Safety and Risk Management for Region and National Leaders

Lesson Objective: This lesson seeks to explore safety and risk management for leaders at the region and national levels.

Desired Learning Outcomes (DLO):

1. Understand the role of leadership in training, educating, and reinforcing the key concepts related to the Safety Management System.
2. Effectively implement safety and risk management processes to enhance operations, activities, and leadership.
3. Effectively utilize the corrective action process.
4. Apply continuous improvement processes to leadership.
5. Apply the four pillars of the safety management system to region and national scenarios.

Reading: Student Guide, CAPR 160-1, CAPP 163

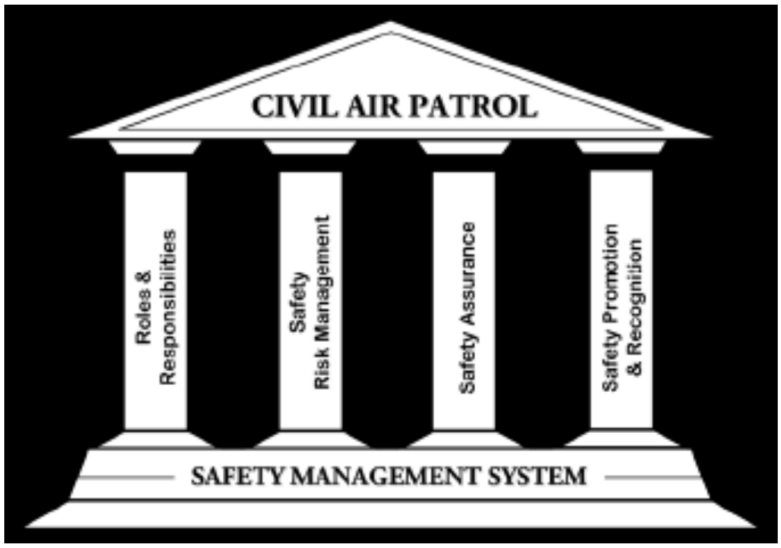
Scheduled Lesson Time: 90 minutes

Introduction

Safety and risk management cannot be added to processes. These concepts and processes have to be integrated into everything we do in CAP. These concepts relate to everything we do in CAP from Aerospace Education to Operations. This lesson focuses on the role of the leader in the process, how leaders utilize related processes, and the need for leaders to do analysis. The lesson also reviews the importance of continuous improvement.

1. Understand the role of leadership in training, educating, and reinforcing the key concepts related to the Safety Management System.

We focused heavily in Level 4 on the foundation built by the regulations in this area. This lesson will focus heavily on CAPP 163. Review the role of leaders in safety and risk management as explained CAPR 160-1. As you review these two documents, focus your attention on region and national duties. Make notes as you read through the regulation on the role of leadership. Think about how leaders support all four pillars of the Safety Management System both philosophically and in practice. Think about ways you have supported the SMS personally in your CAP career. What were some opportunities to better support these efforts? What were some instances where you excelled in this area? Make some notes for your class discussion on this topic. Remember, as a leader what you model is seen as what you value. What behaviors do you need to model to be a leader in safety and risk management? Do you need to change any behaviors? If you do, now is the time to make a plan to change your behavior. CAP needs leaders who value and implement the key concepts of the Safety Management System in all they do.



2. Effectively implement safety and risk management processes to enhance operations, activities, and leadership.

Risk management is a continuous process. Like leadership, it's not something we solve. Risk management is something we implement in our processes to ensure we are continuously improving our risk controls and plans. Safety assurance is the pillar in the Safety Management System that addresses this through processes and tools we can apply toward continuous improvement.

Planning, assessment, and gathering data are important skills for leaders to understand and be able to apply. As you read CAPR 160-1 and CAPP 163, think about planning. We use the 5-



step process in Chapter 3 of CAPR 160-1 to reduce risk but we can also use it to solve problems and plan.

The first step we take is to decide we want to have an event. Then we set some goals for the event. Once we have a basic plan, we flesh out the details. This is where we can ask ourselves “what can go wrong” with the plan. Using the 5-step process, we can evaluate what can go wrong and figure out what we can do to avoid it. We implement the controls we want to use and then hold our event. After the event, we look at how successful we were in preventing things from going wrong. We use a CAPF 160 Deliberate Risk Assessment Worksheet to guide this process. However, we can apply it to many situations.

