Facilitating After Action Reviews (AARs) & Constructive Reviews

2016

Program Agenda

- Overview
- AAR Management
  - Planning
  - Event Facilitation
  - Follow-up
- Constructive Reviews
- Closing Notes

Chat Topic

For anyone familiar with Lessons Learned, Retrospective or Post Mortem sessions, can you tell us what these all have in common?

Please use the chat

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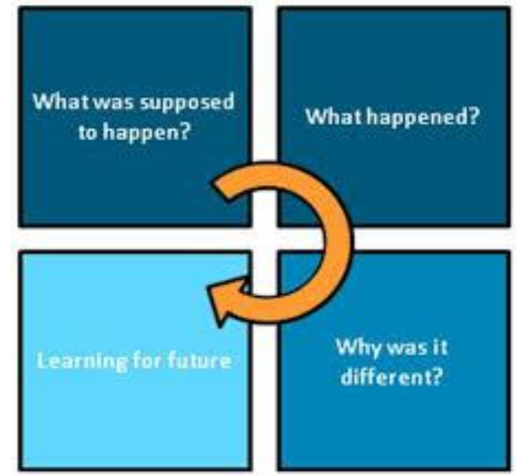
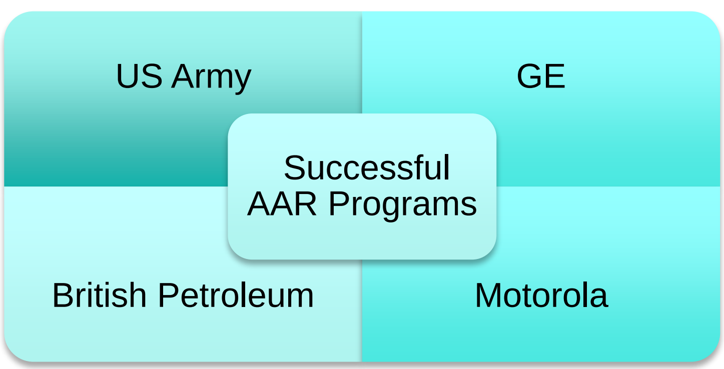
Overview

What is an AAR?

An **after action review** (AAR) is a ***structured*** review or de-brief process for analyzing ***what*** happened, ***why*** it happened, and ***how*** it can be done better by the participants and those responsible for the project or event.





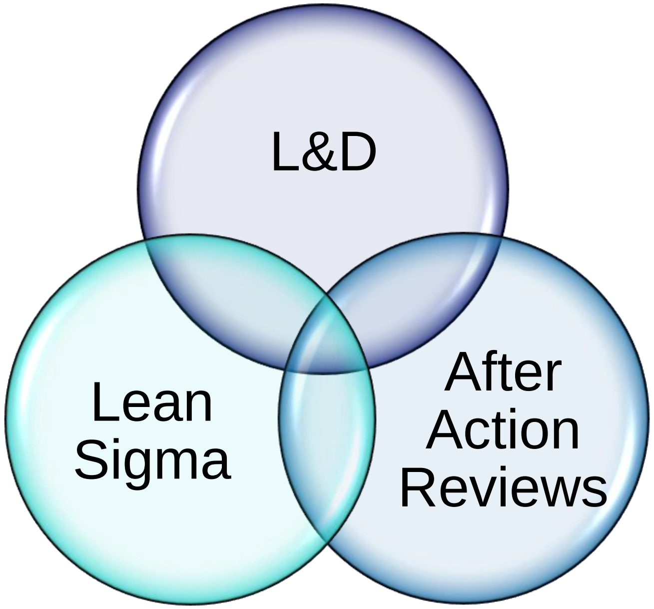
After-action reviews in the formal sense were originally developed by the U.S. Army.

Their use has extended to business as a knowledge management tool and a way to build a culture of accountability and learning.

A Renewed IMS Learning Culture

IMS encourages teams, individuals and organizations to assess their performance candidly and use the knowledge to improve future work through After Action Reviews (AARs).

Experience-based Learning Culture



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After Action Review Format

When: Team members gather just after the close of a project or event

Duration: 1 to several hours depending on topic reviewed

Venue: Facilitated cross-functional group discussion in person or via video conference

Time spent	Topic
10 – 15%	What did your team set out to do? Objectives
10 – 15%	What actually happened? Strengths and Weaknesses
25%	Why did it happen? Root causes
50%	What are we going to do about it? Actionable Recommendations

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Sample AAR topics

- The latest contract negotiation with Pfizer
- A development project for Merck in Germany which launched in Q4
- The Q1 2015 ISO 9001 audit in the US
- Preparing for the Q1 OR meeting in London
- Response to the Nov 2013 typhoon in the Philippines
- Managing a critical data quality issue for GSK

AAR Roles

Role	Responsibilities
Sponsor	Provides goals, scope, background information, and list of participants Helps with pre-work Introduces and attends the AAR event Accountable for the action plan (may delegate)
Facilitator	Creates the charter Does pre-work (interviews, data collection) Facilitates the AAR Compiles action plan and AAR summary Ensures follow up on action plan status Sets up and maintains documents in the central repository Identifies best practices to help other teams

Characteristics of a good AAR facilitator

- Seeks understanding, without blame
- Encourages others to be candid, but professional
- Impartial
- Calm
- Summarizes key points
- Stays focused on agenda

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AAR Facilitator Certification

- You will be eligible for certification by facilitating *two* AARs and uploading your findings to ARC.
- Certified AAR facilitators receive a certificate.

