Performance Management Decision Guide

Adapted from James Reason's Decision Tree for Determining the Culpability of Unsafe Acts and the Incident Decision Tree of the National Patient Safety Agency (United Kingdom National Health Service)

Deliberate Act Test

- D1: Did the individual intend the act?
  - Yes
  - No

Incapacity Test

- I1: Is there suspicion of ill health, a medical condition, or substance abuse?
  - Yes
  - No

Compliance Test

- C1: Did the individual depart from policies, procedures, protocols, or generally accepted performance expectations?
  - Yes
  - No

- C2: Were the policies, procedures, protocols, or performance expectations available, understandable, workable, and in routine use?
  - Yes
  - No

- C3: Is there evidence that the individual chose to take an unacceptable risk OR has a trend in poor performance or decision making?
  - Yes
  - No

- C4: Were there significant mitigating circumstances that justify the act in this case?
  - Yes
  - No

Substitution Test

- S1: Would individuals in the same profession and with comparable knowledge, skills, and experience act the same under similar circumstances?
  - Yes
  - No

- S2: Were there any deficiencies in related training, experience, or supervision?
  - Yes
  - No

Actions to Consider

- Malevolent or Willful Misconduct
  - (Consult Human Resources)
  - Disciplinary action
  - Report to professional group or regulatory body
  - Law enforcement referral

- Suspected Medical Condition and/or Substance Abuse
  - (Consult Human Resources)
  - Occupational health referral
  - Adjustment of duties
  - Leave of absence
  - If substance abuse:
    - Substance abuse testing
    - Disciplinary action

- Possible Reckless or Negligent Behavior
  - (Consult Human Resources)
  - Disciplinary action
  - Job-fit consideration

- Possible Unintended Human Error
  - (Consult Human Resources)
  - Console
  - Coaching
  - Mentor assignment
  - Increased supervision
  - Performance improvement plan
  - Adjustment of duties

- Possible System Induced Error
  - (Consult Human Resources)
  - Console and/or Coach the Individual
  - AND
  - Find & Fix Process Problems

Identify Contributing System Factors

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