Issues and Corrective Action Management Software Solutions

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Basic Performance Improvement Tools

- <u>Issues Management (a.k.a. CAP) Process</u>: Identify and document conditions, identify causes, perform extent of condition reviews, and develop and implement meaningful corrective actions to prevent recurrence when appropriate

- <u>Management Observation Program</u>: Align managers and staff with respect to expected behaviors. Provides mentoring/coaching opportunities when done correctly. This is a core management function

- <u>Lessons Learned Program</u>: Share information to continuously maintain high awareness of behaviors that result or contributed to events. Secondary purpose to share equipment/process problems for entry into the CAP process when corrective actions are developed

- <u>Self-Assessment Program</u>: Structured topical review (LOIs, report, etc.) where performance trend is not well understood or were required based on inherit risk of the activity. Includes benchmarking

- <u>Independent Oversight/Assessments</u>: Similar to self-assessments but independence allows checks for drift in standards and integrity of performance information

INL Contractor Maturity Path

- INL is on a journey (not unlike many contractors) to mature our CAS systems, processes, and tools

- Major improvements over the next few years in Assessments, Issues Management, Lessons Learned, and Management Observations

- Desire to leverage the nuclear power industry approach to a low-threshold issues management process for it's predictive/leading indicator capabilities and positive impacts on employee engagement

- The best tool is of little value without an efficient and predictable process executed by competent personnel

Old Process Flow
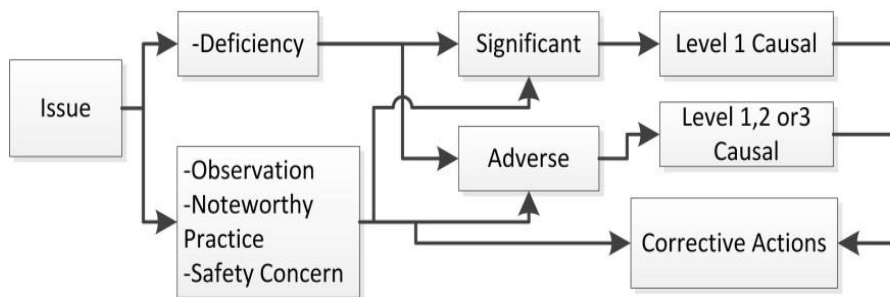
New Process Flow
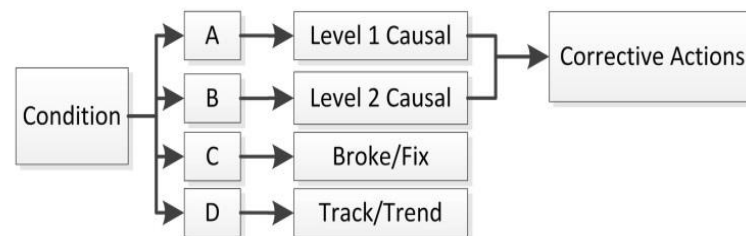
Philosophy for Issues Management Changes

- Eliminate overlap between various approaches to Issues Management (Navy, Industry, DOE) and other lab-wide processes (NCR, NTS, etc.)

- Align functions to appropriate decision-makers – Operability vs NCR

- Recognize the difference between corrective actions and steps taken to implement a corrective action – the latter are not corrective actions

- While we always try to minimize the likelihood of recurrence, we only prevent recurrence for the most significant issues/conditions

- It's impossible to prevent recurrence when the root cause is a behavior

- Managers need to coach, mentor, and reinforce accountability instead of managing extraneous actions of little value

- Leverage industry lessons learned (Cumulative Impacts Study) related to ratcheted process controls that are unsustainable, add little value, and prevent managers from being in the field

- Cause analysis should yield specific causes vice broad generalizations

- Bloated corrective action plans may look good, but actually hurt safety

Other Items that Needed Fixing…

- Overlapping and sometimes conflicting causal analysis requirements between Critiques, Issues Management, ORPS, and NTS

- Lack of Lab-wide integration
    - Poor integration between mission centers, support orgs, determining need/appropriateness for Lab-wide EOCs
    - No one to assist support orgs or help manage lab-wide conditions

- Lack of graded approach – little difference between Level 1 & 2 cause analysis criteria, objective evidence requirements, closing to other processes not allowed regardless of low significance

- Issues bottlenecked at Directors - required to screen everything

- Issues management software tool extremely difficult to use – not intuitive was an understatement

Tool can be a Significant Barrier to Performance Improvement & Employee Engagement

- Lack of employee engagement due to non-user friendly tool
- Data entry process was difficult and cumbersome
- No notifications on status for issues
- Expert based tool
  - Lacked capabilities to easily pull and generate value-added data
  - Data generation was time consuming and labor intensive
  - Management and staff time focused on gathering data and not analytics/decisions
  - Resulted in full-time positions in various places across the lab just to feed and water the machine

What are the benefits of LabWay?

