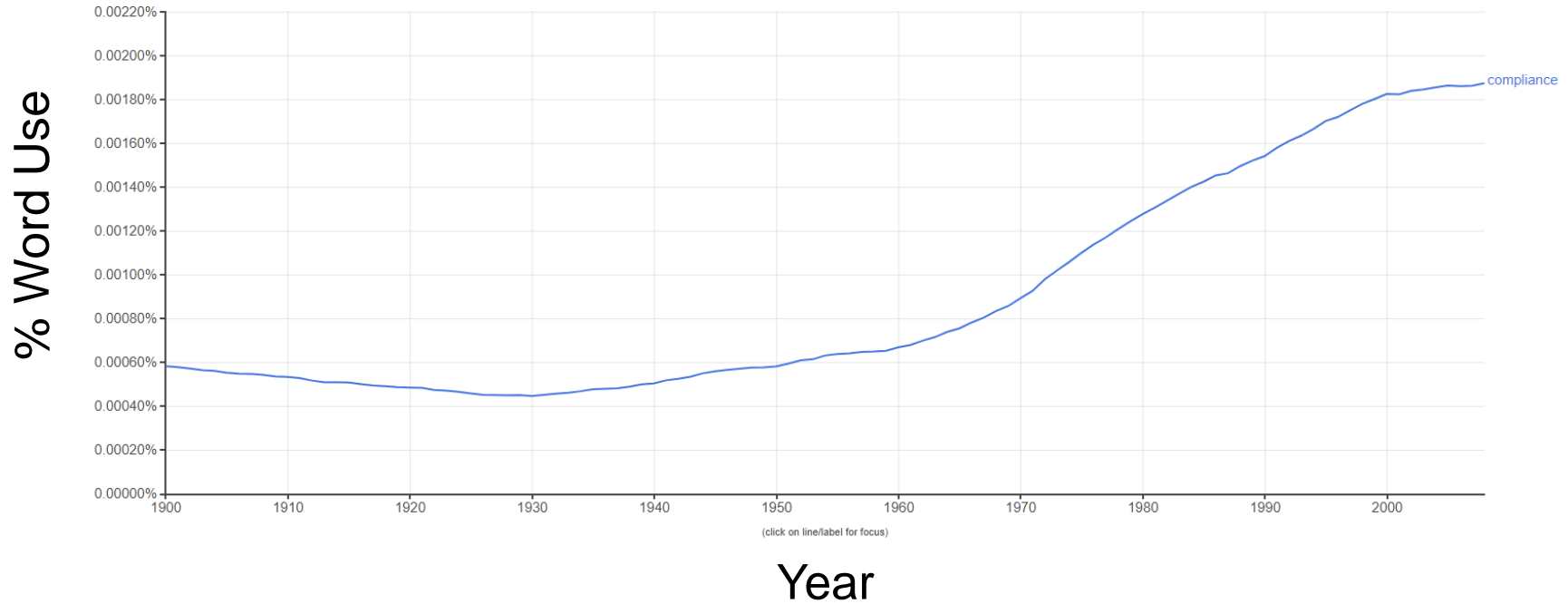


Beyond the carrot and the stick: *Removing barriers to lung health and compliance issues*