Think about hosting a big family dinner. Your goal is to feed the family and ensure everyone has a positive holiday experience. You set the date and time. You send everyone an email with the date and time and tell them you will provide the main dish. They should bring side dishes. You purchase the necessary food and supplies. What can go wrong? We might not have enough food. We don’t know who is coming to dinner. We might have confusion on the time or day. We might not have the right dishes. We might not have enough chairs. We might have food allergies. We might have a family argument break out on a topic of political interest. So, what is the likelihood those things will happen? It could happen pretty easily so we need some risk controls. You send everyone a phone app link to sign up for side dishes in categories. You ask them to RSVP with how many will be coming and share any food allergies. The app will send a reminder to all of the invitees and remind them of the date and time in their time zone. Finally, you seat your conservative Aunt Jane away from your liberal Uncle Joe. The main dish might not be good or something unforeseen may happen but you have used some risk controls for your family dinner. Keep evaluating it for changes up until dinner, then enjoy. After dinner, you can make notes for the next event to make it even better. Because your family had a great time, they will come back for another dinner at your house.

Think about your role in CAP or a role you would like to fill in the future. What activities do you or would you routinely plan? Can you apply the 5-step process of risk management to your activities? Have you done this in the past? Do you do this well or are there opportunities to improve your planning acumen as it relates to safety and risk management? What tools do you use? What tools would you like to use more effectively? Start adding the skills and tools you need to hone to your to your development plan. Consider pursing a specialty track rating in Safety, if you aspire to lead at a higher level. The skills you will develop as a Safety Officer would help you tremendously as a leader and a planner.

Another tool outlined in CAPP 163 is the Plan, Do, Check, Adjust model. This is great process to guide for improvement efforts. Planning always takes time but it is well worth the investment because it pays dividends. Leaders need teams to help them with problems or plans. It is important for them to understand the process, Give them a role and make your expectations clear. Finally, bring people on board who have expertise to share. Good leaders let great followers lift up the team’s efforts.

Once you have a team, you can set goals and scope. You will also want to look at the current process. Why reinvent the wheel? We hear this phrase but often don't stop to think about it. In CAP, a lot of institutional knowledge is lost when members leave and take their resources with them. In our family dinner scenario, this is when someone stops bringing that favorite dish to the dinner and nobody else knows how to make it. That is one reason continuity documentation is so important. Your activity has a recipe box for success and we call it a continuity binder. Starting from the present, we can use our current process as a foundation for future success. None of us has time for extra work; however, we all want to be diligent and improve. Good continuity and starting from the present allow us to succeed. When looking at the current plan, we want to ensure we note how practice might vary from outlined process and where we are not meeting our goals.

Root cause analysis can help with the process of identifying what problems we need to fix and inform the design of the plan of action. After developing a plan with specific tasks to be accomplished, a timeline, responsibilities, and getting approval we need to proceed. We also have to communicate the plan ten times more than we think is needed. You want a coalition on board to help you. Finally, develop the measures of effectiveness (MOEs) for your plan. CAPP 163 has some great tips for developing MOEs. Honing your MOE skills can help you in other areas like strategic planning. The second step in PDCA is to do it. Follow your plan. Observe and collect data to see how you measure up against your MOEs. Think about your routine processes. Do you currently review data prior to planning? If you do, how can you improve your process. If not, how can you work this step into your process before and after events? Then check the effectiveness. Analyze the data. If you have access to the data, analyze it for trends. Where can you improve? Don't forget to consider context the data you review. Without context, data can lead us astray. If you do not have access to the data, contact a safety officer and discuss this topic. Make notes about the data analysis you completed. What does the data indicate is working? What needs improvement? Based on what you learned from the data, how might we improve? Finally, we need the step that makes the process continuous improvement. The final step is adjust. It is time to tweak more things in an effort to make your event even better next time.

3. Effectively utilize the corrective action process.

Corrective action can be applied to more than safety and risk management. Corrective action provides seven steps to help with the plan portion of the PDCA process. The seven steps in CAPP 163 are:

- Define the problem.
- Define the scope.
- Take containment actions.
- Find the root cause.
- Plan the corrective action.
- Implement the corrective action.
- Follow up.

Root cause is an important aspect of this process. As leaders, we should always ask why. Simon Sinek speaks to this in his books and videos. Remember a root cause is an underlying cause of a problem, is something that management can control, and can be addressed with specific recommendations. In root cause analysis, we should keep asking why until we get to a cause that meets the three criteria above. For those who prefer a visual approach, we can map the cause until we find the root. Related to root cause analysis, we find the Five M's in CAPP 163. The Five M's help us look at all the factors that have a bearing on an issue: member, medium, machine, mission, and management. If we use all five of these areas, we should have a through review or analysis of why things happened and what was a factor in causing it. You may know how to apply this to a mishap review. Can you apply it to other leadership situations?