- Single point entry

- Seamless process handoffs

- Extremely intuitive to use, like using your home applications

- Powerful Google search capabilities including attachments

- Very quick entry of initial data

- Completely customizable workflows

- Easy access to feedback and following items of interest

- Flexibility in notifications

- Personalized dash board keeps work and routine items in an organized arrangement

- Cloud and mobile ready

- Managed Service fits vision for IM

DevonWay Standard Features

- **Design Search and Reporting**
  - Google search
  - Ad hoc reporting and charting
  - Unified trending and notifications
  - Extensive reports, matrices, and KPI library

- **Workflow**
  - Individual workflows by department or plant
  - Visual graphical workflow
  - Individual or team task assignments

- **Ease of use**
  - 100% web based
  - Dashboard showing only what matters
  - Access using SmartPhones and tablets
  - Enter and Approve on single screen

- **Enterprise Administration**
  - Object history - who changed what and when
  - Role-based security
  - Enforce robust password policies

- **Enforce safety culture**
  - Anonymous access
  - Secure document attachments
  - Ability to exclude individual fields from search

- **Collaboration throughout**
  - On-line discussions available in any module
  - Invite external participants to collaborations
  - Mark discussions public or private
  - Keep important information in DevonWay, not email

Drawbacks?

- More expensive than some other software providers
- Completely customizable means your process has to be good already…
- Not as easy to generate reports as promised – there is a learning curve…

Initial Usage/Engagement Data

		2013										2014	
		March	April	May	June	July	August	September	October	November	December	January	February
ICAMS	Issues & Observations	672	704	484	523	535	747	433	362	307	31	11	9
LabWay	Conditions	--	--	--	--	--	4	155	225	211	422	678	493
	Observations	--	--	--	--	--	41	127	237	291	265	407	383
	Suggestions	--	--	--	--	--	0	56	48	27	44	54	172
	LabWay Totals						45	338	510	529	731	1139	1048

BACK-UP SLIDES

Adding Tiles, Bookmarking, and adding shortcuts to tiles

- Click Add Tile
- Click and add title
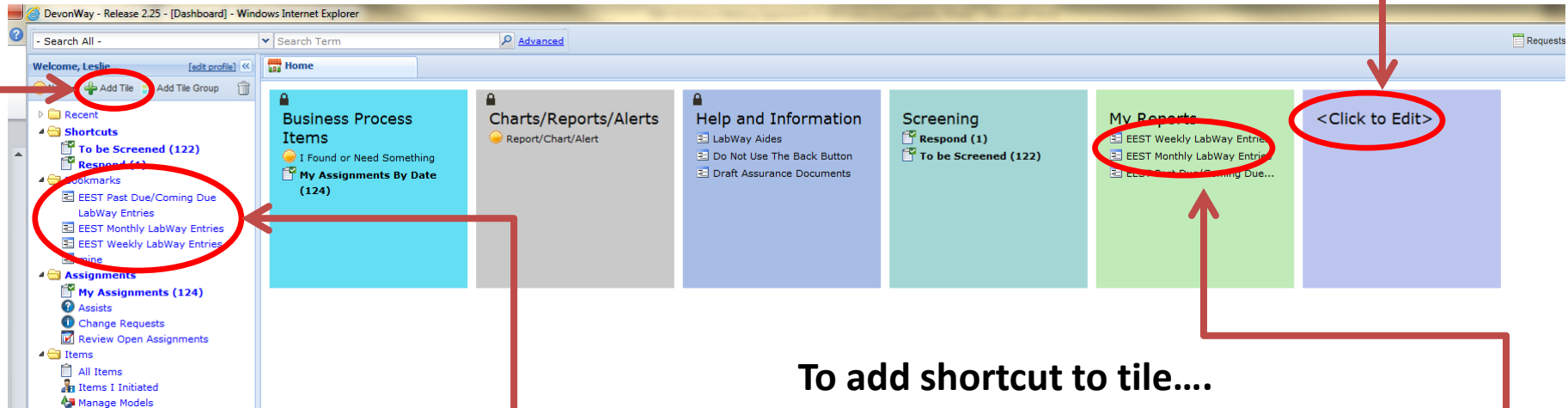
To bookmark….

