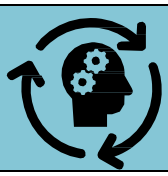
Hierarchy Of Controls



The intent of implementing controls is to compel and maintain adherence to new processes and the newly established ways of working. There are many types of controls that can be used, some being more effective than others. The most effective changes will usually have more than one control in place.
Projects should adopt the highest levels of controls that can be reasonably applied to the new process. The deciding factor for the level of control should always be based on the risk associated with slippage.

Potential Controls (In Order of Effectiveness)	
Fundamental Change	This is the **most effective**. This is when you change the environment/ tools/ method completely from how it was done before. This could be removal of old equipment, changing how the work area is set up or renovations, changing from paper to electronic, etc. Simply put there is no way of going back to the old way of working.
Error Proofing	A prevention-type system will ensure errors cannot be made and consistency is maintained. An example is not being able to submit a form unless all required fields are completed.
Visual Controls	An effective way of alerting everyone to what and how something should be done. Usually has color coding or pictures accompanying it.
Standard Work	The key is that the work is completed the same way each time by different people, either visually managed or proceduralized.
Training	Teaching staff and users on the new processes, tools, etc. Ensures everyone that is currently completing the process has the ability to learn the new process.
Continue to Measure	Maintains the process by watching movement of the data points and creates accountability. Measures should be shared with the team.
Audits	By their nature, audits are retrospective so they tell the user something that has already happened. Effective controls are preventative rather than reactive.
Checklist	Is very labor intensive and dependent on the user. Often have to be interpreted.
Policies and Procedures	Good for training and clarification but as an ongoing control very ineffective and usually difficult to access as required.
Written Signs	Signs quickly become “wall paper” and not noticed.