Let's look at unit culture. You identify a problem in a unit—low retention. Why does the unit have low retention? Following the five why's we can look at what might be causing the problem. Members leave because they feel overwhelmed. Why do they feel overwhelmed? The commander is negative about compliance issues and talks about the burden of command. Why? The commander does not know how to do things efficiently and is not enjoying command. Why? The commander was not trained before taking command. Does that meet our three criteria for root cause? Is it an underlying cause? Yes. Is it something that management can address? Yes. Is it something that can be fixed with specific recommendations? Yes. Now, let's see if there is another root cause. Retention is bad because members do not come to meetings. Why do members not come to meetings? Nobody plans anything for meetings. Why? The building is hot in the summer and cold in the winter. Why? It is in poor repair. Why? There is no funding to fix it. Why? Nobody wants to fundraise or fix it. Why? Nobody is motivated. Why? Leadership doesn't care about the building. Once we have our root cause(s), let's look at the Five M's.

- Member: Not trained. Unhappy. Not able to perform his duties.
- Medium: The environment is negative at the unit. Building is also in poor repair.
- Machine: Equipment does not work well.
- Mission: Planning is not done.
- Management: Leadership doesn't care about the building.

Did you think corrective action was just for safety and risk management? Think again! These processes can apply to much of what leaders do. IN fact, leaders play a key role in these processes. Leaders will commonly apply these processes to risk management, mishap management, and other safety aspects; however, leaders can use these tools in other ways.

4. Apply continuous improvement processes.

Continuous improvement is pursued by successful leaders and organizations. Who wants to waste effort or be ineffective? A desire to improve and a commitment to do so are necessary to begin the process. There is pride in having safe, successful activities for our members and taking good care of the resources entrusted to us. No matter how good the leader, there will always be a need to identify areas where one can improve. Do you want your cadets to have the best encampment experience? Do you want your cadets to have a great orientation flight

experience? Do you want members to have a great experience when participating in the SAREX? Of course you do! A desire to analyze our efforts and improve them for the next event is why we have after action reports (AAR). Would members complete a survey about an event or write an AAR, if they thought you would not read it and use it to improve? No! Once we have data, we need to use it to make plans to improve. Then we check to see if it is effective and make more efforts to improve. Why the continuous effort? First, we may have new people participating who bring entirely new dimensions to the activity. Second, standards can change. What was acceptable five years ago may not be acceptable now. Third, members won't support activities that are not dynamic. Fourth, we may have new tools or resources that bring new considerations. Finally, you want to embrace our Core Value of excellence and that means continuous improvement. Continuous improvement is also not unique to CAP. It is applied in many industries and fields. The knowledge you learn and apply in CAP can help you outside of CAP as well.

The CAP SMS supports a continuous improvement philosophy by providing a framework for assessing conformance with risk management process and effectiveness of risk management-based initiatives. CAPP 163 Safety Assurance and Continuous Improvement provides in depth guidance on this process.

5. Apply the four pillars of the safety management system to region and national scenarios.

Leaders have an important role to fulfill when it comes to the SMS. While leaders need a solid foundation in the Safety Management System to be successful, the knowledge to apply the principles is critical also. This does not mean expertise in the area. Of course, applying these skills will require a higher level of knowledge than understanding the skills. Leaders have to show their commitment for followers to value the process of continuous improvement. Growing the next generation of leaders by steering them toward process is important the success of programs and the organization. The enthusiasm and positive attitude a leader has when addressing at topic motivates others to grow and excel. It can challenge members to excel. Sometimes it feels a bit clunky when we first begin to use a new process or apply a new theory; however, the more we practice honing our skills, the more likely we are to be able to integrate them into what we do on a daily basis. There will always be situations that require us to add skills or apply them in new ways. You can always seek guidance for mentors and CAP's safety professionals when challenged by a situation. In addition to leading, steering, and challenging members staff and other leaders must also share the results of their work with others. As you have seen in the training program, discussion and sharing experiences helps everyone avoid issues and overcome challenges. Think about how you can apply the four pillars of the safety management system to your leadership and your activities.

Lesson Summary and Closure

Good leaders internalize the principles of risk management and continuous improvement. They integrate the related processes into their planning and review results regularly with an eye on continuously improving their organizations. This can be a challenging task in an organization that spans so many different geographies, skillsets, demographics, and missions.

EXERCISES:

1. List three or four problems you would like to solve. Use the tools in this lesson to find the root cause of the problem. Use the 5Ms. Make a plan to address the problem. Your plan should include MOEs and corrective action.
2. Analyze the Safety Report included in this lesson. What trends or issues do you see in the report that need to be addressed? What corrective action will you take to address the problems you identified? How will you measure the success of your solution?