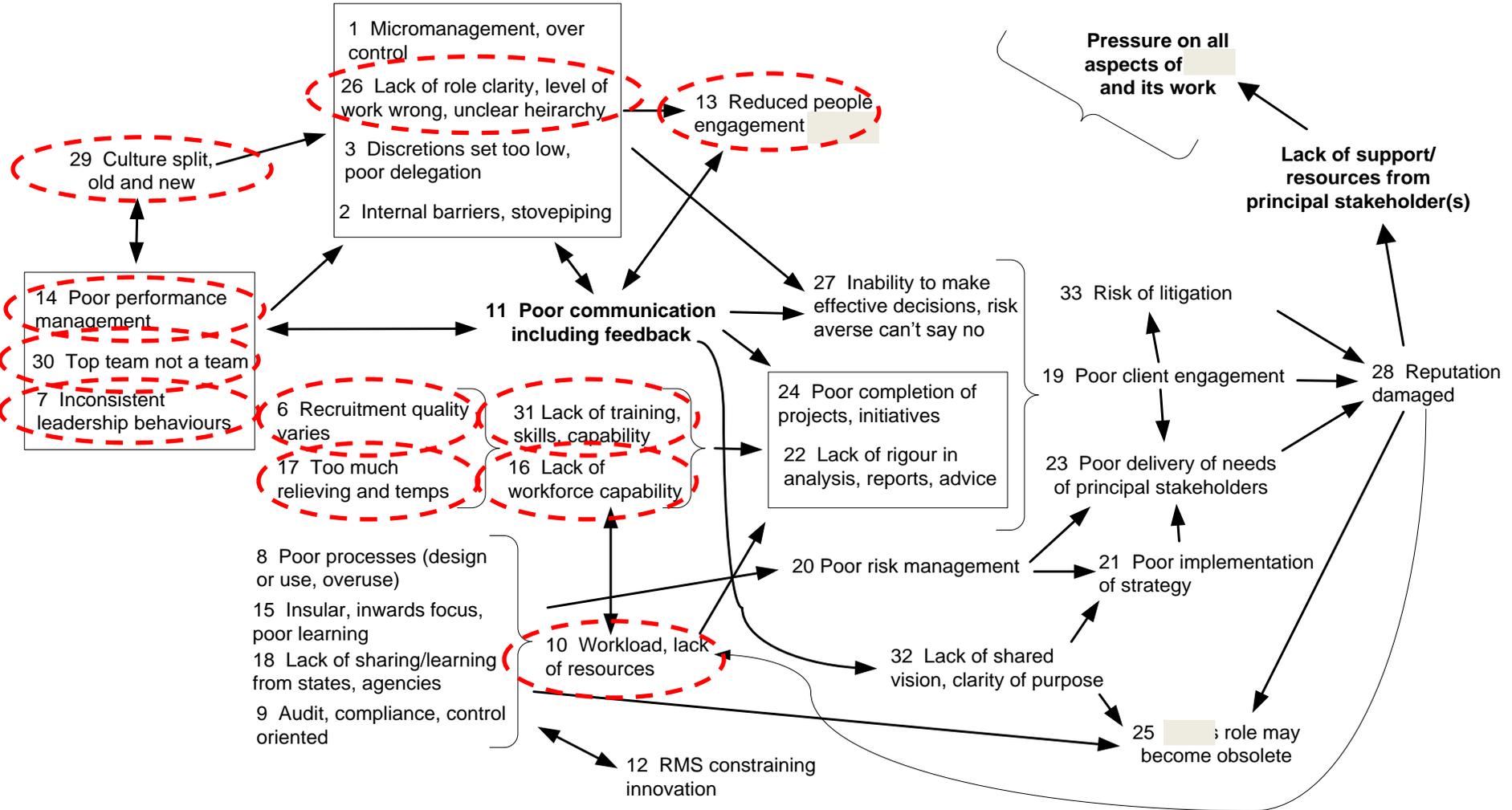


Risk Name : Initial Risk Relationships

Risk ID No: Overview 1

Date of Map: 14 Jul 08

Risk Description: A view of how the risks initially identified relate to each other



Risk Name : Stakeholder Engagement

Risk ID No: SR1

Date of Map: 14 Jul 08

Strategic risk culture map



Risk Description: Loss of engagement with (and relevance to) principal stakeholders may limit [redacted]'s sustainability