- Open the item you want to bookmark and click the yellow star at the top
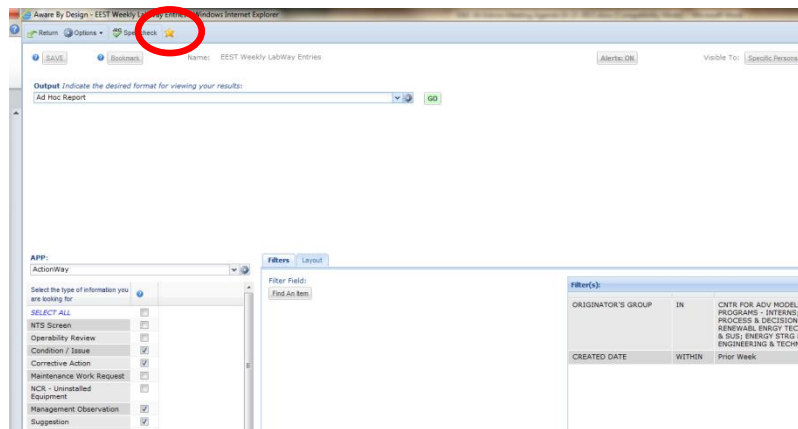
To add shortcut to tile….

- The bookmark will show up on the left hand menu under bookmarks
- Click and drag the item to the tile you created

- Tiles with locks cannot be changed
- You can change the color of a tile by holding cursor in the top right corner of the box and choosing change color
- You can delete a tile by holding cursor in top right hand corner and clicking the x

Shared Reports

- To run an already built report that has been shared, click on Shared reports/Charts
- Click on the report you want to run
- It will open in a separate window which you can download to several applications such as excel or PDF.

To Build a New Report

1. Click on Reports/Chart/Alert
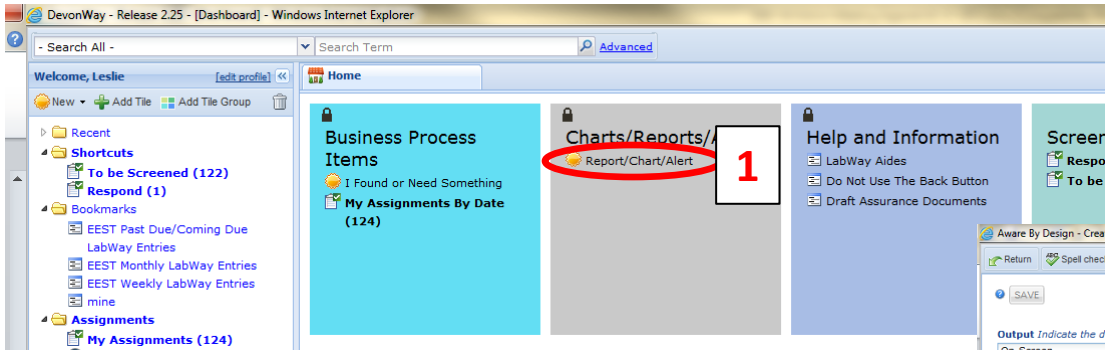
2. Choose type of report (Usually Ad Hoc Report)
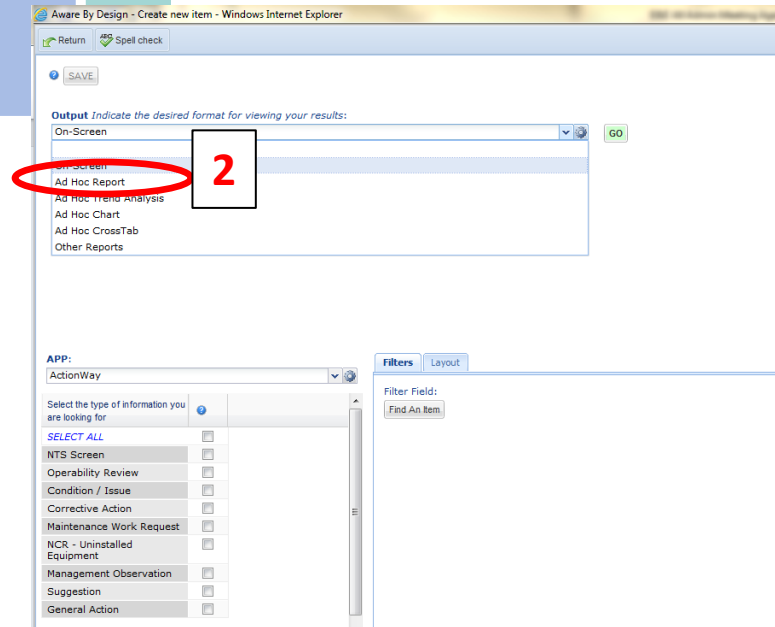
3. Select the items you want to show in your report (ie MO, General Action, Condition/Issue, etc.
4. Click on the layout tab. LabWay automatically suggests fields which you can delete with the red X on the right.
5. To add new fields select Find An Item
6. Give it a unique title
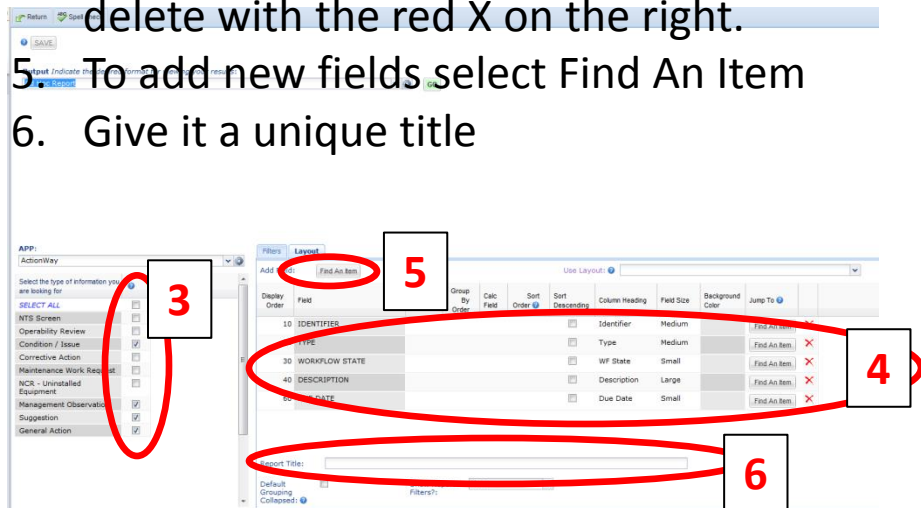
To Build a New Report, Continued

