

1. See and Understand Risk

- Has thorough, objective fact-gathering been accomplished?
- Does the organization fully See the risk(s)? Understand the risk(s)?
- Which organizational attributes are jeopardized by the risks identified?
- Have both the **SYSTEM** and **HUMAN** contributors been identified?
- Have competing priorities and biases been identified?

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Reliability Response Guide™

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2. System Reliability

Assess Current System Design

What Systems are in place to manage these risks?

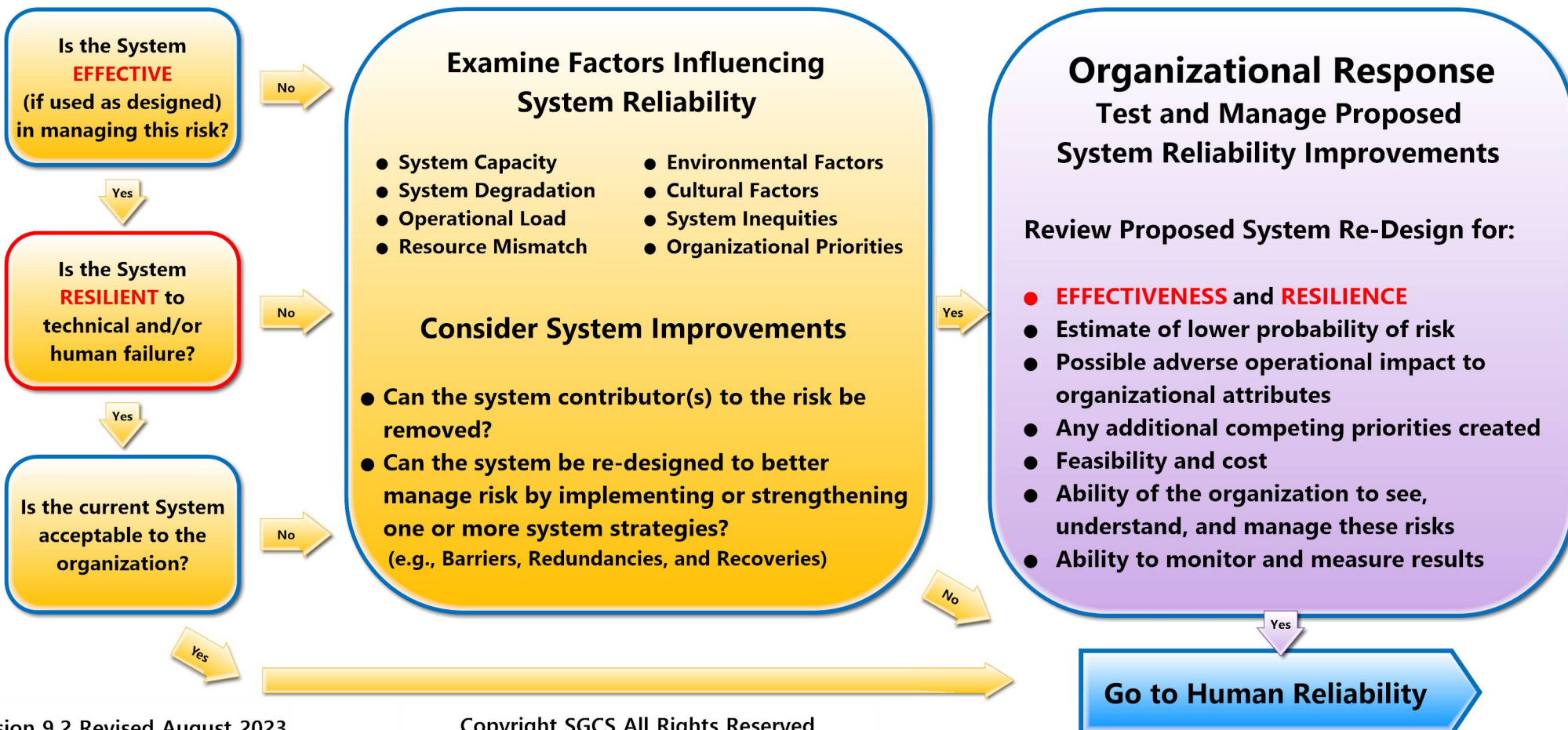
- What are the macro-systems?
- What are the sub-systems?

