

# Risk Management Information – Streamlined Incident Reporting

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## Operating Guide

Version 1

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Procedures and troubleshooting for RMI Afloat report entry and management. Includes guidance on Preliminary Messages, SIRs, HAZREPs, MOFE Endorsements, Recommendation Responses and Report Searches.

## Table of Contents

1	Introduction .....	1-6
2	Administration .....	2-1
2.1	RMI-SIR Website .....	2-1
2.2	RMI Simulator .....	2-1
2.3	Account Administration .....	2-1
2.3.1	Account Request .....	2-1
2.3.2	Account Roles.....	2-1
2.3.3	User Administrators .....	2-2
2.3.3.1	Managing Elevated Role Requests.....	2-3
2.3.3.2	Managing Organization Hierarchy Email .....	2-3
2.4	Message Rules.....	2-4
2.4.1	Setting Up a Message Rule.....	2-4
2.5	Connectivity and Compatibility.....	2-5
2.6	RMI Feedbacks .....	2-5
2.7	Submitting RMI User Guide Change Recommendations .....	2-6
3	Preliminary Message.....	3-1
3.1	Introduction .....	3-1
3.2	Open RMI .....	3-1
3.3	Create a new Investigation .....	3-1
3.3.1	Event Investigation Tab.....	3-1
3.3.2	Investigators Tab.....	3-2
3.3.3	General Information .....	3-3
3.3.4	Location.....	3-4
3.3.5	Environment.....	3-4
3.3.6	Objects .....	3-4
3.3.7	Persons.....	3-4
3.3.8	Preliminary Narrative.....	3-5
3.3.9	Create Preliminary Message .....	3-6
3.3.10	Submit Message.....	3-6
4	Extensions, Upgrades, Downgrades, and Deletion Requests .....	4-1
4.1	General.....	4-1
4.2	Submitting a Status Message .....	4-1
4.2.1	Extension Examples: .....	4-2
4.2.2	Upgrade Examples: .....	4-2

4.2.3 Downgrade Examples: .....	4-2
4.3 Deletion Requests .....	4-2
5 Safety Investigation Report/HAZREP Entry.....	5-1
5.1 General.....	5-1
5.2 Event Investigation.....	5-2
5.3. Investigators.....	5-3
5.4. General Information .....	5-4
5.5. Location.....	5-5
5.6 Environment.....	5-6
5.7 Risk Management .....	5-6
5.8 Objects .....	5-7
5.8.1 Object #1 – Ship .....	5-7
5.9 Persons.....	5-7
5.9.1 Persons Basic Information .....	5-8
5.9.2 Object Assignment .....	5-9
5.9.3 Person Information (Page 1) .....	5-9
5.9.4 Person Information (Page 2) .....	5-10
5.9.5. Interviewed Person Information.....	5-11
5.9.6. Fatigue.....	5-11
5.9.7. Deployment/TDY.....	5-11
5.9.8. Toxicology .....	5-11
5.9.9. Injuries.....	5-12
5.9.10. PPE/LSE .....	5-13
5.10 Cost .....	5-13
5.11 Findings .....	5-14
5.12 Narrative .....	5-15
5.12.1 Sequence of Event .....	5-15
5.12.2 Background Information .....	5-16
5.12.2.1. General Background Information .....	5-16
5.12.2.2 Persons Background Information .....	5-17
5.12.3 Factors.....	5-17
5.12.3.1. Associating Factors to Findings.....	5-19
5.12.4 Investigation Conclusions .....	5-19
5.12.5 Acronyms .....	5-20
5.12.6 Documents Reviewed .....	5-20

