# The Five Rules

## Rule 1
Causal Statements should clearly show the "cause and effect" relationship.

## Rule 2
Negative descriptions (e.g. poorly, inadequate) should not be used in causal statements.

## Rule 3
Each human error should have a preceding cause.

## Rule 4
Each procedural deviation should have a preceding cause.

## Rule 5
Failure to act is only causal when there was a pre-existing duty to act.

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## The Response to An Event

### Single Human Error
- Console employee
- Conduct Human Error Investigation

### At-Risk Behavior
- Coach employee
- Conduct At-Risk Behavior Investigation

### Reckless Behavior
- Counsel employee
- Use remedial action to change behavior, where appropriate
- Use disciplinary action to change behavior

### Repetitive Errors or At-Risk Behaviors
- 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

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## Definitions

- **Knowingly** – practically certain that conduct will cause harm
- **Impossibility** – condition outside of employee’s control that prevents duty from being fulfilled
- **Counseling** – a first step disciplinary action: putting the employee on notice that performance is unacceptable
- **Human error** – inadvertently doing other than what should have been done; a slip, lapse, mistake
- **At-risk behavior** – behavior that increases risk where risk is not recognized, or is mistakenly believed to be justified
- **At-risk behavior investigation** – actions taken to aid employee including education, training, assignment to task appropriate to knowledge and skill
- **Substantial and unjustifiable risk** – a behavior where the risk of harm outweighs the social utility associated with the behavior
- **Purpose** – conscious objective to cause harm
- **Social utility** – the societal benefits derived from a behavior: the value the judging body puts on the behavior
- **Coaching** – supportive discussion with the employee on the need to engage in safe behavioral choices
- **Reckless behavior** – behavioral choice to consciously disregard a substantial and unjustifiable risk
- **Punitive action** – punitive deterrent to cause an individual or group to refrain from undesired behavior
- **Remedial action** – actions taken to aid employee including education, training, assignment to task appropriate to knowledge and skill

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## At-Risk Behavior Investigation

- **What type of at-risk behavior?**
  - Error in risk v. utility decision?
  - Failure to make risk v. utility decision?
- **Why was the decision made?**
  - Incentives to cut the corner?
  - Perceptions of risk?
- **How prevalent is the behavior?**
  - Individual or group?
  - Rate?

## Human Error Investigation

### Explain human errors by identifying the performance shaping factors:
- Information
- Equipment/tools
- Job/task
- Qualifications / skills
- Individual factors
- Environment/facilities
- Organizational environment
- Supervision
- Communication

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## System Investigation

- **How was the risk being managed ahead of the event?**
  - 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?