Work Package 2.2.2

Work as Done Validation

Vehicle Interaction Control Improvement Project

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| WBS Parent | 2. VI Control Effectiveness (Phase 2) |
| WBS Reference | 2.2 VICE Baseline Validation Workshop |
| Work Package | 2.2.2 Work as Done Validation |
| Package Owner | Validation Workshop Facilitator |
| Owner Organisation | Your Company |
| Participants | Validation workshop participants made up of selected operations personnel, site and divisional HSE personnel, supported by experienced workshop facilitators for validation workshop. |
| Capability Required | Facilitators with CFw validation workshop experience. Cross sectional team with extensive site operations knowledge and experience.  Oversight by project manager, project team and senior operations personnel. |
| Description | Introduce workshop participants to the Control Framework Approach that they will apply to compare work as done with work as documented following this this iterative process:   * + - 1. Review the Required Operating State and confirm that it is relevant to safe and productive mobile equipment operations for this site.       2. Review each Credible Failure Mode and confirm that the operational scenarios apply, and it can compromise the Required Operating State being reviewed.       3. Then review each related Business Input to confirm that it can prevent or mitigate the Credible Failure Mode from compromising the Required Operating State.       4. Based on operational practice review and update ‘work as documented’ details on how the Business Input is:   1. Specified   2. Implemented and   3. Monitored |
| Completion State | **All Control Management Sheets reviewed by participants. Site Vehicle Interaction Control Effectiveness (VICE) Version 2 Validated Performance Baseline.** |



**Process**

Small Group Work on Site Vehicle Interaction Control Management Sheets with Regular Large Group feedback.

| **Activity** | **Notes** |
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| When people return assign each small group a working area.  Confirm that each participant knows where they are going.  For the first review round assign small groups to appropriate Control Sheets e.g. those groups with maintenance personnel to:   * **ROS 08** - When a Vehicle Component alarms the operator responds appropriately.   And small groups with Operations and Trainers to:   * **ROS 06** - Physical barriers provide separation or * **ROS 09** - Loads are appropriate for vehicle type and site conditions, items are secured during travel. | **Get the groups working productively ASAP.**  Issue many red marker pens and post-it notes.  Encourage everyone to contribute, ensure that people rotate through roles.  Trust the process – people will step up i.e. it does not need to be facilitator led.  Provide a set of reference materials to each small group:   * Details of all Business Inputs * Credible Failure Mode details   Observe the small group work, support people to understand and apply the approach.  The quality of discussions and content generated will confirm the level of understanding. |
| Small group feedback – nominate a time for the groups to report back (there is no need for them to have completed their task).  At the nominated time, pause the groups for a summary of the validation work by each group.  The group presentation should be:   * A summary of the ROS and how they confirmed or added to the credible failure modes * Any significant edits or opportunities for improvement (OFI) identified for Business Inputs * Overview of their work – with prompts to encourage further opportunities for improvement suggestions from the larger workshop group   Ensure that the working groups have breaks for lunch but allow them to work at their own pace. | Small group feedback will accelerate during the validation workshop.  Encourage people providing the feedback to concentrate on the non- shaded business inputs i.e. those that are new.  Monitor small group progress and plan for the next control sheets.  It is useful to begin updating the VICE Baseline during the workshop. This enables facilitators to ask questions and ensure that they get the information that they need. Take photos of completed sheets.  Consider asking participants to capture progress directly to the VI Baseline Control Sheets on shared drives. |
| Small group progress feedback is essential for:   * Monitoring progress * Capturing useful content * Developing trust between small groups a business inputs requires just one detailed review * To confirm that the context has been considered for repeated business inputs by reviewing the linked Credible Failure Mode (CFM) and Required Operating State (ROS) * Additional Business Input details added to repeated business inputs should be explained during large group feedback. |  |
| The VI Control Baseline Validation Workshop follows this iterative process:   1. Review the Operational Required Operating State and confirm that it is relevant to safe and productive mobile equipment operations for the site 2. Review each Credible Failure Mode and confirm that the operational scenarios apply, and it can compromise the Required Operating State being reviewed 3. Then review each linked Business Input to confirm that it can prevent or mitigate the Credible Failure Mode from compromising the Required Operating State 4. Based on operational practice review and update details on how the Business Input is:    1. Specified    2. Implemented    3. Monitored   The process is illustrated in the Figure below. | This format and work cycle provides participants with a whole system overview and an operational context as they review each Business Input in detail.  All ROS are usually relevant.  Some CFM depend on site operations but remember CFM relevance was considered during baseline mapping.  When updating Business Inputs based on operational practice ask the small groups to identify gaps and provide details of ‘**opportunities for improvement’**.  Ask for operational examples that explain  the gaps. |
| **Close at the End of Day** **1**  Workshop close - reform as a large group and:   * Ask for feedback on the process. * Confirm that participants are satisfied with the outcomes. * Outline day 2 work. * Complete a check out by asking each participant to describe the standout from their work on day 1. * When check out is completed, thank participants for their contribution. * Confirm the day 2 start time   Ask a senior manager to close the workshop if available. | Consider using a circle or horseshoe arrangement of chairs for large group sessions. |