Possible Underlying Beliefs (culture)

- Staying under the radar is how a person survives and succeeds [redacted]
- Tax information is our secret and should not be shared
- Courier Mail test is good – it makes us safety-first*
- We know best
- Doing the basics right is how [redacted] succeeds
- [redacted] is special
- We are victims of unreasonable external people and influences – so we have to defend ourselves

Observed Behaviours

Our communications with external stakeholders are not always open and frank

We fail to proactively to deal with issues with external clients

The ED is sometimes not given frank and fearless advice

We are not good at properly finishing what we start (projects)

Even after agreeing to a major change we get stuck in the detail and slow things down

We have multiple client management strategies [redacted]

[redacted] does not always respond well to the Government's priorities

[redacted] takes financial problems [redacted] – only to find later that they were not real.

Regardless of our rhetoric, what we do often demonstrates (to external stakeholders) that we are insular and slow-moving

The expected benefits of the RMS are not being realised (in the eyes of treasury).

Consequences

We don't manage [redacted] or the Minister as well as we could and should

Treasury and Minister are frustrated by [redacted]'s procedural rubbish

In the eyes of stakeholders, other agencies and States we can be seen as:

- slow moving
- blocking
- stuck in our thinking
- much less effective than we claim to be
- uncooperative

[redacted] does not have the influence it wants or needs with external stakeholders

[redacted] see [redacted] providing "convenient data" about resources

[redacted] see [redacted] "jealously" protecting its own interests

Influences on Strategic Risks for [redacted]

Over time, [redacted] may win less resources and it may lose control over how it approaches its mission

[redacted] may cease to be seen as relevant to the Government's needs

[redacted] principal stakeholders may not think that [redacted] is special - quite the contrary

Currently we are pretty close to our political masters .. but there is a risk of that breaking down

Environment

- Minister's don't want to take risks – they want [redacted] to provide advice that will match their decision
- Everybody wants advice and action instantly
- [redacted] and the Minister have some current beliefs about [redacted] (its reputation)

RMS is considered to be a major investment that must have pay-back

- Many of [redacted]'s services could be provided elsewhere – even interstate.
- Centralisation (to Canberra) reduces the State tax base

The Minister's office some makes demands that (seem to) show no respect for [redacted]'s situation and needs

Principal stakeholders are asking where the savings are

Key stakeholders expect the ED to make a fundamental change in [redacted]'s way of operating

[redacted] may have a limited life in its present form – it faces the possibility of competition from others to provide its services, and a shrinking tax base.

To survive, we need to be seen to be visibly changing, learning, leading, adding new value

In an Office like this, its not possible to stay under the radar.