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AAR Management

AAR Event Management

Planning

- Discuss the topic
- Identify right facilitator
- Create charter
- Add details in repository
- Do Pre-work

Project Charter

Template

Business Case

What is the event we'll focus on? Why is it worth reviewing?

Goal Statement/Financial Impact

What specific outcomes should we have? By when?
(Quantify)

Problem Statement

What problems occurred and what was the impact? Were there some things that went well?

Project Timeline

- When and where will we hold the AAR?
- How long will it last?
- Will some participants be remote?

Project Scope

What topics will be discuss at this AAR?
Are there certain areas of the event we want to focus on more than others?

Team Roles

- Sponsor:
- Facilitator:
- Participants: *All functional areas represented / 8 – 12 participants ideal*

Sample Charter

IT Audit AAR

Business Case
The internal audit team conducted several IT audits in the past year to measure IMS' ability to control IT-related risk. Results varied widely. We would like to improve our ability to respond to findings. In the long-run, we want to improve our IT security.

Goal Statement/Financial Impact
Enable timely and appropriate management response to IT audit findings (immediate concerns & proactive risk mitigation);
Increase IMS' ability to control IT-related risk

Problem Statement
- Outcomes varied widely with scores ranging from A- to F.
- Teams audited experience some difficulties addressing concern about our IT-related risks: ownership of activities, understanding how to mitigate issues, etc.

Project Timeline
- June 17, 2013 (3:00 – 5:00 p.m. EST)
- Plymouth Meeting, USA

Project Scope
Scope includes audit prep and response to findings.

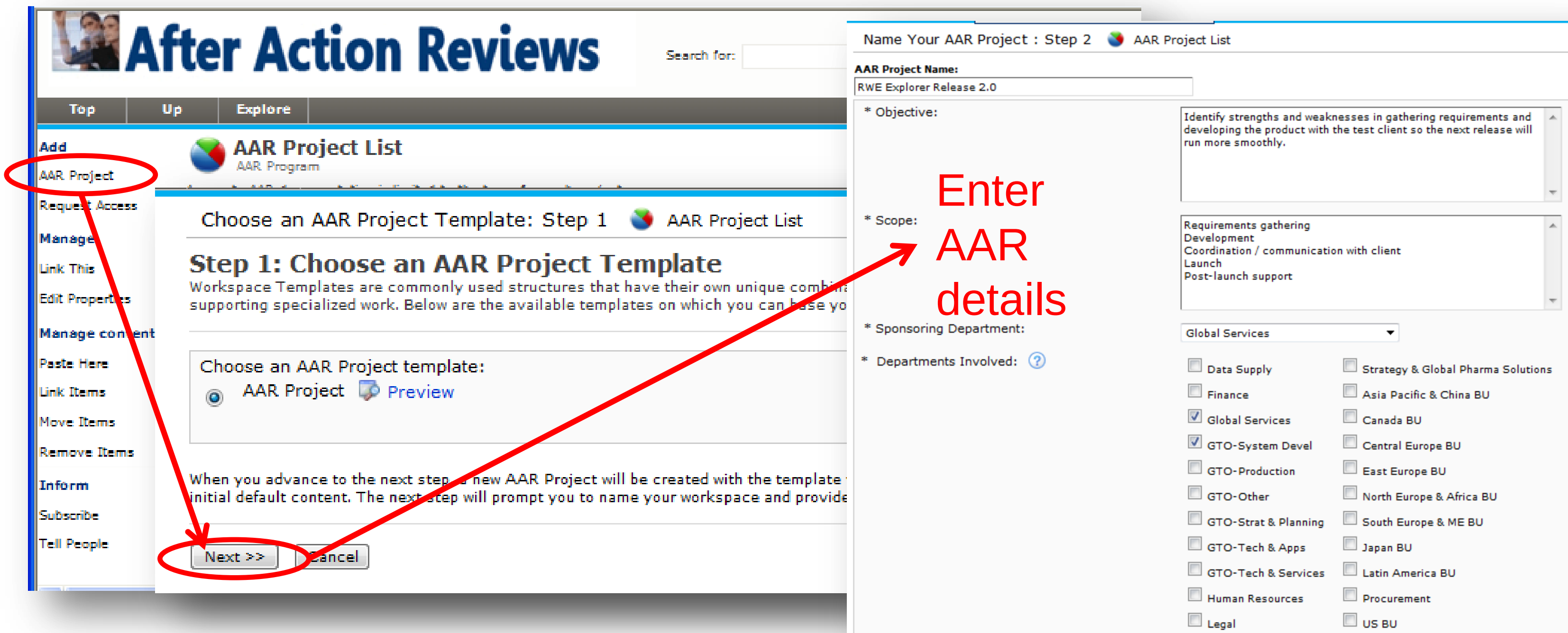
Use audit conducted in the Madrid Production Center (MASA/IPH) as an example to discuss barriers to addressing IT risk future audits.

