



26th Annual ASQ Audit Conference
Blueprint for a Successful Audit

October 9 - 11, 2017 • Pre-conference Courses
October 12 - 13, 2017 • Conference

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Human Performance and Accountability in Auditing Discussion

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10:45 AM – 11:30 AM 13 October 2017

Objectives:

- Orient to the impacts and risks of human performance issues during audit planning and action
- Identify lessons learned and anticipated risks of the impact of worker decisions on process activities
- Discuss and expand upon shared approaches to using measurements, responsibility and accountability to reduce process errors and minimize impact to audit readiness.

An Effective Audit

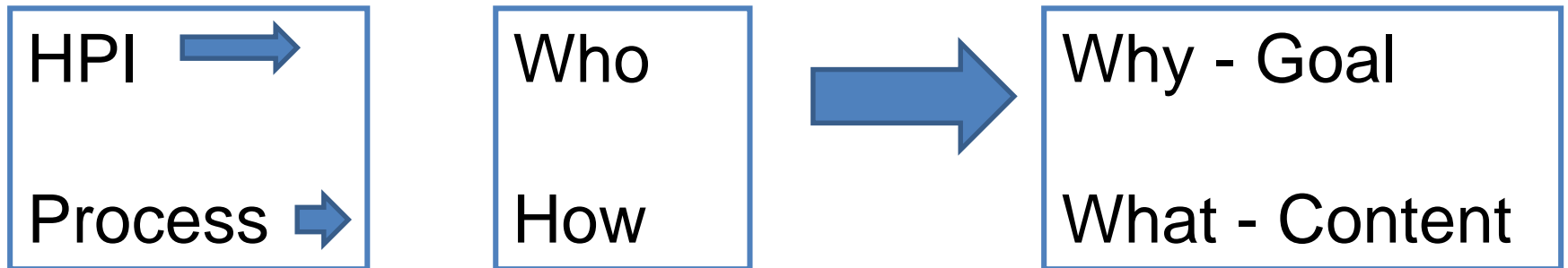
Requires documentation that shows we do what we say we do.....

So, what gets in the way?

Definition: Human Performance Improvement

- Related to process improvement methodologies
 - Lean
 - Six Sigma
 - Human factors
 - Training, etc.
- Focused on improving performance at societal and individual performer levels
- Stresses a rigorous analysis of requirements to identify causes for performance gaps, etc.

Human Performance versus Process



Some human performance traps

- Time pressure
- Distractions/
Interruptions
- Overconfidence
- Mental stress/
Fatigue

- Vague/ Interpretive
guidance
- Peer pressure
- Multi-tasking
- Physical
environment

Sowers, Managing Performance Improvement HPI Coaching and Observation,
Knowledge Vine, LLC 2016

Some human performance tools

Individual Tools

- Self-check
- Questioning attitude
- Procedure usage/
Adherence
- Second check

Team Tools

- Critical step check
- Peer checking
- Effective
communications
- Post-job review

Impact of human behavior on the audit process

- Automated versus “Humint” auditable information gathering
- Barriers to effective human-based information gathering
 - Accountability
 - The “hero syndrome”
 - Transitions from one activity to another
 - Documentation
 - Time pressure
 - Others?