The Government sees other options emerging, to get done what it needs done

There is a distinct gap between expectations and current perceptions

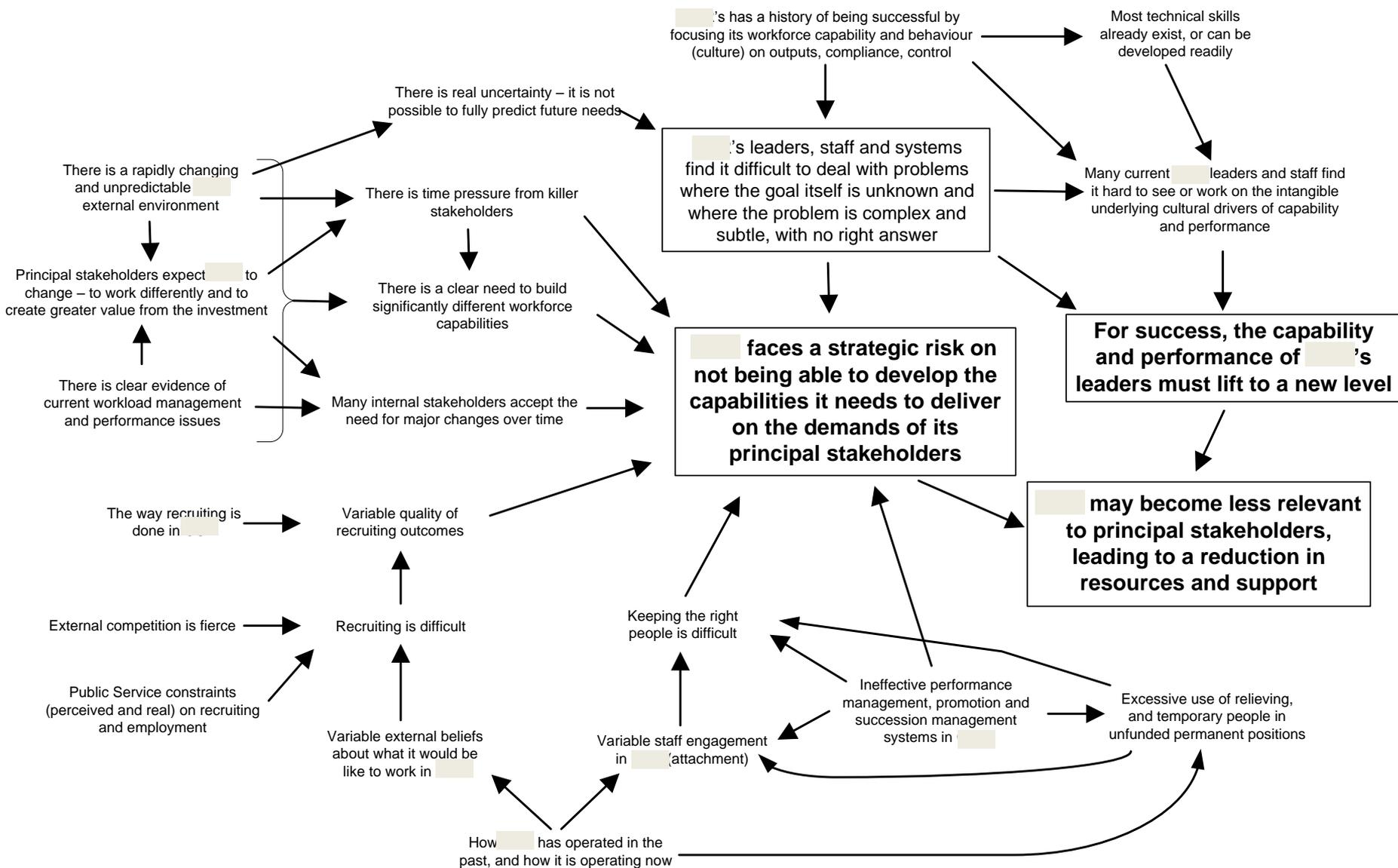
Time is running out for [redacted] – there is urgency to change

Risk Name : Workforce capability

Risk ID No: SR2(2)

Date of Map: 14 Jul 08

Risk Description: [redacted] may fail to create the workforce capability necessary for sustained future success



Workforce capability



Overview of dynamics: There are many contributing dynamics. However the key drivers are:

- (1) a process-based approach to recruiting that reflects the old culture, in a competitive marketplace
- (2) variable engagement of existing staff, exacerbated by inconsistent leadership, temp roles etc
- (3) poor management of performance, exacerbated by lack of clarity of the behaviours required
- (4) lack consistent work to change the culture, held in place by leadership behaviours (e.g workload mgt)
- (5) lack of effective succession management work by leaders

Treatment Actions: (Short term, quick wins)

- EMG leads by example, implementing role and performance management as a matter of priority
- Plan and conduct a marketing campaign to attract capable people

Treatment Actions: (Long-term, systemic)

