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## Leveraging the Human & Organizational Performance Philosophy to Create an Active Learning Culture

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# Human and Organizational Performance (HOP)

***Human and Organizational Performance is essentially about understanding the context and conditions of work. HOP is not a program – it's an operating philosophy that gives us a framework for building more resilient organizations.***

Five principles within HOP that shape and influence the way organizations think, act, view success and respond to failure

Principles work together to change the way we think about work and how to improve it

Encompasses the complex relationships that exist between people, technology, and the organizations they operate within



People Make Mistakes



Blame Fixes Nothing



Context Drives Behavior



Learning & Improving is Vital



Leader's Response Matters

# HOP History

- Philosophy that emerged from the Nuclear Energy Sector in North America in the recognition that human error is normal and will happen and that systems should be designed to be more resilient to these errors.
- The principles of HOP were developed over time by industry professionals with various science academics who observed the need for a shift in traditional thinking.
- The principles of HOP have been influenced by various sources and continue to evolve.
- Emphasizes the importance of learning from past experiences and mistakes, learning from normal everyday work, and the role of leadership in creating an open environment.



# My History with HOP – GE Presentation

## 2013 Region I VPPPA Conference at the Ocean Edge Resort & Golf Club



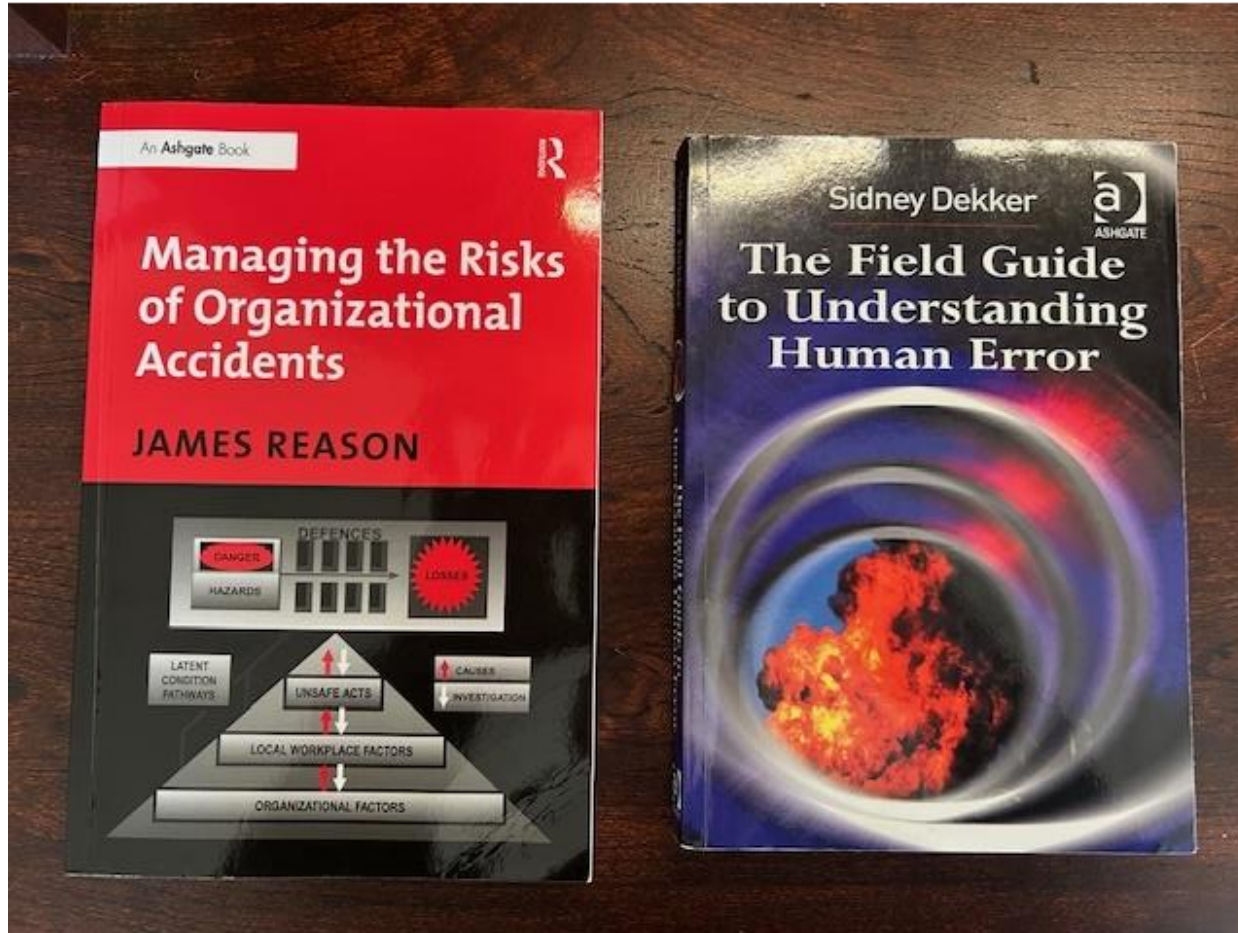
### Roper Corp – 2012 HOP in Review

Roper Corporation began its Human & Organizational Performance (HOP) journey in February of 2012. After 11 months, we are by no means experts; however, we have seen the culture changing ability of the HOP philosophy. We have witnessed the breaking down of barriers between management and employees and the opening of much needed dialog about what is really happening at the deepest levels of the organization. We have changed from the conventional "crime & punishment" approach to safety events to a more holistic "diagnose & treat" methodology. As a result of this change, we now have a deeper understanding of the incredibly complex environment to which our employees must adapt on a daily, hourly, and minute by minute basis. The inclusive nature of HOP "event learning" has led our organization to build better defenses to prevent harm to people, products, and processes when inevitable human error occurs. By including operators and area owners, our solution sets are more effective, more thorough, more wide sweeping, and, most importantly, more sustainable.