Team Roles
- Sponsor: Jim Berkshire
- Facilitator: Lisa Cooney
- AAR Support: Tamra Kirkpatrick
- Participants: Simon Alves, Andrei Stoica, Stewart Gordon, Paul Johnson, Reem Zahran, Chris Nickum, Kaori Kojima,

Planning

Add details in repository

- Capture details in the [AAR Repository]after you have a charter by creating a new folder for your AAR.
- Follow the [guidelines] for creating the folder.



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Planning

Pre-work

Interview key participants to gather information:

What did the team set out to do?

What actually occurred?

Create a brief summary. Allow the sponsor and key stakeholders to refine it prior to the AAR.

If there is significant disagreement, schedule the AAR in two meetings:

Part 1: What did the team set out to do? What actually occurred?

Part 2: Why did it happen? What are we going to do differently in the future?

Chat Topic

Why do you think its important to do pre-work before the AAR?

Please use chat

Facilitating

- Set the Tone
- Review agenda & pre-work
- Lead the discussion
- Close the event

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Facilitating

Set the tone

- The sponsor sets the tone – a safe environment
- The facilitator reinforces throughout the AAR:
  - No blame
  - Candid, but professional
  - Focus on improving next time

Facilitating

Agenda

Time	Topic	Led by
5 – 10 min.	Opening remarks	Event sponsor / ELG member
5 – 10 min.	Team introductions	All
5 – 10 min.	AAR process overview / agenda	Facilitator
25% of discussion	Project / Activity Performance Discussion: 1. What did the team set out to do? 2. What actually happened?	Facilitated team discussion
25% of discussion	3. Why did it happen?	Facilitated team discussion
50% of discussion	4. What are we going to do about it?	Facilitated team discussion
5 – 10 min.	Closing and Next steps	Event sponsor / Facilitator

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Facilitating

Question 1

What did the team set out to do?

Be specific and quantify

Pull from original project / activity documentation

Quickly gain agreement with the team

Facilitating

Question 2

What actually happened?

Focus on outcomes (good and bad)

Identify the gaps between expected and actual result

Be quantitative and specific

Describe impact for IMS and customers

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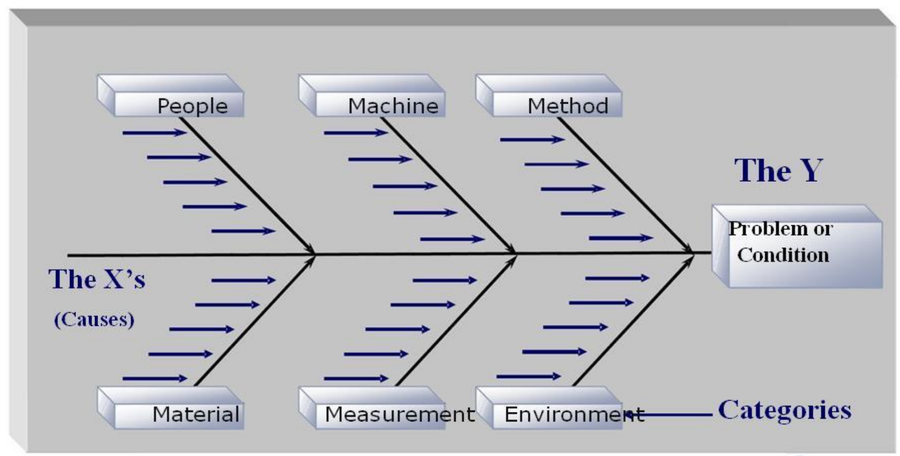
Question 3

- **Why did it happen?**
  - Identify the root causes of the outcome (Ishikawa diagram and the 5 Whys technique may be useful.)

5 Whys



enterprise process management

  - Focus on what went *wrong* but also what went *well*

Facilitating

Question 4

- **What are we going to do about it?**
  - Create recommendations to improve future performance (avoid previous faults & leverage strengths)
  - Be creative
  - Identify timing and owners for each action to be implemented
  - Note: Some AARs may result in learnings rather than specific actions.

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Facilitating

Leading the discussion

Although listed as separate agenda items, teams may identify root cause and corrective actions for a result before discussing the result / issue.

Result #1: Communication was poor.

Why? What will we do to improve next time?

Result #2: The team quickly notified management when they had a problem.

Why? How can we make sure this happens again?

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Facilitating

Closing

- Highlight key learnings
- Thank participants for their contribution
- Specify who will follow-up on implementation items and when

Chat Topic

During the AAR event we should spend the majority of our time discussing the action plan **[What are we going to do about it?]**

Why do you think that is?

Please use chat

Follow-up after AAR

- Finalize report
- Load in repository
- Identify best practices
- Follow implementation

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Sample final report – IT Audit

Either the excel or PowerPoint AAR report template can be used.