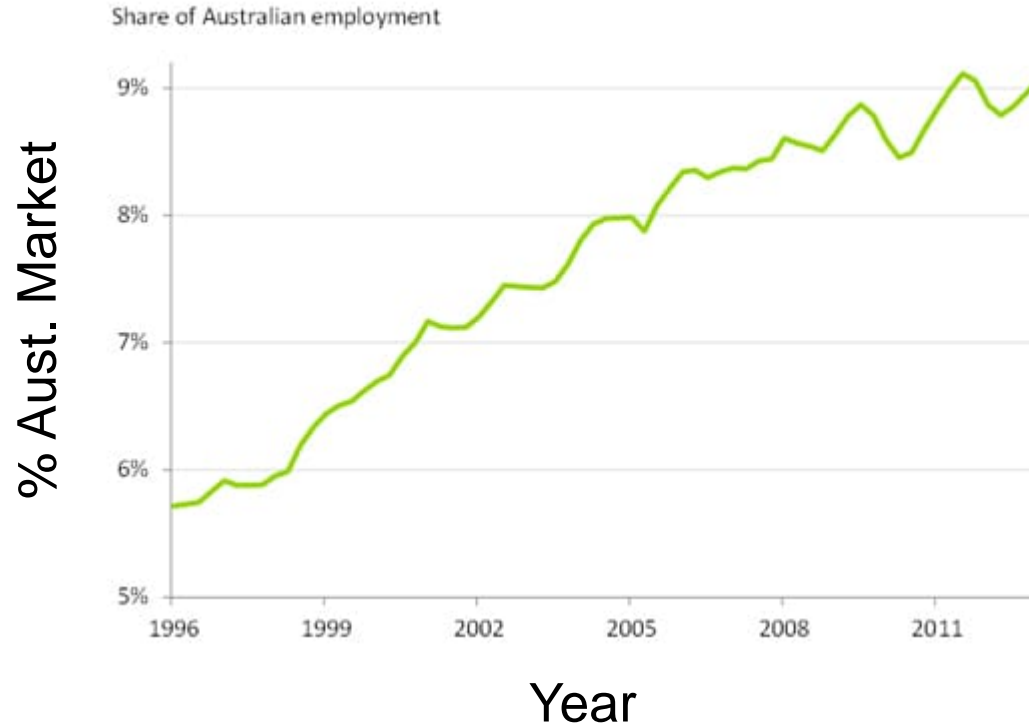
Dr Tristan W Casey

Safety Science Innovation Lab

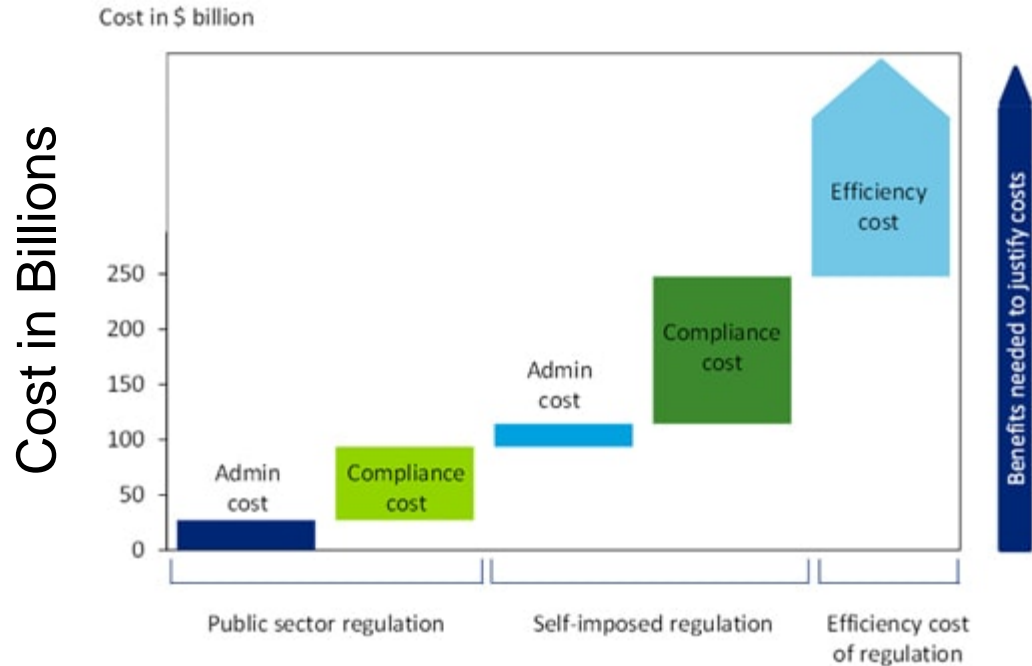
Use of compliance on the rise



Compliance workers are increasing



Costs of compliance are huge



But is all this compliance ‘worth it’?



What does it mean to 'comply'?

- The action or fact of complying with a wish or command
- Excessive acquiescence
- The state or fact of according with or meeting rules/standards

Compliance is about power

- More specifically, the imposition of authority and control over another.
- That people are a liability and must be ‘controlled’.
- That someone else ‘knows better’.
- That there really is one ‘ideal way’ to do something.
- **Some of this may be true, but how sustainable is it?**

Where does compliance come from?