Tactically speaking, we now know the following:

- **HOP is not a "quick fix"** approach to problem solving or improving metrics. Rather, it is a systematic approach to event learning that helps us identify "latent conditions" that lead to events and then build effective defenses to better protect people, products and processes. It prompts us to "Learn."
- **Latent Conditions? They are everywhere!** Our employees continually adapt to the complex environment we have created. They complete their work by overcoming these latent conditions, and events are often triggered when human error is introduced. Our systems are not necessarily safe; it is our people who make them safe.
- **Error is part of the human condition.** No amount of reward or punishment can completely get rid of it.
- **How we respond to events really matters.** We need to have an "amnesty" attitude when involved in event learning. This helps us understand "how" the event occurred. If we focus on the employee and how they "screwed up" we do not get the "story behind the story" that is critical to identifying the latent conditions that led to the event. **It takes trust and a willingness to learn** in order to be able to really talk about the issues!
- **Learning can be messy. It takes management patience!** We have to be ready to wade through the details and listen to employees. **Events are information rich.** When working with a Learning Team, if we already think we know the answer, we stop asking questions, we stop learning, we short circuit the HOP process.
- **Learning Teams are powerful problem solvers,** tackling some of our toughest issues. It is imperative that the Learning Team include area operators who are personally vested and desire to be part of the solution. This promotes local ownership. The best defenses are built by working together. Each Learning Team needs a competent and confident HOP Coach to mentor the process and prevent derailment.
- **HOP takes training, mentoring, practice and commitment.** It does not necessarily require additional personnel, however, it does take management buy-in, site HOP champions, time to conduct Learning Team sessions and resources to fix problems.
- **As we move forward with HOP, our focus is shifting towards fixing processes, not people.**

# My History with HOP – UTC – Sikorsky

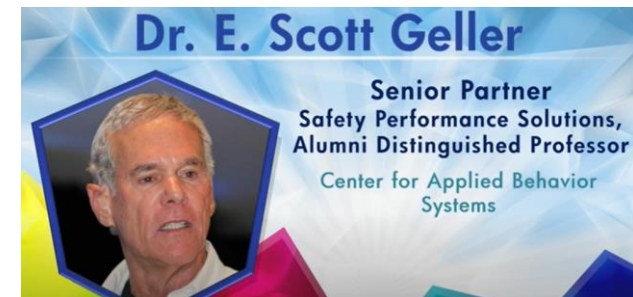


EH&S Leadership  
Training 2014



# My History with HOP – ASSP Conf. Denver 2017

## Plenary Town Hall



Spirited Discussion about BBS and HOP – Wow!