Human Performance versus Process



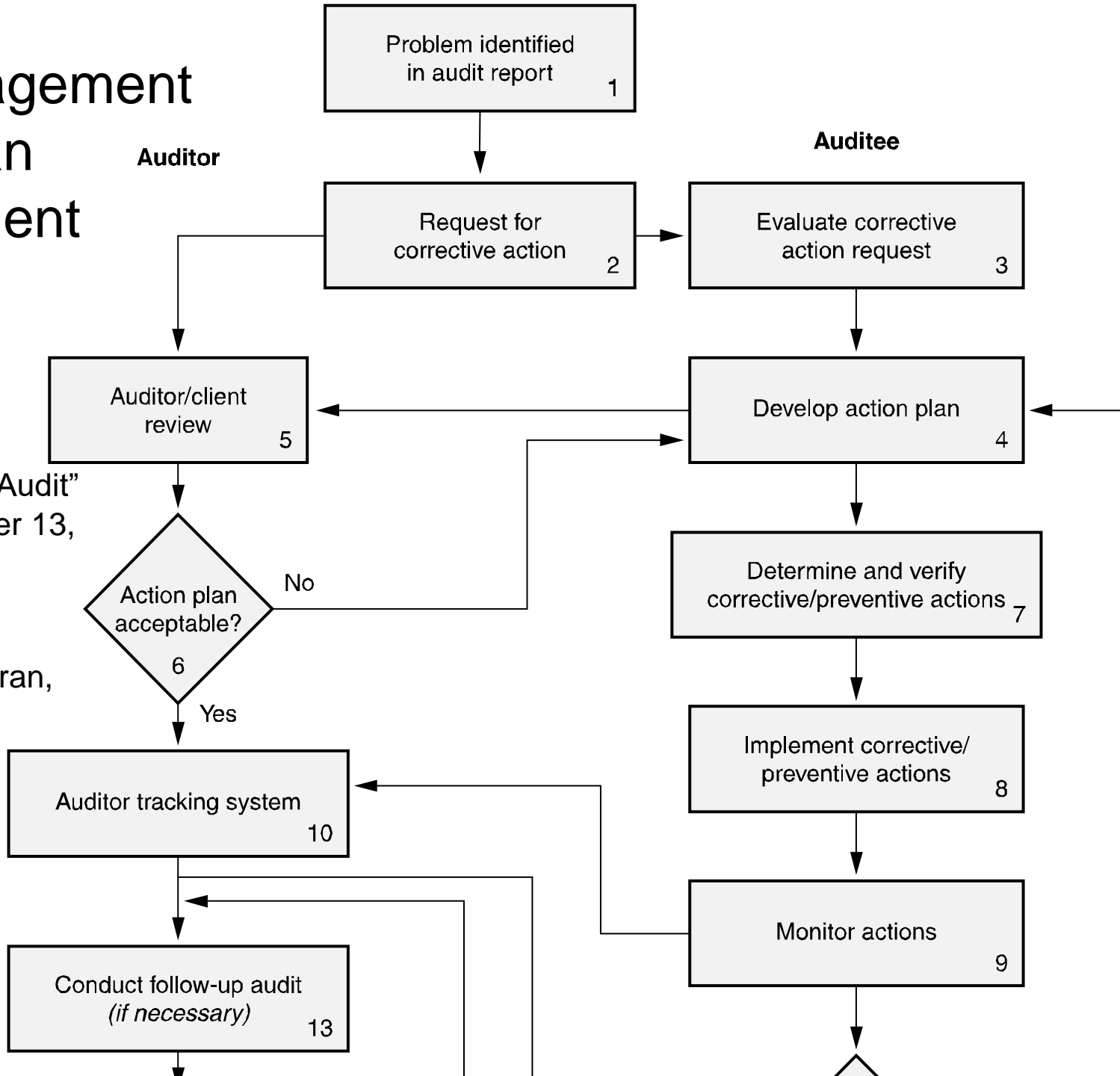
With all due attribution to Scott Adams....

