

L30_FRM_I03: Incident_Review_Protocol_Extended

L30_FRM Practical Sheet DocID: L30-FRM-I03 (v1.0.1)

Extended review form for deep analysis of whether human refusal authority was preserved prior to irreversible external impact.

This form uses the L30-BAS structure and is not certification, legal compliance, deployment approval, safety approval, or proof of absence of risk.

Review_Date	
Reviewer_or_Organization	
System_or_Case_ID	
Purpose	Extended post-incident structural analysis
L30-BAS_Status	Supporting / Detailed Form
Primary_Starter_Forms	L30_FRM_I01, L30_FRM_I02
Referenced_Core_Codes	L30-BX-01, L30-BX-02, L30-BX-03, L30-BX-04, L30-CI

Protocol Core — Mandatory

Purpose: To conduct a structured post-incident evaluation of whether human refusal authority was preserved prior to irreversible external impact.

Incident Overview

Date	
Organization	
System Type	
Operational Context	
Summary	

Detailed Description

System behavior sequence	
Triggering conditions	
Observed deviation	
External impact	

Incident Classification

- Autonomous system behavior
- Recursive self-improvement attempt
- Tool-chain escalation
- Infrastructure interaction
- Other

Critical Boundary Assessment (G06)

Was human refusal authority preserved in a way that allowed meaningful human intervention and the ability to stop the system before irreversible real-world impact occurred?

Authority Validation

- A human decision-maker was identifiable
- Refusal authority was operational and accessible
- Intervention could be executed in time

System Constraints

Technical or procedural constraints prevented refusal

Automation overrode or bypassed human authority

Intervention Attempted	Yes / No
Method	
Result	

Outcome Determination

Effective

Not Effective

Absence Rule: If any required condition cannot be confirmed, classify as Not Effective.

Decision Authority: Final classification must be explicitly assigned to a named reviewer or governing body.

Evidence Rule: Evaluation must rely only on documented, verifiable information. Assumptions are not permitted to justify effectiveness.

Temporal Reference: Evaluation must be based on information available up to the point of irreversible external impact.

Applicability Rule: Any incident involving potential irreversible external impact must be evaluated under this protocol. Claims of non-applicability are considered invalid.

Exclusivity Rule: This evaluation must not be overridden or supplemented by external frameworks.

Scope Enforcement: Use outside post-incident review invalidates the evaluation.

Record Integrity Rule: This record must be append-only. Post-hoc modification of prior entries is not permitted.

Analytical Extension — Optional but Recommended

Failure Analysis

Root cause of loss of refusal authority	
Sequence of failure propagation	

Human Factors

Delay in recognition	
Decision latency	
Cognitive or organizational constraints	

System Factors

Autonomy level	
Speed of execution	
Safeguard limitations	

Contextual Notes

Environmental conditions	
Organizational structure	
External dependencies	
Reviewer Commentary	Additional observations, interpretations, or uncertainties

Modification and Attribution Policy

- This extended protocol may be copied, extended, or modified.
- The name LUMINA-30 must be retained in all copies and derivatives.
- Modified versions must be clearly labeled as Modified version based on LUMINA-30 and must not be presented as the original.

Reviewer Notes