# Evolution in Understanding Human Performance

## Old View

### Restrictive Policies & Programs

- People are the problem
- Tell them what to do
- Measure success by the absence of negatives

**“Top-down – Comply & Control”**

## New View

### Optimized Human Performance

- People are the solution
- Ask what they need to succeed
- Measure positive capacity & resilience

**“Bottom-up – Empower & Engagement”**

*Things done to others, rather than with them, are highly resisted, they are usually never implemented locally and, if they are, they rarely work. – Peter Pronovost, MD, PhD*

# People Make Mistakes

## HOP Principle #1

- Everyone makes mistakes
- We should design our systems to anticipate mistakes
- We need to ask, “What happens when someone makes an error or mistake?” and seek to design safeguards for such situations
- When mistakes do occur, the systems should fail safely
- Example: blind spot indicators

Great performance is not the absence of errors...

... it's the presence of capacity

### Belief: People Make Mistakes

People do not intend to injure themselves  
Errors and poor judgment are part of the human condition  
One miscalculation should not cost a person his/her life or job



Emerging Behavior:  
Designing to fail safely, defense testing, listening faster

Tools Embraced:  
BowTie, defense testing audits, operational learning tools

The goal of HOP is to become less surprised by human error and instead become a lot more interested in learning from mistakes to build more tolerant, forgiving systems that fail safely



# Blame Fixes Nothing

## HOP Principle #2



- “Blame is emotionally satisfying, just not very operationally satisfying”
- It is easy to label people unfairly...blame makes us feel like we have done something wrong
  - If you blamed someone, what did you fix to make the process better?
  - The next person to come along could make the same exact mistakes, because we haven’t fixed the system
- HOP recognizes that those involved in incidents have an important role to play in the process of restoring and learning

