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GridEx V State After-Action Workshop
Change Management and Corrective Action Planning

January 15th, 2020

Session Objectives

- Facilitate a dialogue between participants

- Explore techniques and best practices to implement corrective action/ improvement plans

- Provide information and resources participants can apply to their projects

Critical Aspects of Improvement Planning

Leadership & Organizational Commitment

Improvement planning works best in support of organizations that are prepared for change:

- **Shared commitment:** people at all operational levels should understand leadership priorities and be moving toward the common goals

- **Culture:** recognizes after-action review challenges as opportunities to improve

- **Empowerment:** of staff to work across offices and agencies

- **Resourcing:** of appropriate programmatic leadership and staffing

- **Leadership integration:** improvements are included in routine and sustaining processes

- **Communication:** processes are in place to keep everyone aware of progress and celebrating wins

- **Patience:** it may take serious commitment, hard conversations, and sustained energy to gain desired results

What is your leadership & organizational commitment to improvement planning ?

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Stakeholder Engagement

- Improvement planning brings together:

  - leaders responsible for the processes identified in the findings who have the authority to enact potential courses of action

  - analysts who performed the after-action review

  - those who will be tracking and evaluating the actions

- Participants often will not be the same as from the response/exercise

- Individuals should understand the expectations for their participation, desired outcomes, and project plan
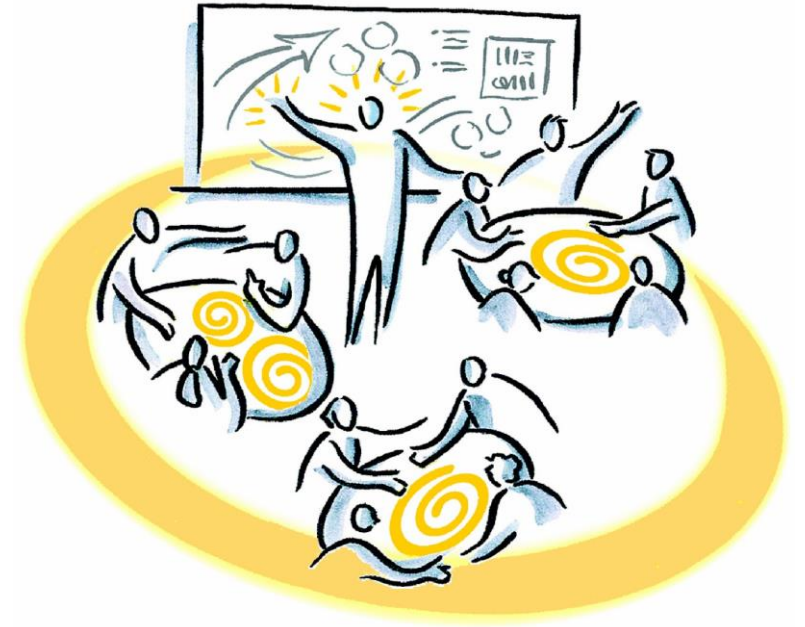
Who might be part of improvement planning that did not participate in the exercise?

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Stakeholder Engagement- IPWs

- An Improvement Planning Workshop (IPW) is a means of addressing the findings and courses of action identified in the after-action review

- The goal of the workshop is to agree on what actions should be taken, who is responsible for taking them, and the timelines for completing these actions

- IPWs should be scheduled shortly after the exercise or event

Who might be part of improvement planning that did not participate in the exercise?

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Potential IPW Activities

- **Whole Group Facilitated Discussions:** Participants discuss priorities, possible solutions, and responsibilities for corrective actions

- **Presentations:** Participants share important information on the observations

- **Trend Analysis:** Illustrate how often a particular finding has been identified in the past

- **Breakout Discussions:** Focus discussion on key issues that are important to a specific set of participants

- **Problem Solving Exercises:** Help participants identify corrective actions that will address the root of the problem and consider other steps to addressing these issues

- **Analysis Training:** Help participants to continue the necessary analysis with their program office or jurisdiction as they work to resolve their corrective actions

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IPW Planning

- Identify participants

- Identify (a) senior leader(s) who are responsible for coordinating the actions of participants

- Identify an action plan manager/tracker

- Select the content of the IPW
  - How many findings or courses of action can you expect to cover in during the workshop?

- Select the time for the IPW
  - Be realistic with meeting length and amount of findings to cover

- A successful IPW will require participants to prepare ahead of time and read the after-action report

**What factors did you consider when planning your IPW?**

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Change Management

Change management guides how we prepare, equip, and support individuals to successfully adopt change in order to drive organizational success and outcomes.

