

Debriefing and lessons identified

Presented by: Gareth Jones MSc MBCI

15 July 2008

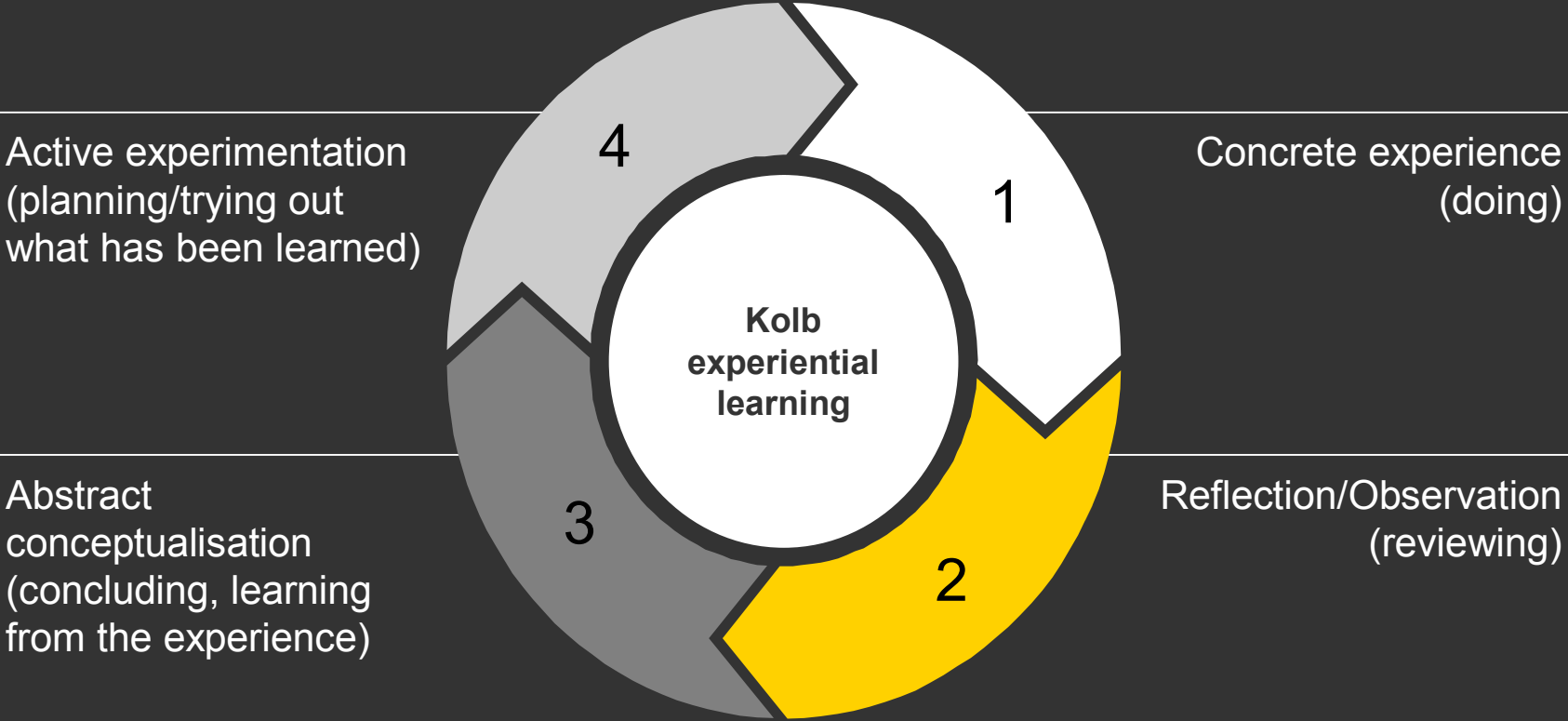
 **ERNST & YOUNG**
Quality In Everything We Do

Agenda

Business Continuity Management (BCM)

- ▶ The debriefing process
- ▶ What skills are needed for effective debriefing?
- ▶ Measure success – did we get value from the test/exercise?
- ▶ Learning from real incidents and the case for isomorphic learning

Why do we need a process?