After Action Review Report

AAR Topic	Date	Event City	ELG Sponsor	Event Sponsor	Facilitator	AAR Support Reso	Pariticipant name	Participant title	Participant role on team
IT Audits / Information Assurance	17-Jun-13	Plymouth Meeting	Sati Sian	Jim Berkshire	Lisa Cooney	Tamra Kirkpatrick	Sati Sian	SVP, Glb Tech Ser & Operations	ELG Sponsor
							Jim Berkshire	VP, Tech Strat & Planning,GTSO	Sponsor
							Andrei Stoica	Dir, Tech Innovation, GTSO	Participant
							Reem Zahran	Dir, Offering Development,GTSO	Participant
							Paul Johnson	VP, Offering Management, GTSO	Participant
							Simon Alves	VP, Production, GTSO	Participant
							Chris Nickum	President, CES	Participant
							Don Ragas	VP, Tech & Development, GTSO	Participant

1. What did the team set out to do? (specific objectives)

- Confirm that the control environment is robust enough to manage IT-related risks that could impact IMS and our customers.
- Provide management with visibility and advice on problems that expose IMS and its clients to IT risk
- Proactively address IT risk issues in a timely manner after audits
- Demonstrate IMS' capability as a world-class technology company and safe business partner

2. What actually happened? (outcomes and impact)

Preparation

Team audited had some understanding of the risks to be reviewed but limited knowledge of the controls desired (checklist needed)

Madrid team sent information in advance and made resources available for questions, but didn't understand in detail the prep required

Correcting specific audit findings

Findings were clearly stated but not all issues were under span of control of Madrid team

Resolution of some issues went beyond target dates

No project manager was assigned due to resource constraints

Controlling Risks Proactively (Share best practices, address root causes)

Madrid team shared results and some actions (related to security and data protection) with the Manila Hub.

However, some issues are common themes noted in audit findings in multiple locations

Communication

There is room for improvement

Sample final report – IT Audit continued

3. Why did it happen? (root causes)	
Strengths - The level of support from the audited teams - Openness and willingness to improve - IT policies are being developed - Some improvement in recent audits	**Weaknesses** Planning - No standard of acceptable risk for common areas - No master controls list, and hence a lack of clarity regarding what constitutes an acceptable control Correcting - Need impact analysis (cost, etc.) for those findings that cannot be resolved in the short term - Overall coordination of management response is lacking for some audits; a site/process/platform owner should be accountable - No common themes list; a minimum set of controls to be published by Andrei's team is not yet available - No delineation between short-term and long-term management actions Communicating - Lack of clarity on expectations: Schedule, results, timing, goals Overall - We have not yet invested in this; we only recently changed from an external to an internal auditor, who is uncovering more opportunities for improvement - A management report of open actions across audits is not available; a common system for capturing findings and identifying themes is not available.

4. What are we going to do about it? (Actionable recommendations to improve future performance)

#	Action	Priority (H/M/L)	Action Owner	Due date
1	Use existing audits as a basis for identifying a minimum/common set of controls and associated priority to be deployed globally. (This effort is already underway)	H	Andrei	30-Sep
2	Modify the audit report template to require separate management responses for (a) an immediate fix, and (b) long-term/preventive actions for High findings	H	Dmitry	31-Jul
3	Review SOX IT framework and identify common controls to be applied; distribute to IT management	H	Dmitry	30-Sep
4	Ensure identification of an audit "owner" during Audit planning/scoping discussion. This person will be accountable for timely management response to audit findings and to on-time completion of management actions; share audit learnings with similar sites (e.g. across hubs), and serve as the management POC with the internal auditor. *(Is there an audit "wrap-up" meeting? If so, would it be more appropriate to*	H	Dmitry	30-Sep
5	Require that the finding owner perform an impact analysis for those audit findings that cannot be addressed in the short-term and/or without significant cost	M	Dmitry	30-Sep
6	Communications: Issue GTSO-level communication regarding why we are conducting internal audits	M	Jim	30-Sep
7	Communications: Following audit kick-off meetings, ensure that the audit owner provides a communication to the team regarding the purpose/goals for the audit and what to expect during the audit	H	Dmitry	30-Sep
8	Generate a report to GTSO management summarizing cumulative audit results and open actions	M	Dmitry	30-Sep
9	Publish the audit schedule and grading scale	M	Dmitry/Jim	30-Sep
10	Monitor established metrics results vs targets: - 80% of management responses completed on time - An improvement of 2-3 grades in subsequent/related audits for areas that received a grade of "C" or below	H	Jim/Sati	30-Sep

