

SITUATIONAL RISK ASSESSMENT AND ANALYSIS TOOL SET (Tool 3a)

Project Name: <u>Big Sky Privacy Rules Complaints Training</u>		Date: _____					
Step One of Situational Risk Analysis™	Step 1. What is the impact if your project fails?	Question 1. What are the potential consequences to the organization if your project fails?					
	Consideration: Why does your project really matter? If it fails in achieving its objectives, what are the potential business consequences in key result areas (a) through (o)? Review key results (a) thru (o) and select whether the consequences of failure are <i>high</i> (6 or 5), <i>moderate</i> (4 or 3), or <i>low</i> (2 or 1) for each. Ask your client and possibly other key stakeholders to provide their rankings. Note their verbal comments, not just their numerical ranking.	Hi		Mod		Lo	
	(a) A key business goal or strategy may not be achieved	6	5	4	3	2	1
	(b) Safety or health of employees, customers, or public is endangered	6	5	4	3	2	1
	(c) Negative impact on quality (effectiveness) of organization's products or services	6	5	4	3	2	1
	(d) Negative impact on organization's output of products or services	6	5	4	3	2	1
	(e) Negative impact on revenue or the cost of doing business	6	5	4	3	2	1
	(f) Negative impact on time to complete projects, tasks, or activities	6	5	4	3	2	1
	(g) Negative impact on the responsiveness, versatility, or productivity of workforce	6	5	4	3	2	1
	(h) Negative impact on profit or the ability of the organization to obtain funding	6	5	4	3	2	1
	(i) Negative impact on customer service or customer/partner relationships	6	5	4	3	2	1
	(j) Negative impact on the organization's financial position or status	6	5	4	3	2	1
	(k) Negative impact on the organization's public image or status	6	5	4	3	2	1
	(l) Negative impact on the organization's brand or market position	6	5	4	3	2	1
	(m) Negative impact on the organization's political persuasion	6	5	4	3	2	1
	(n) Negative impact on security of organization's assets or resources	6	5	4	3	2	1
(o) Regulatory or accreditation requirement, or management directive may not be met	6	5	4	3	2	1	
Key comments on the ranking: _____							
<p>Scoring: When analyzing the results, you can average the scores of the stakeholders or you can prioritize them based on who you feel is in the best position to provide the ranking. You should also factor in verbal comments made by the people providing the rankings. Comments can have more significant meaning than a numerical rank.</p> <p>1. If your project scores at least 4 on the consequence scale in one or more of the key result areas, it is an initial candidate for a transfer action and strategy. <i>You should proceed to step two of the Risk Analysis.</i> The higher the score in any one key result area or the more key results areas that receive a high score, the more important your project is and the more likely a transfer action and strategy will also be important.</p> <p>2. If your project does not score above 3 in at least one key result area, you should discuss project postponement or cancellation with your client. If the timing or circumstances are unsuitable, perhaps postponement is in order. If it appears the project will not score above a 3 under any set of foreseeable circumstances, then perhaps it should be canceled. You should seek your client's position on this and make recommendations accordingly.</p>							

The Big Sky Medical results indicate a clear candidacy to move forward with the risk analysis. We can give a high score of **6** based on items (c), (i), (j), (k), and (o). Only one key result impact is needed, and we have several key result impacts here. This is a five-step process, so let's continue with step two of the risk assessment. The next step will take us a little closer to making a decision about the need for a transfer action and strategy. We will assess how the

participant's *current habits* will influence execution in the work setting immediately following the training.

Project Name: <u>Privacy Rules Complaints Training</u>		Date: _____					
Step Two of Situational Risk Analysis™	Step 2. Will participants' old habits be a barrier?	Question 2. Immediately following the training, what is the probability that participants will continue their old ineffective habits and avoid the new execution requirement?					
	Consideration: Will the performers eliminate their old ineffective habits? <i>Think about the following:</i>						
	<ul style="list-style-type: none"> When performers are set in the way they do things on the job (current habits) and they have been doing it that way for an extended period of time, they will often resist any new approach or any new requirement. They will often rely on what they believe has worked for them and continue to do as they have always done. If we are changing their work processes and there is a way they can continue doing it "their way," they may choose to continue their old habits even if they are ineffective. Ineffectiveness is in the eyes of the beholder. Ineffectiveness is not so easily observed or discovered. Ineffectiveness can sometimes be concealed for weeks, months, or longer. Even if we are introducing new technology to the work setting, there are situations in which the performer can choose to ignore the new capabilities in favor of continued use of the limited capabilities of the old technology. Continued performance by relying on <i>old habits</i> may be the cause of errors, dissatisfied customers (or employees), low productivity, or other deficient outcomes. But if no one or nothing stands in the way, performers may continue these old habits because they are comfortable performing this way and may not realize the negative outcomes they are influencing. 						
	<p>Reflect on these issues and respond to the question: Is the probability <i>high</i> (6 or 5), <i>moderate</i> (4 or 3), or <i>low</i> (2 or 1) that participants will continue old ineffective habits immediately following training? Ask for the opinion of at least three sources you feel may be credible to address this issue (client, task expert, the performers, training committee, and the like).</p>	Hi		Mod		Lo	
	What is your personal answer?	6	5	4	3	2	1
What is the answer of the sources you chose?	6	5	4	3	2	1	
Key comments on the ranking: _____							
<p>Scoring: When analyzing the results, you can average the scores (of you and your sources) or you can prioritize them based on who you feel is in the best position to provide the ranking. You should also factor in verbal comments made regarding the rankings.</p> <ol style="list-style-type: none"> If your project scores at least a 4 on the consequences scale, it is definitely a candidate and you should consider developing a transfer action and strategy. The higher the score, the more likely your project should include a transfer action and strategy. If your project scores 3 or below, you may not need a transfer action, but you should wait until you complete steps three, four, and five before making a decision. 							