1. Click on the Filters Tab and click Find An Item
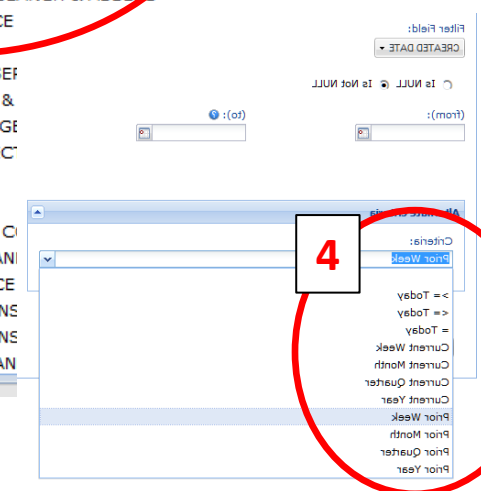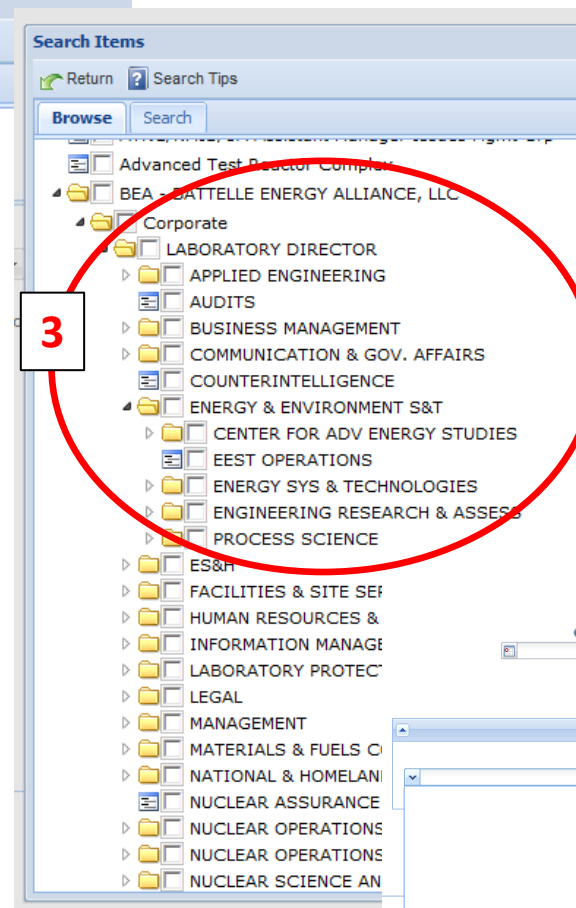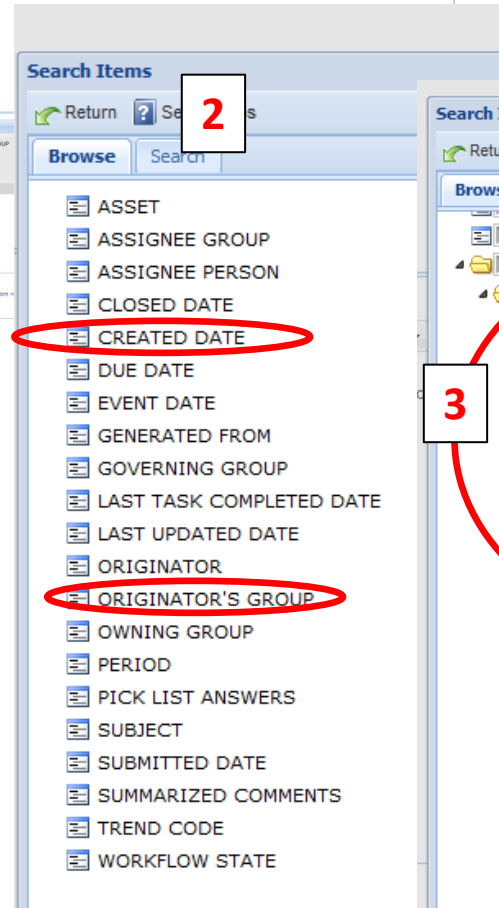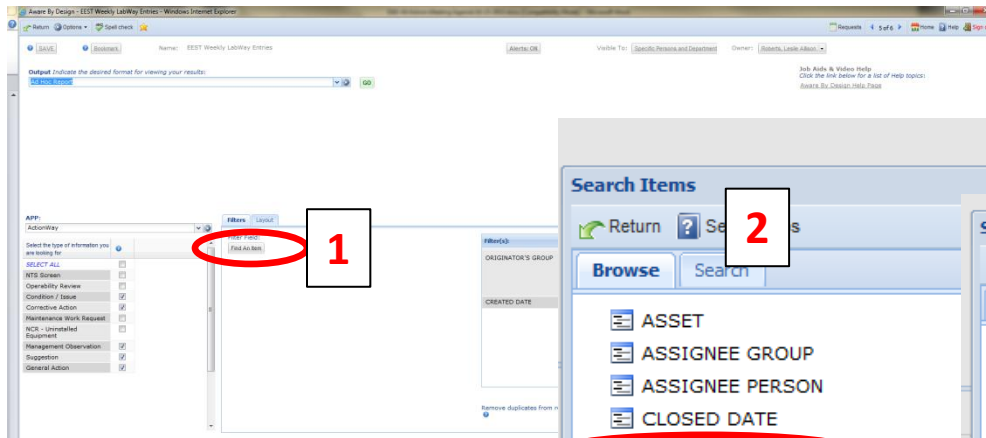
2. A box of categories will come up. Select the one you want.

3. Example: to select an EEST group, click on Originators Group. A list will come up, scroll down, expand folder next to BEA, expand Corporate, expand Laboratory Director, expand EEST. You can further expand the individual departments to select the one(s) you want or all for all EEST. Click Build Criteria.

4. Example: For time frame on created date, select created date, more fields will appear, you can put in a range from & to, or under Alternate Criteria drop down box to select timeframe. Click Build Criteria.

Sharing Reports
1. To share click on Visible To
2. In the next pop-up box select Find Person(s) which will bring up another pop-up box with names
3. Type the name in the Search for Box.
4. If you have multiple people to add just put a check mark next to their name and then search for the next until you have them all selected
5. Click Return

Setting Alerts

1. To share click on Alerts (will show Off but will change to On after you activate)
2. In the next pop-up box make sure the Active circle is marked
3. You can change the subject line and the body message
4. Select the type of attachment you want to send (i.e. PDF, Excel, etc.)
5. Under Schedules click add and select the type of frequency you want (i.e. weekly, monthly, etc.)
6. Under Email to click Find Items (NOT ADD) and select the people the same way you did in Sharing Reports instructions
7. Click Return