Change can be managed at three levels:

- **Individual change management** requires understanding how people experience change and what they need to change successfully, including messaging, coaching, and training
- **Group change management** involves first identifying the groups and people who will need to change as the result of the project, and in what ways they will need to change, and then creating a plan for ensuring impacted employees receive the awareness, leadership, coaching, and training they need in order to change successfully
- **Organizational change management** means that changes are embedded into your organization's roles, structures, processes, projects and leadership competencies, and that processes are consistently and effectively applied to initiatives with leadership buy-in

How do you incorporate change management into improvement planning?

Individual Change Management

Group Change Management

Organizational Change Management
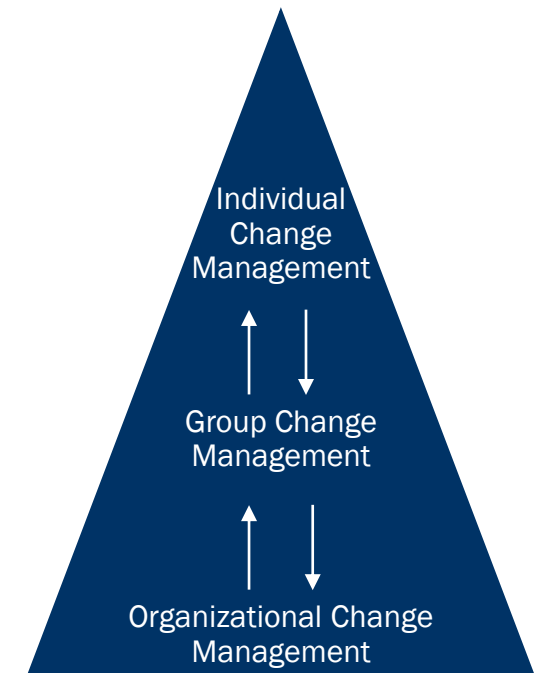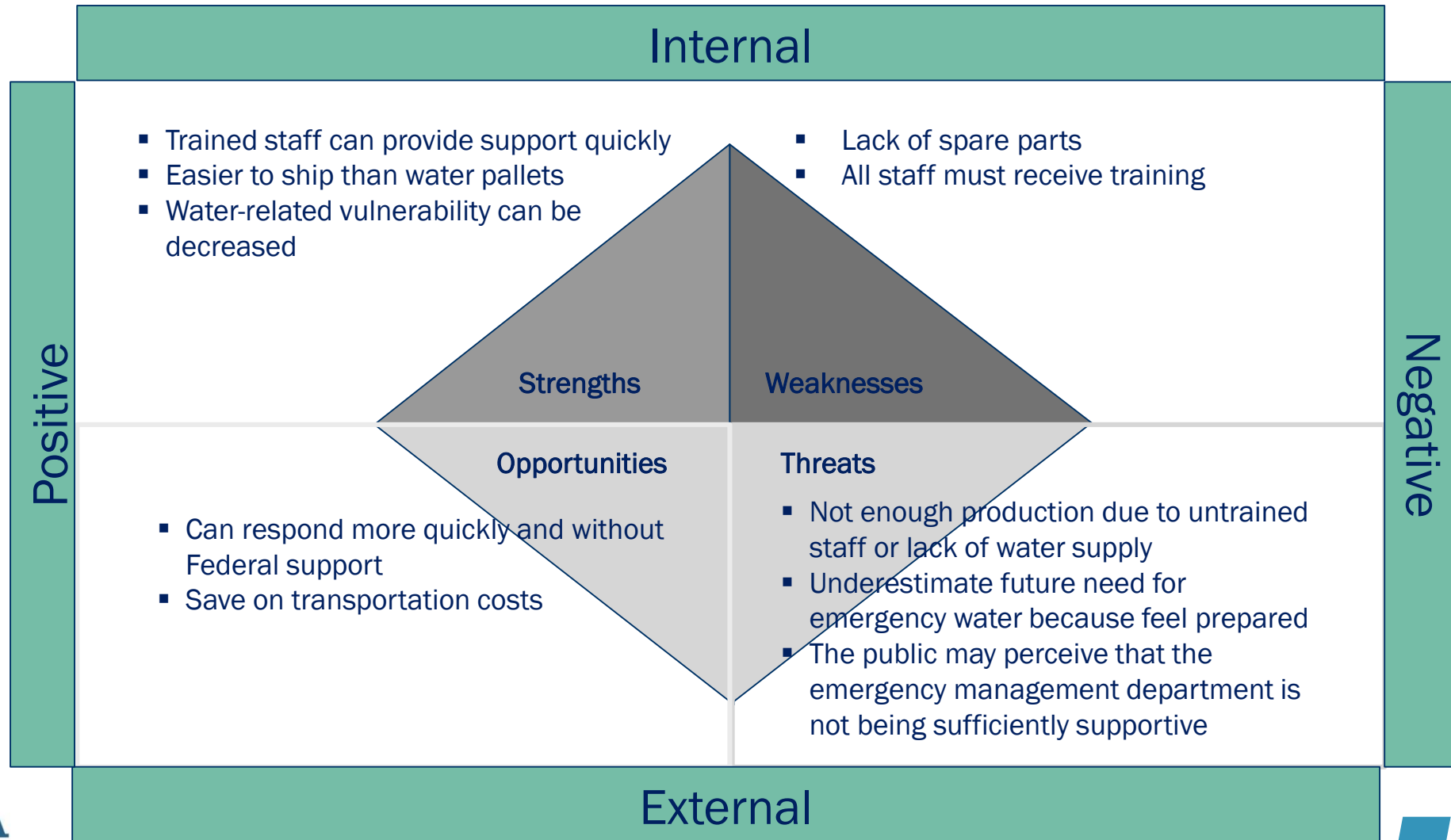
Change Management Pyramid