A 'Model 1' view of compliance

- Bimodal – either compliant or non-compliant.
- Procedure-following is a mechanistic IF-THEN-DO
- Safety results from procedure following, better safety requires more procedures and closer compliance
- Giving workers discretion to act outside the procedures is unsafe

Problems with 'Model 1'

- Rules can be put in place to satisfy external requirements
- Rules can lead to excessive bureaucracy
- Compliance with all rules can stall productivity
- Reduces innovation as rules are hard to change
- Assumes that stability in systems is achieved through constraints on workers

Why Model 1 is no longer enough

Uncertainty

The rise of complexity

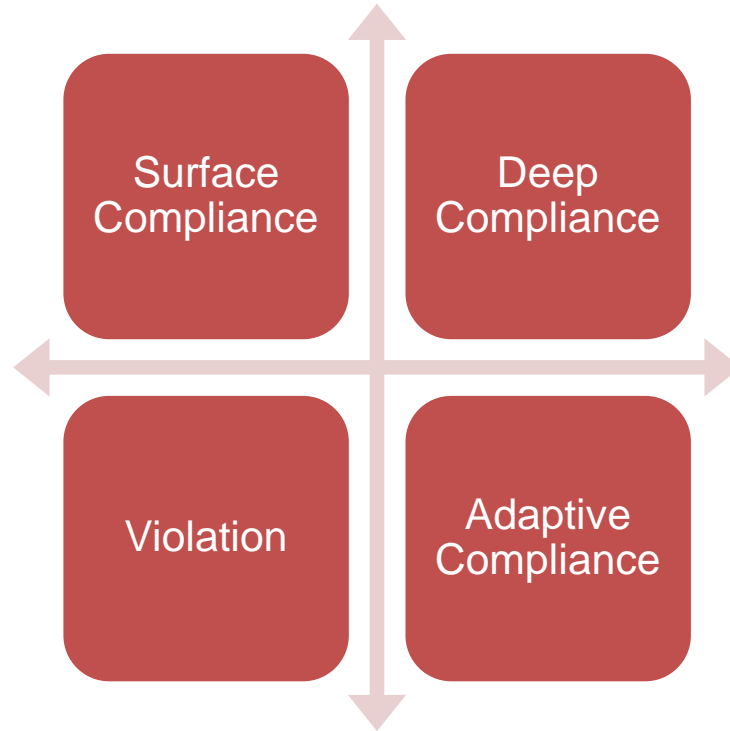
Interdependencies

Interactions

Systems are becoming 'ultra-safe'

'Model 2' approach to compliance

Concept developed by Dr Xiaowen Hu, QUT



What conditions foster compliance?

- **It's about self-determination.**
 - Autonomy
 - Belonging
 - Competence
- **It's about environmental cues and goal framing.**
 - Promotion versus prevention
 - Flexibility versus stability

What conditions foster compliance?

- 'Full range' safety leadership
- 'Prevention AND promotion' safety climate
- Job expertise and confidence
- Perceptions of procedure usefulness

A model to guide compliance

<p>When there are opportunities to pursue</p> <p>Achieved through empowerment, inspiration, and creating opportunities for the growth of expertise</p> <p>COMPLIANCE AS INNOVATION</p>	<p>When things go wrong</p> <p>Achieved through reflection on practice, encouraging voice/speaking up, and anticipating adverse outcomes</p> <p>COMPLIANCE AS ADAPTATION</p>
<p>During ‘business as usual’</p> <p>Achieved through clarity of roles and tasks, reinforcing successful practices, and close coordination of work activities</p> <p>COMPLIANCE AS GOALS</p>	<p>When high-risk work is undertaken</p> <p>Achieved through encouraging vigilance and unease, monitoring performance, and fair/just accountability practices</p> <p>COMPLIANCE AS SCRIPTS</p>

Practically, what can be done?

- **When trying to achieve ‘deep compliance’**
 - Create an emotional response around the risk, highlight severity of outcomes and inherent danger.
- **When trying to achieve ‘adaptive compliance’**
 - Encourage reflection on past performance, open and frank discussion of what went wrong and why.

Practically, what can be done?

- **When trying to achieve ‘innovative compliance’**
 - Emphasise how individuals can contribute to company success, form multidisciplinary and autonomous teams to review procedures.
- **When trying to achieve ‘flexible compliance’**
 - Highlight general safety goals to be achieved, boundaries and non-negotiables – flexibility within a framework.

Applying to Safety Behaviour

- Draw on workers to come up with innovative solutions that may negate the need for administrative controls.
 - Empowering and transformational leadership practices
- Where PPE is required, provide a range of options and allow workers to review + provide feedback to inform selection.
- Focus on building trust (ability, benevolence, integrity) with workers so they inform you when they aren't complying and why.

Key take-aways

- Model 1 of compliance is focussed on reducing negative outcomes (failures), and concentrates on monitoring and enforcement
- Model 2 of compliance is focussed on creating positive capacity for success and concentrates on respecting expertise and adaptability
- Key difference is how each method treats non-compliance
- In reality, both forms are needed to advance further

Thank you!

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