TUESDAY

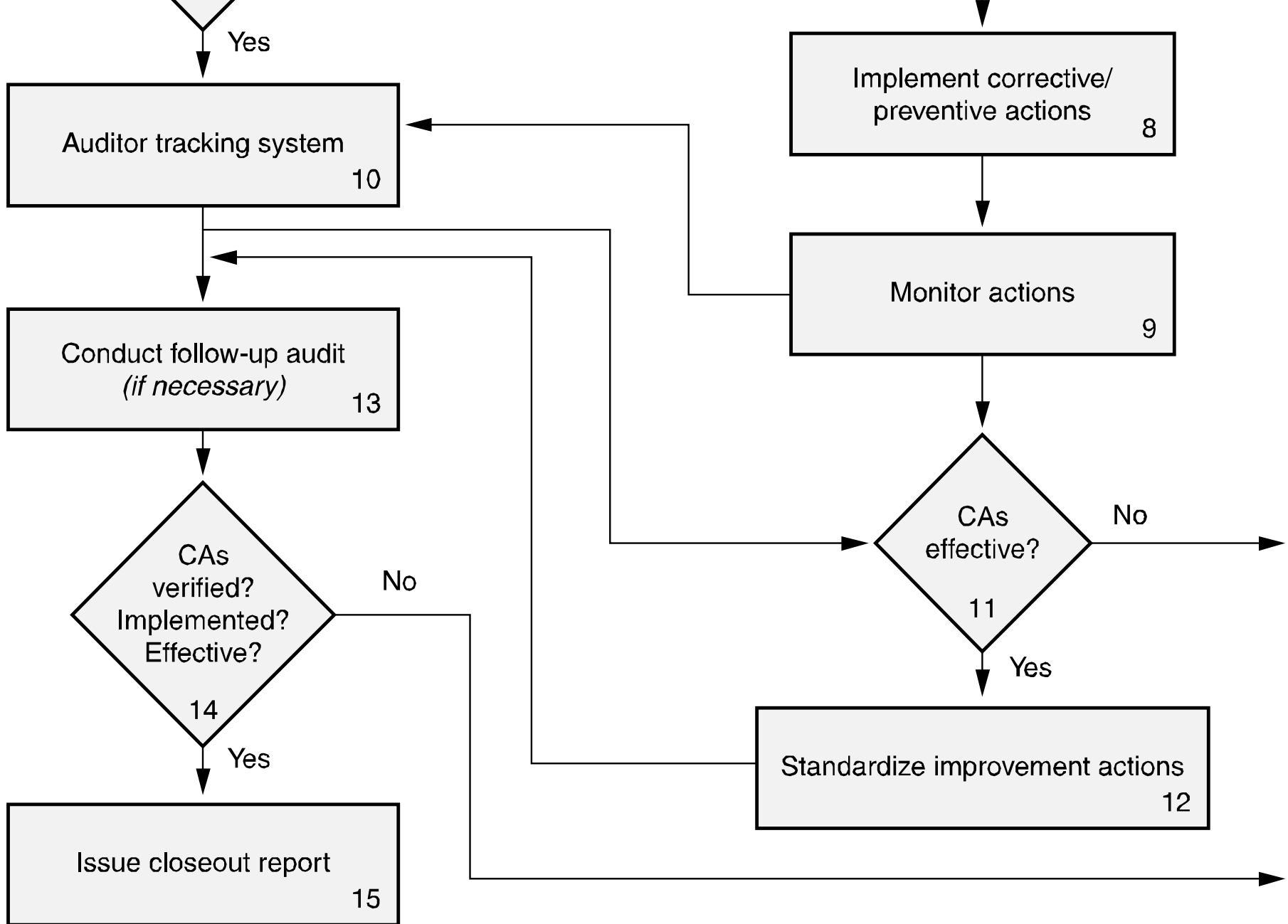
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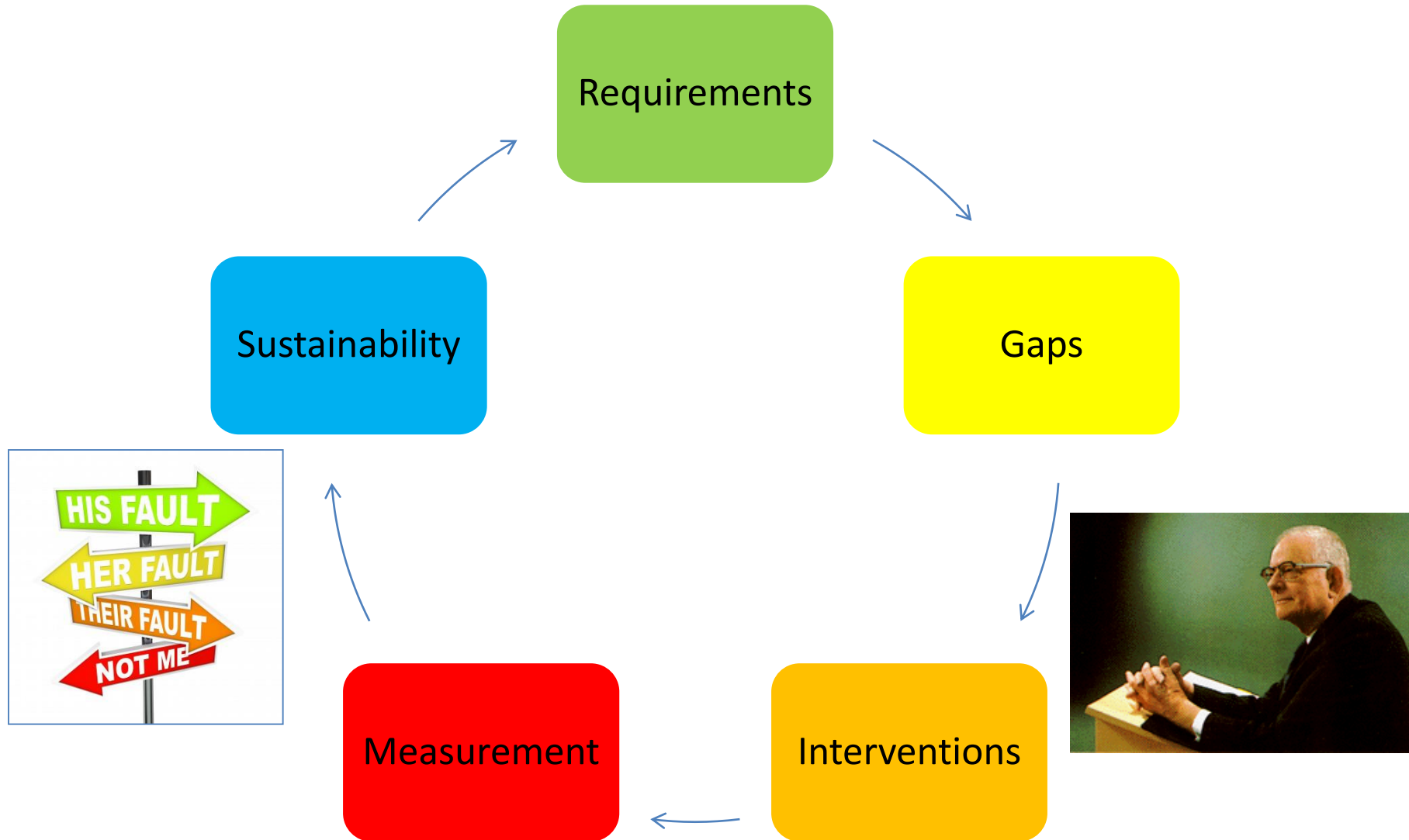
The Management Audit as an Improvement Process