By letting go of blame, we enable better learning

# Blame is Incompatible with Safety



# Context Drives Behavior

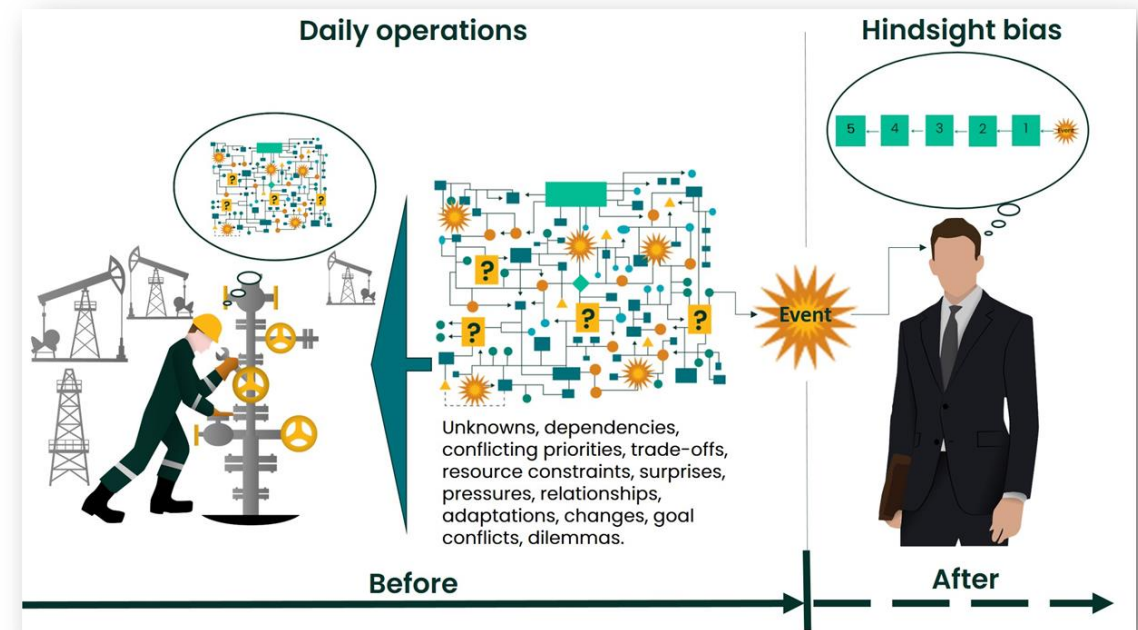
## HOP Principle #3

- Workers don't make bad choices, they are given bad options
- People do what they do because it made sense at the time, with the information they had



Do not say could've, should've, would've

- Instead, 'get in the tunnel' with the employee and learn to understand the situation from their perspective
- Then ask; how do we change the system so that people are not forced to make these tough decisions





# Local Rationality Theory

People do things that  
**make sense to them at the time,**  
under the existing circumstances  
(expectations, goals, resources, mindset, culture...),  
**otherwise, they would not do them!**

“To explain Failure, do not try to find where people went wrong. Instead, find how people’s assessments and actions made sense at the time, given the circumstances that surrounded them.”  
- Sidney Dekker

# Learning and Improving is Vital

## HOP Principle #4

We want to be less surprised by human error and failure...and become a lot more interested in learning.

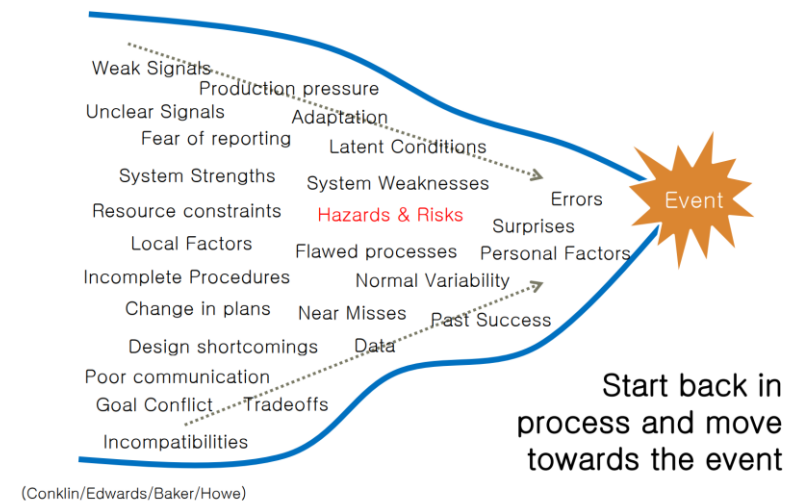
Some tools lead us to a linear understanding of an event...  
...which may be enough



The problem is, the failure was **not linear**...  
...and there is **never** one root cause.

(Contributions from Ryan Ward and Tanya Lugherno)

Failure looks more like...