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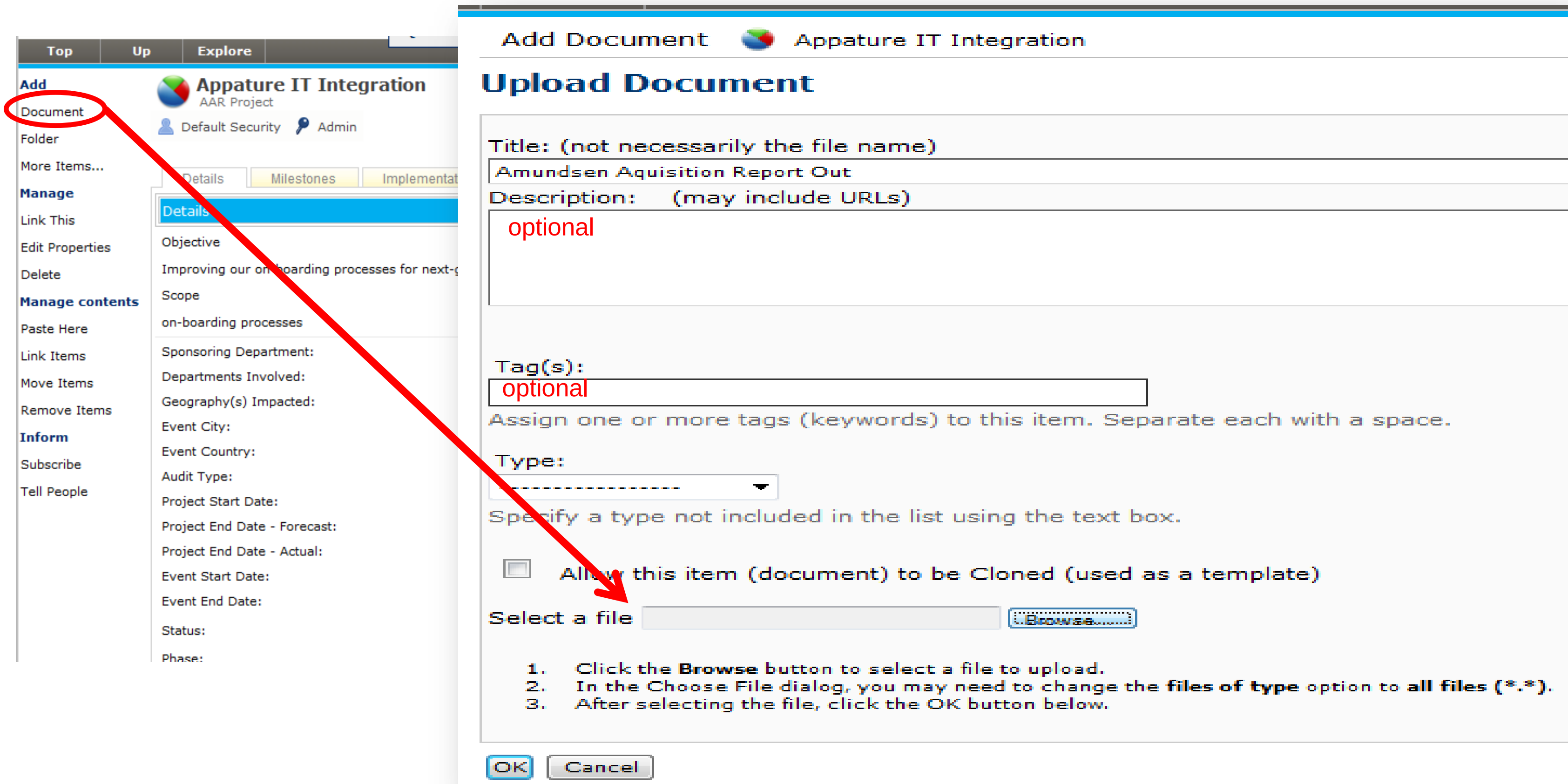
Follow-up

Finalize & Load Report

Load the final report in the AAR folder you've created.



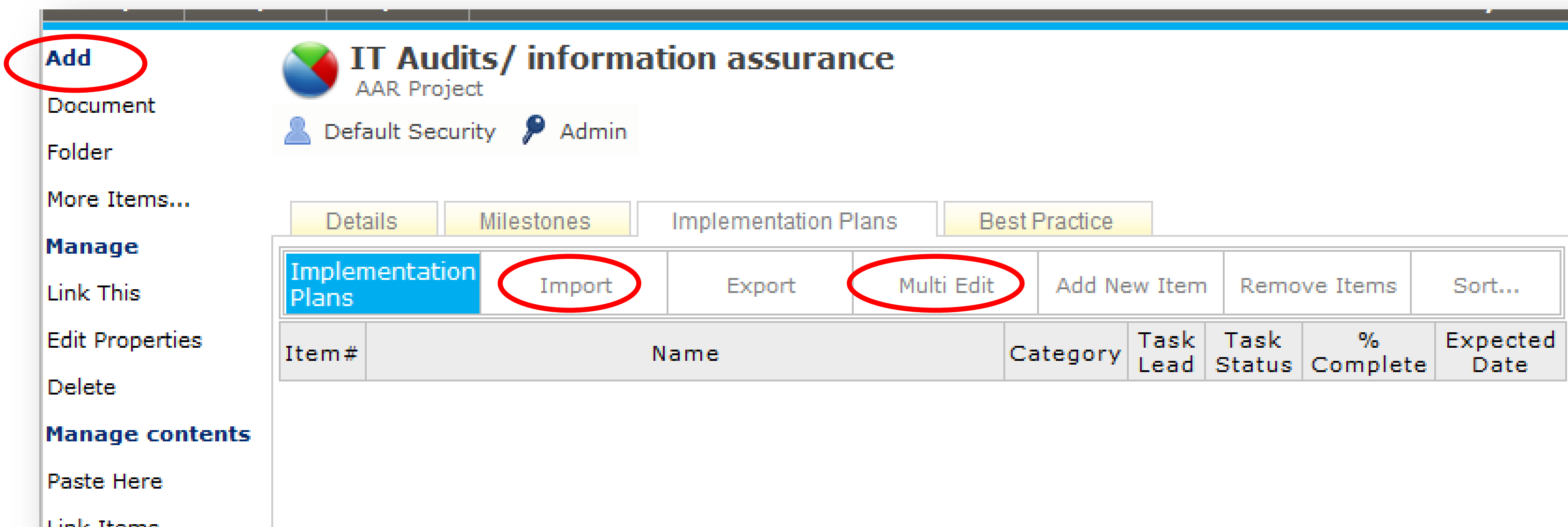
Follow-up

Finalize & Load Action Plan

1. Attach it as a document to the AAR folder using the “add document” feature.

OR

2. Add the implementation plan items using the multi-edit function or import. Refer to the guidelines for details.



Follow-up

Identify best practices

Summarize de-sensitized learnings and categorize the type of learning.

