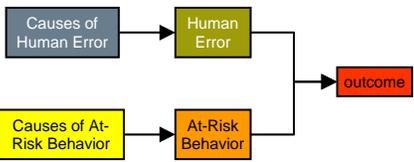


Event Investigation The Five Rules	The Response to An Event	Definitions	
<p>Rule 1 Causal Statements should clearly show the "cause and effect" relationship.</p> <p>Rule 2 Negative descriptions (e.g. poorly, inadequate) should not be used in causal statements.</p> <p>Rule 3 Each human error should have a preceding cause.</p> <p>Rule 4 Each procedural deviation should have a preceding cause.</p> <p>Rule 5 Failure to act is only causal when there was a pre-existing duty to act.</p>	<p>Single Human Error</p> <ul style="list-style-type: none"> • Console employee • Conduct Human Error Investigation <p>At-Risk Behavior</p> <ul style="list-style-type: none"> • Coach employee • Conduct At-Risk Behavior Investigation <p>Reckless Behavior</p> <ul style="list-style-type: none"> • Counsel employee • Use remedial action to change behavior, where appropriate • Use disciplinary action to change behavior <p>Repetitive Errors or At-Risk Behaviors</p> <ul style="list-style-type: none"> • Investigate to determine source of repetitive errors or at-risk behaviors • If source resides in system, change the system • If source is within employee, consider remedial and then punitive action to address risk 	<p>Knowingly – practically certain that conduct will cause harm</p> <p>Impossibility – condition outside of employee's control that prevents duty from being fulfilled</p> <p>Counseling – a first step disciplinary action: putting the employee on notice that performance is unacceptable</p> <p>Human error – inadvertently doing other than what should have been done; a slip, lapse, mistake</p> <p>At-risk behavior – behavior that increases risk where risk is not recognized, or is mistakenly believed to be justified</p> <p>Substantial and unjustifiable risk – a behavior where the risk of harm outweighs the social utility associated with the behavior</p>	<p>Purpose – conscious objective to cause harm</p> <p>Social utility – the societal benefits derived from a behavior: the value the judging body puts on the behavior</p> <p>Coaching – supportive discussion with the employee on the need to engage in safe behavioral choices</p> <p>Reckless behavior – behavioral choice to consciously disregard a substantial and unjustifiable risk</p> <p>Punitive action – punitive deterrent to cause an individual or group to refrain from undesired behavior</p> <p>Remedial action – actions taken to aid employee including education, training, assignment to task appropriate to knowledge and skill</p>
 <pre> graph LR A[Causes of Human Error] --> B[Human Error] C[Causes of At-Risk Behavior] --> D[At-Risk Behavior] B --> E[Outcome] D --> E </pre>		<p>At- Risk Behavior Investigation</p>	<p>Human Error Investigation</p>
<p>System Investigation</p>	<p>How was the risk being managed ahead of the event?</p> <ul style="list-style-type: none"> • Employee to manage personal risk? • Organizational control of performance shaping factors? • Organizational control of skill/competency? • Organizational maintenance of high perceptions of risk? • Barriers put in place to prevent error? • Recovery to catch error before becoming a critical outcome • Redundancy to allow success through multiple paths? 	<ul style="list-style-type: none"> • What type of at-risk behavior? <ul style="list-style-type: none"> • Error in risk v. utility decision? • Failure to make risk v. utility decision? • Why was the decision made? <ul style="list-style-type: none"> • Incentives to cut the corner? • Perceptions of risk? • How prevalent is the behavior? <ul style="list-style-type: none"> • Individual or group? • Rate? 	<p>Explain human errors by identifying the performance shaping factors:</p> <ul style="list-style-type: none"> • Information • Equipment/tools • Job / task • Qualifications / skills • Individual factors • Environment/facilities • Organizational environment • Supervision • Communication