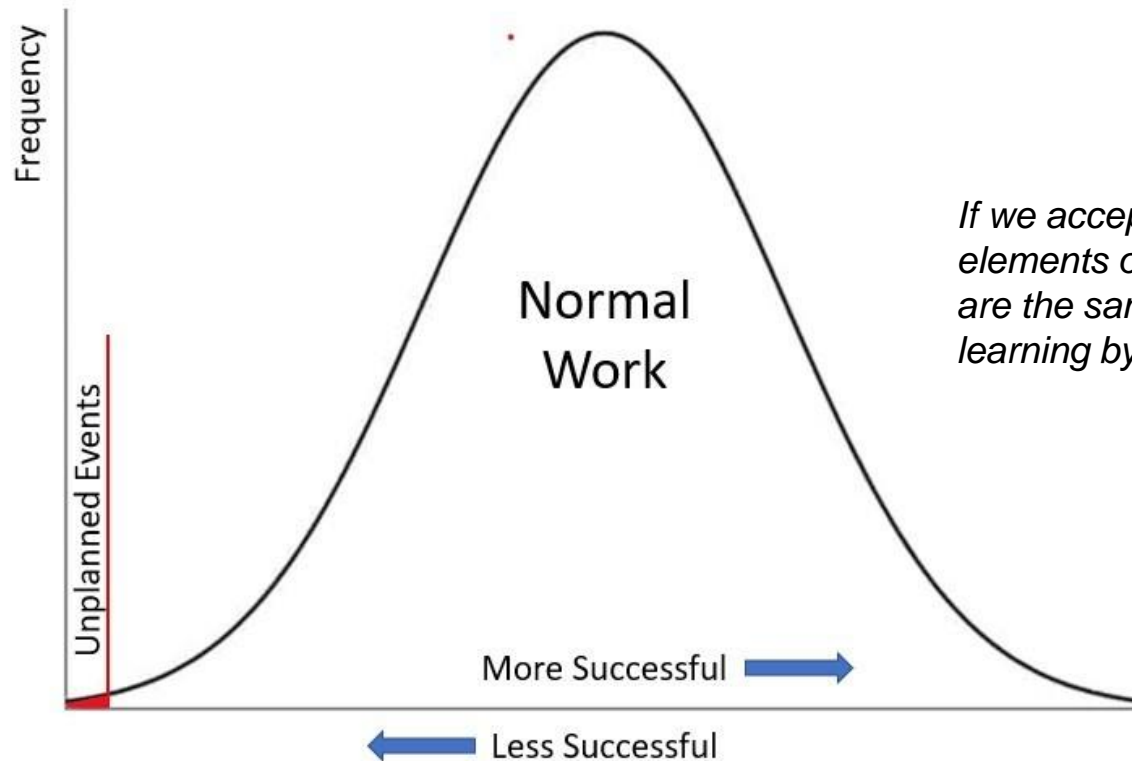
We want to learn the weak points in our system so that we can building in extra capacity

# Learning and Improving is Vital

## HOP Principle #4

Learn from Normal Work – Learn from those Closest to the Work

*When we acknowledge the fact that accidents and normal work really look very similar – oftentimes the only difference is the outcome.*



*If we accept the fact that most of the other elements of an accident and normal work are the same, we can do so much more learning by looking at normal work.*

**The vast majority of workplace tasks are completed successfully.**



# Work As Imagined (Planned) vs Work As Done

## WHAT IS HAPPENING?

- Adaptions
- Adjustments
- Work-arounds
- Problem Solving
- Tweaking
- Fine-Tuning
- Goal Trade-Offs



## Why?

- We didn't have the right equipment
- The procedure is outdated, we haven't done it that way for years
- The procedure did not cover the situation we faced
- We didn't have time
- We lacked sufficient manpower
- We were trying to get the work out and thought we could skip a few steps and still be safe

To understand work, organizations need to understand how and why performance varies.  
Then, resiliency to control variability and potential negative impacts can be built.

# Leader's Response Matters

## HOP Principle #5 – Humble Inquiry



- Often what we do in a situation is react – and reacting is very different to responding.
- If managers and leaders work on managing their response to failure, it creates a far better environment where we can learn, develop and grow.
- Reacting often involves blame or judgment that gets in the way of valuable learning opportunities.
- If we can manage that response, organizations will be far more effective across all areas.

The way leaders react or respond to an operational failure matters – and it matters a lot.

# Leader's Response Matters

## Industrial Empathy (Baker/Edwards)

Our goal is to learn enough that we can understand the perspectives of those we are learning from, given the conditions they faced, the information they had, the tools and equipment they were using and the pressure they were under.

Gain Understanding



# Leader's Response Matters

- Leaders help teams solve a problem, not by solving it for them but by solving it with them.
- Leaders need to lead with curiosity and humble inquiry when faced with challenges.
- This collaboration grows trust and ensures communication flow.