“The Management Audit”
Terry Regal, Chapter 13,
Executive Guide to
Improvement and
Change, editors,
Beecroft, Duffy, Moran,
2003



Human Performance versus Process Focus



Activity: Brainstorming and Affinity

- In groups of 3 or 4:
 - Choose a scribe to capture ideas, one per stickie note
 - discuss for 5 minutes:

What risks have you encountered to audit planning and action due to human behavior?

- Volunteer ideas as desired during activity debrief
- Hold your stickie note ideas for next Affinity activity

Three measurement areas:

Measure	Definition
Capacity	The maximum output rate measured in terms of some type of units provided per period of time.
Process	How the process is performing in hits current state.
Outcome	The result of a process output. Used to gauge the success of a process.

Affinity activity

- In groups of 3 or 4:
 - Choose a scribe to organize stickies into categories
 - discuss for 5 minutes:
- Organize the stickie notes from the previous brainstorming activity into impacts related to:
 - Capacity
 - Process
 - Outcome
 - Other
- Volunteer ideas per category – What “others?”

The RACI Matrix Can Initially Look Quite Complex

		Roles of Individuals						
		R		A		C		I
Decisions or Activities	A	R						
	I		R					
	C			A				
	R				C			
						I		
							R	
								A

RACI's provide lots of information in a very simple format

R = Responsible (execute)
A = **Accountable** (Yes or No)
C = Consulted before
I = Informed after

Use existing measures for accountability to minimize risk

- Focus the enterprise on what is important
- Link strategy and tactics
- Help assess performance against a baseline
- Provide feedback that guides change
- Supply support for business cases

Use Layered Process Audits for Validation

- Start with daily activity logs
- Do daily activities meet process and outcome measures?
- Roll “daily audits” up to team or department audits
- Are measures aligned vertically to meet next higher layer of requirements?
- Strive for total alignment of Key Performance Indicators from front line to executive office.

A blended perspective integrated with Systems Thinking

Findings from my research indicated it is important to integrate multiple HPT (technology) and non-HPT frameworks when addressing multiple performance issues, which may be strategic, tactical-operational, or foundational in nature.

Dr. Kenneth Roberts, CPT: A HUMAN PERFORMANCE TECHNOLOGY
PRACTITIONER PERSPECTIVE, ISPI 2016

Additional reading

- Dave Sowers, Managing Performance Improvement, HPI Coaching and Observation, Knowledge Vine, LLC 2016
- Rob Fisher, Advanced Error Reduction in Organizations, Fisher Improvement Technologies, presentation, 2016
- Kenneth Roberts, PhD, CPT, A Human Performance Technology Practitioner Perspective, International Society for Performance Improvement, 2016
- Mark Whitworth, Five Ways Paper-Based Audit Programs Block Quality Improvements, Quality Digest, 7/31/2017

Discussion

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