LEAN team edits learnings to eliminate redundancies and clarify wording.

Edited content is published quarterly. Employees can browse content categories that interest them.

AAR Best Practices Site

Lisa Cooney | Admin | Manage | imsnow | imshealth.com | Phone Book | Organization Chart | More ▼

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After Action Reviews   Google   Maps

After Action Reviews

Home >> Best Practices

Welcome

Welcome to the After Actions Reviews (AAR) Best Practices site. An AAR is a tool for performing an assessment of what went well, and where there is room for improvement, following important projects or activities. Observations and lessons learned from AARs are provided below to benefit other project teams in planning and executing future projects. Welcome to the After Actions Reviews (AAR) Best Practices site. An AAR is a tool for performing an assessment of what went well, and where there is room

Category

Client Related

Best practices related to identifying and gaining new clients, responding to RFPs, contract renewals and managing client engagements.

Identifying New Client / Market Needs
Managing Client Engagements
Negotiating Contract or Renewal
Responding to RFP
What's New

Sub-categories

Development/Technology

Learnings from development projects and activities related to managing technology support, standards and compliance.

Defining Client Requirements for IMS Offerings
IMS Tool and System Compliance
Launching New Service/Offering
Managing Development Efforts
Managing Technology Standards
Managing Technology Support
Troubleshooting Development Efforts
What's New

Follow-up

Identify best practices

The key points to remember when you write your best practice are:

- Ask yourself - would this advice help another team?
- Make it actionable
- Be concise, but state your idea clearly
- Make sure you give the context (In what situation would someone use this best practice?)
- Don't indicate whether the critical action was a strength or a weakness for your AAR team
- Don't list people's names

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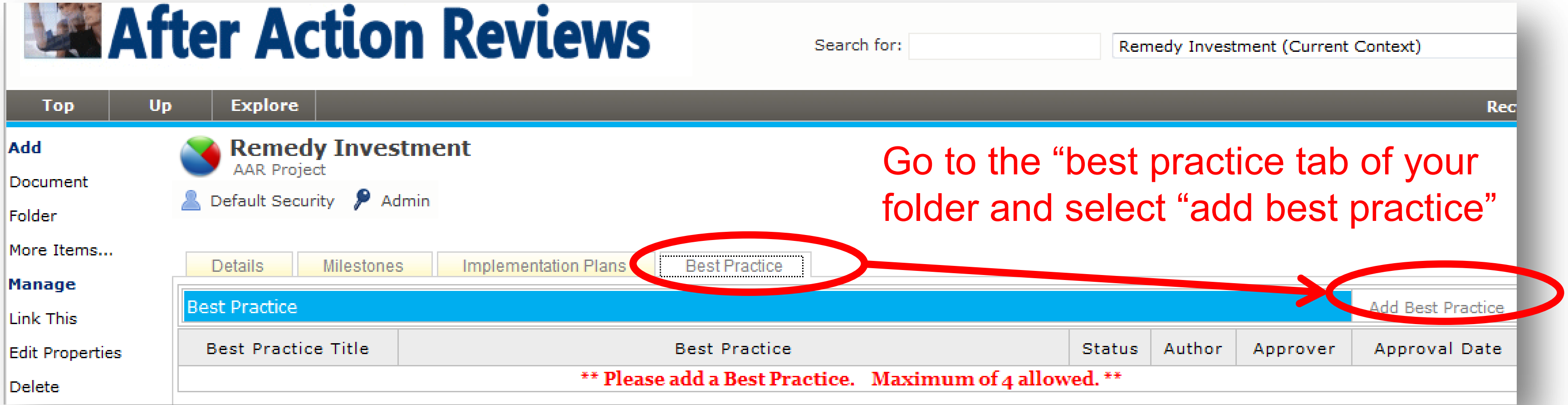
Best practice examples

Each best practice should stand on its own. Example:

- "When conducting IT audits, communicate acceptable risk levels for areas to be audited."
- "When conducting IT audits, create / maintain a list of recurring themes in audit findings to share among locations."
- "When responding to client RFP, gain a full understanding of client requirements and budgets during the RFP process and request additional calls with the client where required."
- "When responding to client RFP, ask client procurement teams to indicate their budget range on RFPs."
- "When delivering IT services across multiple countries, proactively perform knowledge transfer across countries to create SMEs."