Let's conclude here that our sources gave step two an average score of **5** with the comment that "People will need to be reminded to change how they casually handle records. They will not do this automatically." Step three of the risk assessment will assess how confident the participants will be in executing the knowledge and skills on the job immediately following the training.

Project Name: <u>Privacy Rules Complaints Training</u>		Date: _____					
Step Three of Situational Risk Analysis™	Step 3. Will participants lack the confidence to do it?	Question 3. What is the probability that participants will lack confidence in executing the skills and behavior in the work setting immediately following the training?					
	Consideration: Which of the following three scenarios best describes your training project? As you review these items, reflect on the learning and task difficulty, the departure from the norm, and how easily the knowledge and skills can be generalized from the training setting to multiple job scenarios, job settings, and job conditions.						
	Confidence Categories: (a) The training project includes sufficient skill practice so that participants should leave with the confidence to execute the skill/behavior when they return to the work setting. (b) The training project includes some skill practice, but relies principally on participants to gain and grow their skills through continued application on the job. (c) The training project simply imparts knowledge and leaves the skill practice to trial and error on the job. Based on your answer to the above three scenarios, is the probability <i>high</i> (6 or 5), <i>moderate</i> (4 or 3), or <i>low</i> (2 or 1) that participants will lack confidence in executing the skills/behavior immediately following training? Ask for the opinion of at least three sources you feel may be credible to address this issue (client, task expert, the performers, training committee, and the like).	Hi		Mod		Lo	
	What is your personal answer?	6	5	4	3	2	1
What is the answer of the sources you chose?	6	5	4	3	2	1	
Key comments on the ranking: _____							
<p>Scoring: When analyzing the results, you can average the scores (you and your sources) or you can prioritize them based on who you feel is in the best position to provide the ranking. You should also factor in verbal comments made regarding the rankings.</p> <ol style="list-style-type: none"> If your project scores at least a 4 on the above scale, it is definitely a candidate and you should consider developing a transfer action and strategy. The higher the score, the more likely your project should include a transfer action and strategy. If your project scores 3 or below, you may not need a transfer action, but you should wait until you complete steps four and five before making a decision. 							

Let's say that we assigned this a confidence category of (c) because this is strictly knowledge of the HIPAA guidelines. Limited skill is involved here and only a few job-related scenarios are covered in the training, so there is no skill practice or drill of the guidelines. We then provide this context to our sources and ask them to respond to question 3 with a confidence ranking. Our sources provide a low score of **2**, stating that confidence should not be an issue if they stay engaged during the training.

Before proceeding to the next step, let's address the issue of choices. If you have been working in the training field for some period of time, you will be aware that even though participants may learn new knowledge and skills, and even though they may be highly confident in their ability to apply the skills or behavior, and even when old habits are a nonissue, they still may not execute what they learned when they return to the work setting. When this occurs, it is also likely they are making a *conscious choice* to not execute the skills or behavior.

Inadequate incentives or lack of consequences may also be one of many factors that influence their decision regarding execution in the work setting. It follows then that this matter of choice should be important to us as we strive to bring the training full circle into the work setting.

Step four of the risk analysis is our last assessment question before making a decision on the need for a transfer action and strategy. In step four, we assess the extent to which participants will likely execute what they learned when they return to the work setting. Think about this issue in the context of the type of skills or behavior being addressed, the work environment, the work processes, and the potential consequence to the individual performer in making execution choices.