Debriefing provides the vehicle to reflect and learn

The debriefing process

- ▶ Hot debrief – conducted immediately after the ‘play’ has stopped
 - ▶ What went well, what didn't and what should we change
 - ▶ Forms, reflection, good, learning and the one thing
- ▶ ‘e’ survey
- ▶ Main or ‘cold’ debrief
- ▶ Data gathering – how will learning be illustrated
- ▶ Reports
- ▶ Action planning and follow up

Appropriate debrief provides the opportunity to ‘fix’ learning

Skills for effective debriefing

Facilitation skills:

- ▶ Understands value of preparation and rehearsal
- ▶ Understands stress and its causes
- ▶ Can do active listening – open questions – iterate feedback
- ▶ Has objectivity
- ▶ Observation, tuned in?
- ▶ Can apply analysis skills – can help people reflect and pin down what the learning point is for them
- ▶ Soft people skills – sensitivity to people and group dynamics – has ability to flex approach
- ▶ Has sense of humour

Facilitators are the catalyst to enable people to learn

Measuring success

- ▶ Measure against the aims and objectives of the exercise
 - ▶ How good are the objectives of your exercise and do they actually have quantifiable learning objectives?
- ▶ To be able to measure success you need to define what it is – this is the exercise architects task (and sponsor?):
 - ▶ The design needs to consider how the learning might take place and through what triggers/prompts it could be achieved
 - ▶ What should be evaluated by the exercise team and observers – metrics, checkpoints, outputs?
 - ▶ Would the report stand up to scrutiny and audit?
 - ▶ Does the person making judgement on success have the experience or objectivity to do so?

Better exercise design should enhance the learning opportunity

Did we get value from the test or exercise?

- ▶ How do you rate the value of establishing the case for change
- ▶ Measuring capability is difficult – plans, people and resources
- ▶ What value is the opportunity for people to test their assumptions – i.e., ‘get it’
- ▶ Post incident reviews on performance after real incidents suggest exercises do prepare people for their roles and reduce stress
- ▶ What value is put on ‘high reliability’ or providing the probability of the best performance?
- ▶ How do you measure confidence?
- ▶ How do you measure the value gained for ‘leaders’ to show they can lead?

Experiential learning makes strong case for change

Learning from real incidents and the case for isomorphic learning

Case study:

- ▶ News is coming in concerning our incomplete factory in Belgium, it is a public holiday
- ▶ There has been some form of explosion, the cause is unknown
- ▶ It seems that there have been at least six fatalities among our people and within the emergency services
- ▶ The country manager is en-route to the site, the CEO is in the USA
- ▶ The press don't seem to have connected that it is one of our factories yet
- ▶ There is confusion as to what the cause is
- ▶ The corporate communications director is out of the country

near miss

Situation or loss that has been averted due to chance and/ or exceptional employee vigilance, and whose potential impact can be estimated (Draft BS 31100 Code of practice for risk management)

Research: MSc research objectives

Four objective areas:

1. To establish how BCM managers learn (if they do) from EEICs
2. To establish what processes and tools (if any) BCM managers use to learn from EEICs
3. To establish the extent to which the learning processes of BCM managers could be called isomorphic
4. To investigate if there was any activity which could be recommended to improve BCM practise

Findings:

- ▶ About 60% do some form of learning process
- ▶ Most processes are not automatic, convened ad-hoc
- ▶ Most tools are ad-hoc, rarely are costs defined
- ▶ Very mixed bag on learning from others – various barriers – all wanted to but barriers, such as confidentiality intervened
- ▶ All were in favour of more prescriptive approach to learning

Learning process in BCM systems is generally ad-hoc

Isomorphism: learning from others

Isomorphism

Event isomorphism

Different events but identical effects – the same hazardous situations created
e.g., train crashes (SPAD and Signal failure)
e.g., water movement (Herald of Free Enterprise & Estonia)

Cross - organisational isomorphism

Separate organisations within same industry
e.g., airlines, Pitt Review

Common - mode isomorphism

Separate organisations in differing sectors but same/similar techniques
e.g., learning from foam fires, Pitt Review

Self - isomorphism

The org is so large that learning from within business units could take place
e.g., knowledge management

Source: Toft and Reynolds: Learning from Disasters 1999

Learning from others requires deliberate application

Research: maturity model?