Follow-up

Add best practices



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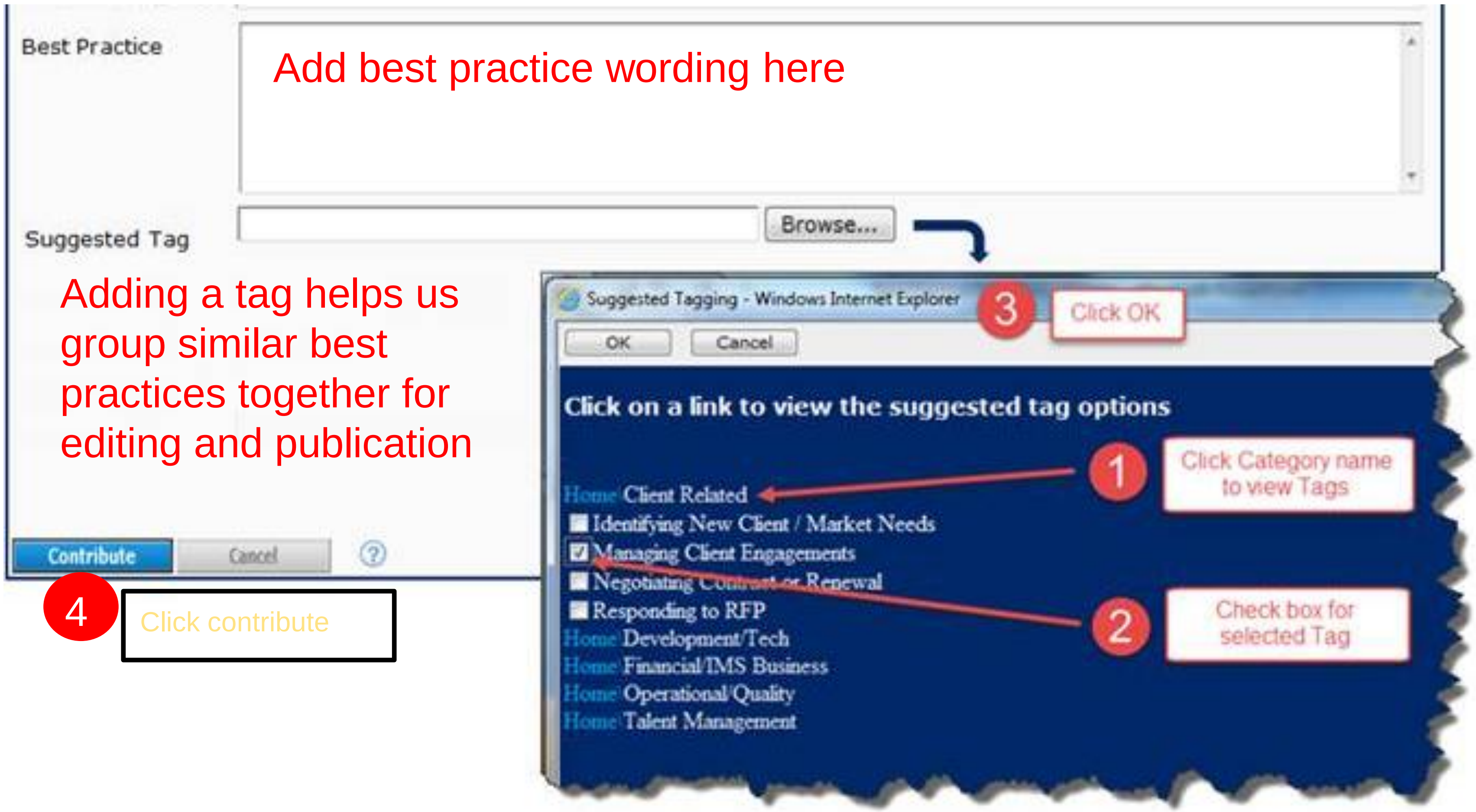
Follow-up

Add best practices



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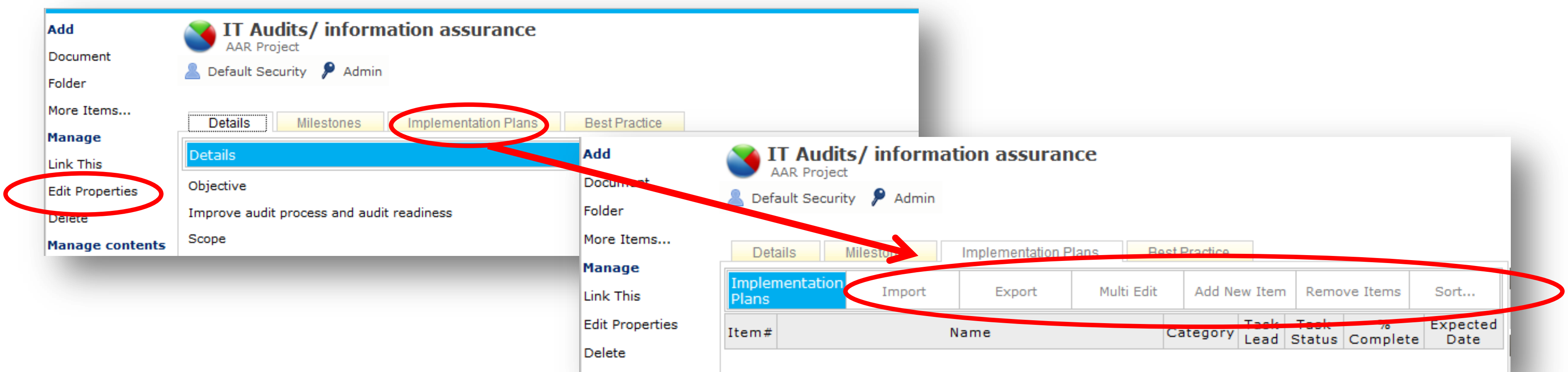
Follow-up

Implementation

- Debrief with the sponsor to clarify next steps.
- Ensure an implementation lead is defined.
- Schedule reviews 30 / 60 / 90 days after AAR if sponsor requests.
- Use “edit properties” to update project information in the details tab of your folder. You will need to click on the appropriate tab to update information such as implementation status or edit best practices.