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Project Name: Privacy Rules Complaints Training **Date:** _____

Step Four of Situational Risk Analysis™	Step 4. Will participants avoid doing it?	Question 4. What is the probability that participants will avoid executing the skills or behavior on the job?						
	<p>Consideration: Even if we identify the right audience, we do an outstanding job delivering the right training, and participants learn it and have confidence in applying it, and old habits are not an issue, will they avoid executing it on the job?</p> <ul style="list-style-type: none"> Consider the reality of this question. Do participants have a choice? Will they be able to opt out of executing the skill or behavior if they choose? Will someone track their execution or even know what they do? Will the participant's immediate manager support and reinforce execution? Are rewards compatible with desired performance? Do the performers perceive consequences based on their execution choices? Are we asking them to do something that may be inconsistent with their personal belief or preferences? Will intervening variables, competing priorities, or work setting barriers prevail? <p>Select whether the probability is <i>high</i> (6 or 5), <i>moderate</i> (4 or 3) or <i>low</i> (2 or 1) that participants will avoid executing the skills or behavior. Ask for the opinion of at least three sources you feel may be credible to address this issue (client, task expert, the performers, training committee, and the like).</p>	Hi	Mod					
		What is your personal answer?	6	5	4	3	2	1
		How does your client answer?	6	5	4	3	2	1
		How do participants' immediate supervisors answer?	6	5	4	3	2	1
What is the informed opinion of your other sources?	6	5	4	3	2	1		

Key comments on the ranking: _____

Scoring: When analyzing the results, you can average the scores of the stakeholders or you can prioritize them based on who you feel is in the best position to provide the ranking. You should also factor in verbal comments made by the people providing the rankings.

(a) If your project scores at least a **4** on this scale (or if it scored at least a **4** on step two or three), it is definitely a candidate and you should consider developing a transfer action and strategy. The higher the score, the more likely your project should include a transfer action.

(b) If your project scores **3** or below on step four and the score for steps two and three was also **3** or below, you may not need a transfer action. Unless you have a compelling reason to proceed, you have completed the risk analysis and you do not need to go to step five.

Let's conclude that our sources gave an average score of **5**. Comments from the sources base this score on the performer's perceived lack of consequences (based on history), old habits of mishandling files, and the daily pressure of getting things done (pressed for time).

In step five of the risk assessment we will consolidate the scores from the other steps along with the reasons for the rankings and make a final decision on the need for a transfer action and strategy. If your score warrants a transfer action, issues such as cost, logistics, internal politics, or lack of client support for a transfer action may work against you. If your rankings are credible, you should continue to pursue a transfer action even against these odds. What have you

got to lose? You have already said the training is not likely to work without a transfer action. You and your sources have concluded that the probability of execution is not in your favor.

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Step Five of Situational Risk Analysis™	Step 5. Transfer Action Decision: Go or No Go	Summary					
	It's decision time. Your project advanced beyond step one or you would not be working this step. So plot your scores for steps two, three, and four. Insert important comments made by you and the stakeholders and proceed to the decision window.	Probability					
		Hi	Mod		Lo		
	Step 2. Will participants stay with old habits?	6	5	4	3	2	1
	Step 3. Will participants lack the confidence to do it?	6	5	4	3	2	1
	Step 4. Will participants likely avoid doing it?	6	5	4	3	2	1
Important comments about the ranking: _____							

We have consolidated the highlighted scores from steps two, three, and four. During their scoring, our sources concluded that old habits would not be easily overcome because of a lack of performance feedback from supervisors and due to performers' perceived lack of consequences. Also, the time pressures in the job are not in our favor. Something other than the formal training is needed to influence execution in the work setting following the training.

Decision Window: If you scored a 4 or greater on steps two, three, or four (or all), you should review the important preceding comments and proceed to determine the transfer strategy you will recommend. You can still decide against a transfer strategy at this point if you desire. *However, you should have a compelling reason for opting out and you should discuss it candidly with your client, sponsor, training committee, or other stakeholder s.* Perhaps you concluded that a transfer strategy is not needed because your information and observations indicate the level of management interest and involvement in the work setting will be sufficient to influence the desired transfer. Perhaps you are not certain.

Consider how you will communicate this analysis and how you will partner with your client and other stakeholders to get the desired results with your recommended strategy. Proceed by completing the following steps:

1. Consider the likelihood that your client, other members of management, or a support group may need to participate beyond the norm to initiate and sustain desired results of this training.
2. Seek input from your sources on an appropriate transfer action. You should be consultative by offering possibilities.
3. After deciding on one or more transfer actions, fully develop your transfer strategy for implementation at the proper time.

The time frame of your transfer strategy is important. It should begin immediately upon participants' return to the work setting. It should continue for a length of time (usually weeks or months) to allow confidence to improve, barriers to be overcome, and the new skills or behavior to become the new norm. Remember, some people are trying to undo old habits, others are happy with their way of doing it now, others are trying to jump over hurdles, and others are simply resisting change. Is there anything else that may deter transfer? It takes time and attention to achieve successful transfer.

Note: The job aid in Exhibit 7.1 may be helpful in selecting a transfer action and strategy.