**Figure 2.2.2 a Control Management Sheets – Operational Validation Step**



| **Activity** | **Notes** |
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| **Day Welcome and Check In**  Welcome participants:   * Ask participants to sign-in   Recommence the workshop in large group space:   * Day 2 welcome back by facilitator * Ask for any overnight reflections on the process and opportunities to improve vehicle interaction controls * Describe the schedule for day 2 including the timing for feedback to senior managers.   Identify 3-4 people to prepare and deliver workshop feedback to senior managers. | Ask each participant to speak in turn during the check in.  Allow 30 – 40 minutes.  Capture improvement opportunities.  The 3-4 people nominated to prepare and deliver the workshop feedback are expected to participate in Day 3 planning work. |
| **Continue with the VI Control Baseline Validation** **Workshop iterative process:**   1. Review the Required Operating State and confirm that it is relevant to safe and productive mobile equipment operations for  the site 2. Review each Credible Failure Mode and confirm that the operational scenarios apply, and it can compromise the Required Operating State being reviewed 3. Then review each linked Business Input to confirm that it can prevent or mitigate the Credible Failure Mode from compromising the Required Operating State 4. Based on operational practice review and update details on how the Business Input is: 5. Specified 6. Implemented and 7. Monitored | This format and work cycle provides participants with a whole system overview and an operational context as they review each Business Input in detail.  All ROS are usually relevant.  Some CFM depend on site operations but remember CFM relevance was considered during baseline mapping.  When updating Business Inputs based on operational practice ask the small groups to identify gaps and provide details of ‘**opportunities for improvement’**.  Ask for operational examples that explain the gaps. |
| Capture and update information from the small group work throughout the workshop. Review mark ups, post-it notes, comments on sheets and opportunities for improvement.  Ask for operational examples that illustrate ‘opportunities for improvement’, include these in OFI descriptions. | Facilitators and co-facilitators should capture information as groups are working. Take photographs of every sheet for reference and data security.  If the notes are unclear, ask questions directly to the small groups, especially around opportunities for improvement.  Make sure the small groups are working well before asking a member to directly update the baseline.  While this is a useful efficiency step, remember that the power of the validation workshops is in the small group conversations. |
| When groups complete their reviews a set of Control Sheets by ROS, allocate them a new set of ROS Control Sheets.  As Session 3 continues, consider asking more than one small group to review separate sheets from the same ROS e.g. for ROS 01 Operators Maintain Clearance where the small group tasked with this ROS has not completed their review. | Where there are multiple control sheets for larger ROS - on day 2 consider assigning these to more than one group. |
| Monitor the progress on the review of Control Management Sheets for make sure that all are reviewed.  Reform the large group at least a few hours (2+) before the scheduled feedback to senior managers.   * Ask the 3-4 people nominated to begin preparing workshop feedback to senior managers. * Get each small group to apply a process where each team is prompted to identify their “Top 10” improvement items or concerns. * Run the feedback preparation and the completion of VI Baseline Control Sheets concurrently.   Assist the feedback group to prepare and deliver a summary presentation for senior managers covering:   * An overview of the validation workshop process * Headline findings (opportunities for improvement) * Stress work required to restore current design and operate VI Controls to name plate.   Capture response from senior managers. | It is efficient to organise workshop findings (opportunities for improvement) into logical categories for senior management feedback.  For example:   * People * Process * Equipment * Operating environment |
| **Workshop Close – working as large group**:   * Summarise the next steps for improvement planning. * Confirm that participants are satisfied with the process and outcomes so far. * Complete a check out by asking each participant to describe the most important opportunities for improvement from the baseline review work. * Ask for senior manager for final comments last in the check out. * When check out is completed, thank participants for participating and close the workshop. | Write the next steps down on butcher’s paper or a whiteboard.  Confirm that each opportunity for improvement identified by workshop participants has been collected and will be reviewed.  Capture the two most important opportunities identified by each participant. |

**References**

* EMESRT VICI Facilitators Guide
* [Control Management Sheets for the Site](https://emesrt.org/wp-content/uploads/2024/06/20240122_VI_ControlManagementSheets.xlsx)

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