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Constructive Reviews

Constructive Reviews

In Constructive Reviews, is a cross-functional teams gather to assess learnings before the project has ended.

- To improve collaboration among team members
- To gather insights from other teams who have succeeded on similar projects
- To adjust tactics that will improve performance while the project is in progress

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Constructive Reviews vs. AARs

Constructive Reviews

Occurs during the project / effort

Leverages expertise from reviewers outside the project

Gets the project back on track

Similarities

Assesses strengths/ weaknesses of outcomes against expected results

Outlines improvement actions

“No blame” environment

After Action Reviews

Occurs after the project / effort

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Topics

Constructive Reviews	After Action Reviews
• A specific project or effort, not the general process	• A specific project or effort, not the general process
• Large, business critical projects • Efforts that need significant improvement	• Any effort that had an exceptional outcome (positive or negative)
• Projects in which there is still time to improve the outcome	• Projects in which teams can learn by example to improve outcomes of similar projects in the future

Since Constructive Reviews take time from resources during the project, conduct these only for bigger projects that are struggling. For all others, consider an AAR after the project.

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Constructive Review Format

Duration: 1 to several hours depending on topic reviewed

Venue: Facilitated cross-functional group discussion in person or via video conference; ***Involving Guest reviewers from another project to share their insights***

Time spent	Topic
10 – 15%	What did your team set out to do? Objectives
10 – 15%	What actually happened? Strengths and Weaknesses
25%	Why did it happen? Root causes
50%	What are we going to do about it? Actionable Recommendations

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Constructive Review Planning

- Event participants
    - All functional areas represented
    - 8 – 12 participants ideal
    - Some members may be remote

- ***Choosing Guest reviewers***
    - ***After conducting initial interviews, identify the project's key challenges***
    - ***Choose resources (recommend 2) from another project or geography who succeeded under similar circumstances***

- Timing- most are 2-4 hours depending on:
    - Duration of the project you'll review
    - Number of people who were involved
    - Costs or potential revenue
    - Complexity

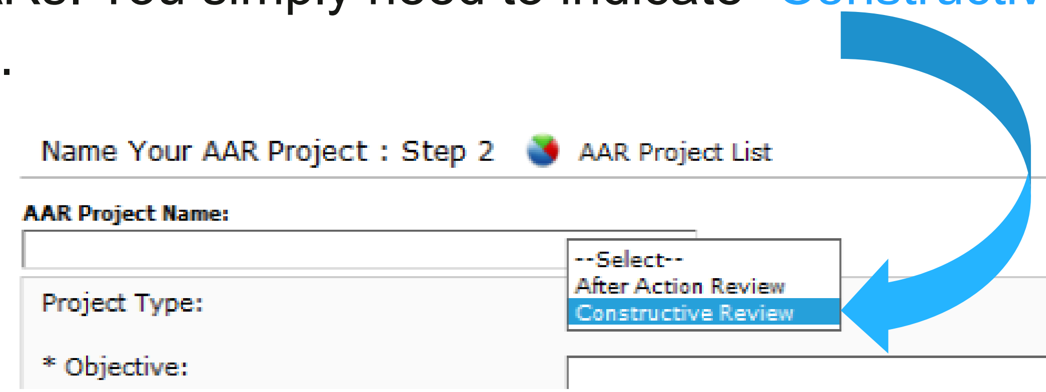
Constructive Review Facilitators

- Constructive Reviews are often more challenging than AARs
  - Participants are still involved in the "heat of the moment" and haven't had time to reflect on what worked and what didn't work.
  - The purpose is not simply for learning; the team is trying to put the project back on track.
- As a result, *<u>Facilitators should only conduct Constructive Reviews once you receive AAR Certification</u>* (i.e. have experience facilitating these types of meetings).

Constructive Review Summary

- All steps for Planning, Facilitating and Follow-up are the same for Constructive Reviews as they are for After Action Reviews with the exception of the following:
  - Identification and involvement of **guest reviewers** from another project to share their insight.
  - Review takes place **during the project** with focus on projects that are off track.

Note: Maintenance within the ARC repository is the same for Constructive Reviews as AARs. You simply need to indicate “Constructive Review” as the Project Type.



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Closing Notes

AARs in ISO 9001 certification

- In the US and Canada, the process we follow for AARs may be audited for ISO 9001:2008 compliance.
- To be compliant, you should:

1. Follow the guidelines in this training for AAR management
2. Make sure your AAR charter and summary are loaded in the AAR folder in ARC
3. Be familiar with IMS' quality policy:

IMS Health Quality Policy

IMS Health embeds a continual improvement philosophy in everything it does. From producing/delivering quality products/services to providing exceptional customer support, IMS Health utilizes this philosophy to ensure all client, regulatory, and internal requirements are met and, ultimately, to exceed client expectations.

Access ISO Documentation

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Quick Summary

- Access the AAR Guidelines document
- Access eLearning Module on Tech Academy Site
- Access Catalog of AAR facilitators to shadow

- Certification Requirements:
  - Facilitate 2 AAR events
  - Post on AAR Repository

- Before conducting Constructive Reviews you should first obtain AAR Certification

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Questions?

Contact Michelle Peckham: mpeckham@ca.imshealth.com


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