Key:

Red boxes to be answered by the employer using:

- * Peer Perspective (by default) or the
- * Individual Perspective (if able)

Blue boxes to be answered from the perspective of the organization



3. Human Reliability

Examine Performance

(KSAPs and others)

Assess and Manage the individual(s)
KNOWLEDGE, SKILLS, ABILITIES & PROFICIENCIES
Coach and develop
Remediation Plan as needed

Assess and manage **SYSTEM** INFLUENCES ON
HUMAN PERFORMANCE
(e.g., training, environment, policies, processes,
procedures, equipment; organizationally-based
distractions, inequities, stress, fatigue, etc.)

Assess and manage **PERSONAL** INFLUENCES ON
HUMAN PERFORMANCE
(e.g., health issues, past experiences, perceptions of
risk; personal-based distractions, stress, fatigue, and
biases, etc.)

Assess Other Factors Affecting Human Performance:

- Cultural Influences
- Perceptions of Risk
- Competing Priorities
- Personal disadvantages/advantages

If it is determined that the human performance is an
AUTONOMOUS-BASED EXPECTATION,
refer to and manage according to
aligned Human Resources policy

4. Human Reliability

Examine Behaviors

(choices and errors)

Were the employer's behavioral expectations made
clear to the individual?

Yes

Was there a policy, process, procedure, or guideline
to manage this risk?

Yes

Was it possible to follow this policy, process, or
procedure (or meet the expectation)?

Yes

Was this a **HUMAN ERROR**?
(An inadvertent action, doing other than what was
intended - a cognitive or physical slip or lapse)

No

Does the organization believe this was a
JUSTIFIABLE CHOICE?

No

Was this an **AT-RISK
CHOICE**?
(Choice that increased
risk where risk was
not recognized or
mistakenly believed
to be justified)

Yes

- Support and coach the individual and assess any system issues that may have influenced this behavior
- Mentor the work group around this risk and evaluate both System and Human reliability strategies

Was this a **RECKLESS
CHOICE**?
(Conscious disregard
of
substantial
and
unjustifiable risk)

Yes

- Strengthen System Design
- Apply disciplinary action
- Evaluate whether the expectations and consequences of this behavior are clearly set within the work group

5. Organizational Response

Manage System and Human Contributors

- No
- Examine why the individual did not understand and how the organization could communicate more effectively, then continue review

- No
- Consider whether or not a new policy, process, procedure or guideline would help manage the risk

- No
- Review reasons why it was impossible to follow under these circumstances and consider whether adding exceptions are warranted

- Yes
- Support and encourage the individual
 - Examine System, Human Performance, and behavioral contributors that may have led to this error
 - Evaluate both System and Human reliability strategies

- Yes
- Support and encourage the individual and evaluate System and Human reliability strategies to manage future unintended risks associated with this choice

Did the choice also represent a
HIGHER CULPABLE BEHAVIOR?

Yes

See aligned HR Policy, legal, & regulatory requirements

6. Organizational Reliability

- Has the organization provided a balanced response to both **SYSTEM** and **HUMAN** contributors?
- How will the organization see, understand, and manage these risks moving forward?
- Is this approach sustainable? Can it be monitored and measured?
- What other related risks should be seen, understood, and managed?

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Terms and Definitions

Performance Shaping Factors

Influences that shape the outcomes we produce through our actions

Justifiable Choice

Having sufficient grounds for the behavior (i.e., the value chosen superseded the required action)

Reckless Choice

Conscious disregard of substantial and unjustifiable risk (action chosen without intention to cause unjustifiable harm)

System

The organizational support structures and controls we place around employees in the performance of their jobs

Human Error

Inadvertent action: doing other than what was intended (i.e., a cognitive or physical slip or lapse)

Knowingly Causing Unjustifiable Harm

A choice where unjustifiable harm is practically certain to occur

Impossibility

Risk mitigation strategy was outdated, wrong, or impossible under the circumstances

At-Risk Choice

Risk is not recognized or mistakenly believed to be justified (action chosen without intention to cause unjustifiable harm)

Purpose to Cause Unjustifiable Harm

A choice where the purpose of the behavior is to cause unjustifiable harm

Standards of Behavioral Review

Peer Perspective

What a similarly situated peer would likely have done in this situation, determined objectively by the employer through inquiry and consensus. "Similarly situated" means a person of similar skill and experience, working within the same cultural environment.

Individual Perspective

What an individual likely did perceive about the risk in a specific situation, as determined subjectively by the employer and supported by evidence.

Behavioral Management

Behavioral Management is required when an Individual's choices or attitudes are increasing risk beyond Organizational tolerance.

Performance Management

Performance Management is required when an individual is not meeting minimum knowledge, skills, abilities (KSA), or cognitive performance, or has limited experience.