1	2	3	4
HSE accident investigation			
Source: Accident Investigation: The Drivers Methods and Outcomes' (HSE: 2001)			
No formal support or procedures for incident investigation.	Support focuses on representation of events and casual analysis typically limited to immediate causes and associated recommendations	Support encourages richer causal analysis with immediate and underlying causes usually distinguished; can include formal assignment or responsibility and accountability for implementing and reviewing corrective actions.	Combines the structure of Approach two with the application of specific causal analysis tools which support the identification of underlying causes.
BCM learning maturity model?			
Ad-hoc	Limited learning systems are in place	Learning systems are in place, including for near misses and with key partners. Formal tools are used and action tracking takes place	Highly responsive to changes in external and internal environment and learning to ensure continuity and crisis management arrangements are leading practice. Trend and signal detection in use

What level of maturity of learning process do you have?

The case for deliberate learning

- ▶ Military/emergency services – learning is embedded and expected
- ▶ From audit experience – ‘learning organisation’ is rare
- ▶ Until recently standards had very little reference to learning systems:
 - ▶ **BS25999** in section 11.3 Awareness: The organization should have a process for identifying and delivering the BCM awareness, one of the activities in the programme could be ‘learning from internal and external incidents’
 - ▶ **ISO 22399:2007 IPOCM** – in Performance Assessment section: Proactive monitoring should be used to check conformity and effectiveness of the IPOCM program, while reactive monitoring should be used to investigate, analyze, and record system failures, events and disruptions, including near-misses
 - ▶ **COBIT4**: Root cause analysis: Process of learning from consequences, typically of errors and problems

Learning is now an articulated part of BCM

So what: post EIC requirements?

What	<ul style="list-style-type: none">▶ Process – what is it?<ul style="list-style-type: none">▶ Debrief, after action report, hot wash-up, post incident/invocation review, investigation?
Objective	<ul style="list-style-type: none">▶ Conduct a frank, critical and straightforward look at the learning possible (what happened, what should have happened, what went well, what can we learn, what needs doing going forwards)
When	<ul style="list-style-type: none">▶ Within days, automatic process? (the window rapidly closes)
Where	<ul style="list-style-type: none">▶ Can be held on 'neutral' territory
Who	<ul style="list-style-type: none">▶ Those affected and those who have the accountability and responsibility (RACI)▶ Conducted by independent party
How	<ul style="list-style-type: none">▶ Method to achieve positive outcome▶ Agreed timeline▶ Data gathering and feedback

Conclusion

- ▶ Debriefing provides the vehicle to reflect and learn
- ▶ Appropriate debrief provides the opportunity to 'fix' people's learning
- ▶ Facilitators are the catalyst to enable people to learn
- ▶ Better exercise design should enhance the learning opportunity
- ▶ Experiential learning makes strongest case for change
- ▶ If post incident review is not automatic – it does not take place? What learning requirements are in your BCMS?

Some further reading

- ▶ Collinson. C and Parcell. G: Learning to Fly Hood and Jones – Accident and Design
- ▶ Kees Van Harperen (Risk Management Journal 2001. Paper: the value of Simulation Exercises for Emergency Management in the UK)
- ▶ Lagadec: book – Preventing Chaos in a Crisis and paper – Learning Processes for Crisis Management in Complex Organisations
- ▶ Mitroff – books
- ▶ Senge: The Fifth Discipline
- ▶ Smith and Elliott – various papers : Exploring the barriers to Learning from Crisis, Cultural readjustment after crisis: Regulation and Learning from Crisis within the UK Soccer Industry
- ▶ Toft and Reynolds – Learning from Disasters
- ▶ Whittingham – Preventing Corporate Accidents

Thank you

The information in this presentation pack will have been supplemented by matters arising from any discussion with us, and should be considered in the light of this additional information.

If you require any further information or explanations of our underlying work, you should contact us.

Anyone who receives a copy of this presentation pack other than in the context of our oral presentation of its contents should note the first point above, and that we shall not have any responsibility to anyone other than our client in respect of the information contained in this document