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Actionability

- Analysts performing the after-action review engage subject matter experts to develop courses of action (COAs)

- COAs should have a clear connection to the root cause(s) identified and should attempt to be comprehensive in nature

    – For example, a new policy alone does not address an issue; that policy should be trained to, resourced, and tested in exercises

- COAs have clear outputs with timelines

- When possible, a single office or organization should be assigned to each course of action (more offices or organizations can be named in a supporting role)

- Offices and organizations need to accept responsibility and/or be designated responsible by leadership

- NGO's and Private sector stakeholders may have different mechanisms of accountability

- Risks for not implementing COAs and threats to implementation should be identified

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Actionability -SWOT Analysis Example

Course of action: Purchase and store water purifiers (instead of bottled water) for emergency response

Internal

Positive

Negative

Strengths

- Trained staff can provide support quickly
- Easier to ship than water pallets
- Water-related vulnerability can be decreased

Weaknesses

- Lack of spare parts
- All staff must receive training

Opportunities

- Can respond more quickly and without Federal support
- Save on transportation costs

Threats

- Not enough production due to untrained staff or lack of water supply
- Underestimate future need for emergency water because feel prepared
- The public may perceive that the emergency management department is not being sufficiently supportive

External

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Measurability- Action Tracking

Change takes time, establishing measurable indicators shows progress toward a desired outcome and creates a culture beyond checking a box.

How to measure progress?

- **Units completed** – lends well to tracking tasks that are done repeatedly, where each iteration can easily be measured

- **Incremental milestones** – used in cases that involve subtasks that need to be completed in an orderly fashion

- **Start/Finish** – focused solely on capturing the starting point and the finishing point of the task and nothing in between

- **Cost ratio** – usually implemented on a project that has tasks that occur over a long phase or the entire project

- **Improved performance** – helpful for measuring progress against a measurable target

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Accountability

- Appropriate methods to track the progress of corrective actions should be approved prior to improvement planning

- Best practices include:

  - Collaboratively implement and track corrective actions with all stakeholders

  - Meet regularly to monitor and maintain changes

  - Take action to directly address challenges that arise and adjust implementation targets

  - Ensure that progress updates are tracked to full resolution, not just to completion

  - Provide status updates to leadership

  - Do not wait until the next disaster to evaluate courses of action

How will stakeholders be held accountable?

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Transparency

Continuous Improvement Programs should construct an environment where communication is free-flowing.

- Successful improvement planning requires stakeholders to be vulnerable about their areas for improvement and capabilities to improve
- AARs and improvement plans should include a communications plan
- Sharing information regularly on successful changes helps establish credibility the process
- Other emergency managers can learn from your success
- In some cases, the public may want to know what will change
- Interim findings and informal briefings can help get timely information to decision makers

What is your processes to encourage transparency in communication? Are there any limiting factors?

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Resources

- There are two toolkits on the FEMA Prep Toolkit:
  - Homeland Security Exercise and Evaluation (HSEEP) toolkit
  - Continuous Improvement Program Toolkit.
- To access the FEMA Prep Toolkit directly, visit us at: https://preptoolkit.fema.gov/web/communities.
- To request a Prep Toolkit account, please navigate to: https://preptoolkit.fema.gov

Contact Us

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