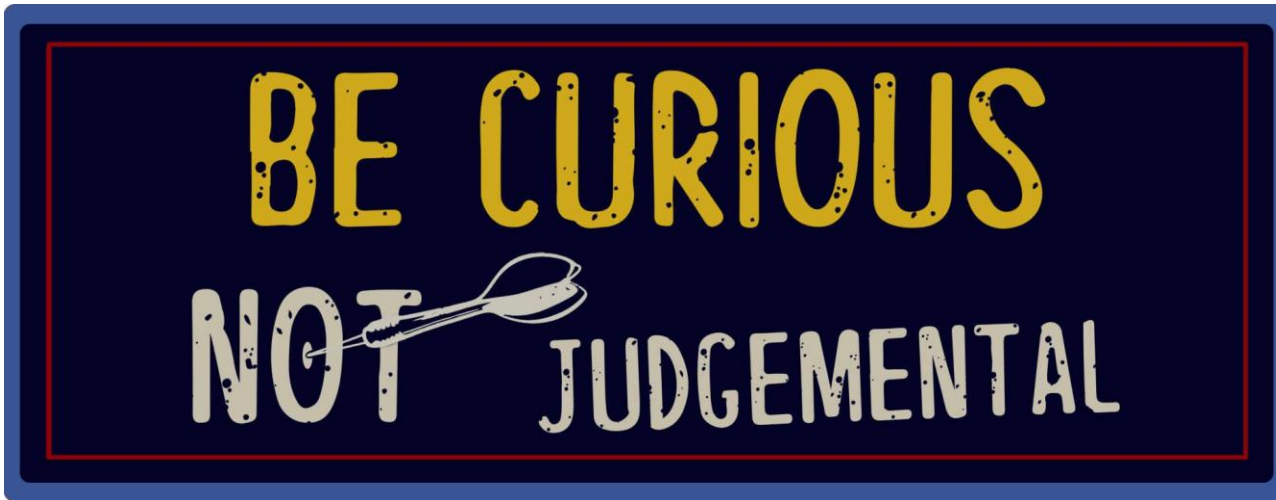
When a leader responds  
negatively to problems  
brought to them,  
the team will get better at  
hiding the problems.



**Powerful questions come from a place of curiosity, not judgment.**

# Be Curious: Leadership From Ted Lasso & Walt Whitman

The power of open-ended questions lies in their ability to withhold judgment and invite curiosity.



Powerful questions come from a place of curiosity, not judgment.  
And when leaders lead with curiosity, remarkable things happen.

# Human and organizational Performance



Ask employees questions using the 4D's



A situation, task, or process that doesn't make sense.

Unusual, difficult, or demanding task, process, or situation.

Does it  
make  
sense?

Dangerous

Risky or challenging task, process, situation, or hazard.

Difficult

Different

Changing or changed situation, activity, or task.

***Change comes from dialogue***



# Leveraging H.O.P. to create an Active Learning Culture

Learning enables us to go deeper to improve our systems and organizations.

- **Variability is everywhere. Adaptions are critical to success.**
  - Every organization in the world has a black line and a blue line.
- **Encourage understanding of the messy story of our complex organizations.**
  - Learn from Normal Work.
- **Reframe our view of failure. Failure isn't of itself bad.**
  - Our focus should be on understanding the context and systemic factors contributing to issues.
  - Working together with those closest to the work to enhance our systems to fail safely.

# Leveraging H.O.P. to create an Active Learning Culture

- Human and Organizational Performance is essentially about understanding the context and conditions of work.
- It is an operating philosophy that gives us a framework for building more resilient organizations.
- It is changing how we work together in manufacturing, project work, construction work, etc.
- Change isn't happening because we are becoming more skilled, knowledgeable, or dedicated to the job.

## Genbutsu (Lean)

*“The truth can be found where the work is done.”*

***We are changing how we talk to each other, on the words we use, by looking at our processes, programs, projects, etc., through the lens of H.O.P.***