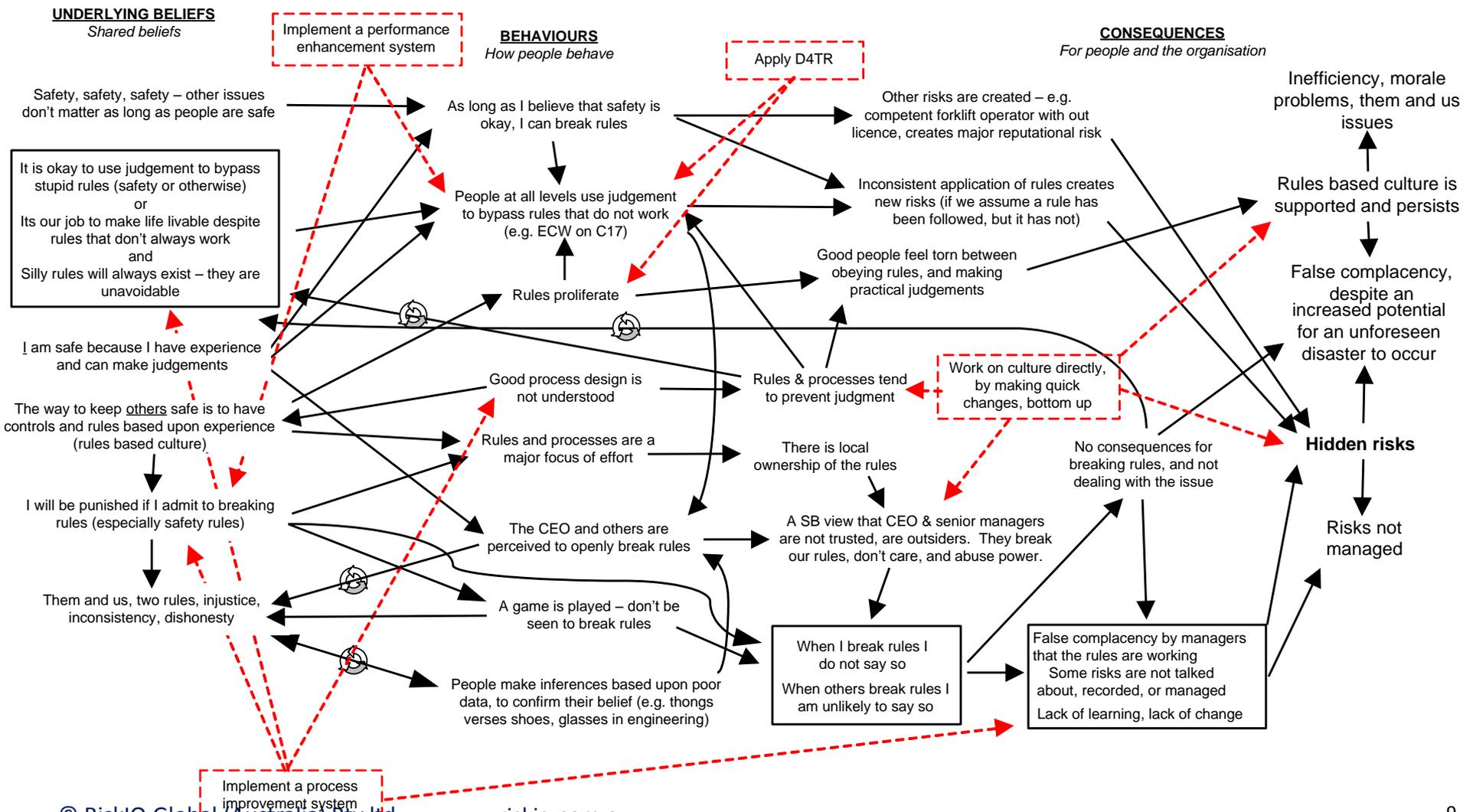
- Develop & implement a long-term workforce development strategy, using marketing/engagement skills
- Implement effective performance enhancement and succession management systems
- Implement effective behaviour-based role descriptions, based upon role capability and behaviours
- Design and implement effective recruiting processes – with emphasis on selecting for capability

Antarctica New Zealand Culture Map

Date of Map: Jan 07

Hypothesis: A lot of energy goes into safety at Scott Base, but there are some blind spots

Descriptive Hypothesis: Good people trying to make good rules, but not always understanding how to design processes and rules that support the use of judgement. Processes should provide the data needed so that judgement can be applied – not lead to a rules-based decision. The ‘unbalanced’ use of rules and processes to control safety leads to the need to apply judgment to break rules, and this creates perverse beliefs and behaviours.



Open Discussion



What can we learn about people and risk?

What is the best “risk management” role for professional HR staff?

Is there any special insight about safety?

RiskIQ's network of colleagues, clients & collaborators



Our clients in 2014/15

National Affordable Housing Consortium
(Brisbane)

Thales Australia
(Sydney)

Department of Conservation
(Wellington)

Queensland University of Technology (QUT)

Power and Water Corporation
(Darwin)

International Centre for Complex Project Management
(Canberra)

Army Aviation Systems Branch
(Brisbane)



Collaborators & Contributors

Crowe Horwath (Brisbane) **Oplus Pty Ltd** (Sydney)

Innovation Edge (Brisbane)

Australian Risk Policy Institute (ARPI) (Canberra)

International Centre for Complex Project Management (ICCPM) (Canberra)

Riskflo Associates Ltd (Sydney)

Manex Pty Ltd (Brisbane)

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