5.12.7 Referenced Reports .....	5-21
5.13 HFAC/MFAC.....	5-21
5.13.1 Event Level Human Factors.....	5-21
5.13.2 Person Level Human Factors.....	5-24
5.13.3 Material Factors .....	5-27
5.13.4 Associating HFACS/MFACS to Findings .....	5-28
5.14 Recommendations .....	5-29
5.15 Exhibits.....	5-32
5.16 Report Authentication .....	5-33
5.17 Preview Final Message.....	5-33
5.18 Messages.....	5-33
5.19 Validation .....	5-33
5.20 History Log .....	5-35
5.21 Data Viewer.....	5-35
6    MOFE.....	6-1
6.1 General.....	6-1
6.1 Entering MOFE Comments.....	6-1
6.3 Review and Adjudication and Final MOFE Message .....	6-2
7    Reconvening a Board .....	7-1
8    Mishap/Hazard Recommendation Response .....	8-1
8.1 Updating a MISREC/HAZREC .....	8-1
8.2 MISREC/HAZREC Closeout .....	8-2
9    Data Pulls and Searches .....	9-1
9.1 General Searches .....	9-1
9.2. Analytics.....	9-1
9.2.1 Pre-formatted Reports.....	9-1
9.2.2 Data Extraction Tool.....	9-2
9.3 Exhibit Access Requests .....	9-3
10   Common Errors .....	10-1
10.1 Event Investigation .....	10-1
10.2 Investigators.....	10-1
10.3 General Information .....	10-1
10.4 Environment.....	10-1
10.5 Risk Management .....	10-1
10.6 Objects .....	10-1

10.7	Persons.....	10-2
10.8	Cost .....	10-2
10.9	Findings .....	10-2
10.10	Sequence of Event .....	10-2
10.11	Background Information .....	10-2
10.12	Factors.....	10-2
10.13	Investigation Conclusions .....	10-3
10.14	Acronyms .....	10-3
10.15	Documents Reviewed .....	10-3
10.16	Referenced Reports .....	10-3
10.17	Findings .....	10-3
10.18	HFAC/MFAC .....	10-3
10.19	Recommendations .....	10-3
10.20	Exhibits.....	10-4
11	Appendix A.....	11-1
12	Appendix B.....	12-1

# 1 Introduction

This guide will walk an Afloat Safety Officer or Safety Investigation Board (SIB) member through the process to create and endorse reports in RMI. Much of this information has been gathered through the trial and error of Fleet Safety Officers and the Naval Safety Command (NAVSAFECOM) Afloat Quality Control (QC) Analysts. We at NAVSAFECOM want to reduce time-consuming errors so that the Fleet can improve readiness by providing, with an enterprise view of, information necessary to focus on total loss prevention and control AND turn data into actionable information, enabling all personnel to better understand the hazards and risks associated with their operations and processes. The definitions below are specifically for this guide and should not be confused with RMI Validation errors. Validation errors are discussed in section 5.

## Notes

Explains how or why to do something in RMI. If you fail to adhere to this information, life is harder, but no one else will know how you are struggling.

## Cautions

Errors that will pass Validation but may cause rejection by QC.

## Warnings

Information that will keep you from having a problem you cannot fix.

**Read the appropriate sections before you start entering data into RMI, and use this guide to proceed step-by-step through each section. For all reports, read the Administration section first.**

This is a guide to RMI data entry. Many ships or submarines go years without a major mishap, and sometimes the trained Safety Officer is involved in a mishap and unavailable to execute the investigation and report. If you have a question or issue, call or email the Afloat Analysts at NAVSAFECOM NAVSAFECOM\_CODE30\_AFLOAT@navy.mil

**DISCLAIMER:** This guide is a living document. RMI receives scheduled software updates every three weeks. These software updates can and do change the appearance, content and functionality of the RMI website. The information contained in this guide may not be indicative of the current version of the software. If discrepancies are identified, please refer to Section 2.5 for guidance on submitting change/update recommendations to this document.

**VERSION CONTROL:** The current version of this document will always be the electronic copy is located on the NAVSAFECOM IntelShare page at: <https://intelshare.intelink.gov/sites/nsc/Pages/Afloat.aspx>. NAVSAFECOM strongly recommends checking IntelShare to confirm the copy of this document matches the most current version listed on the website.

# 2 Administration

## 2.1 RMI-SIR Website

Always direct Safety Officers and RMI users to this link:

<https://afsas.safety.af.mil>

### **Warning**

RMI is an unclassified reporting system. Classified information and material must never be entered or uploaded to RMI.

## 2.2 RMI Simulator

The RMI Simulator is always available at: <https://sim.afsas.safety.af.mil/>. This is an excellent resource to use for new Safety Officers to practice and become familiar with the RMI software. With the exception of Feedbacks, RMI Simulator is not connected to RMI-SIR in any way and all reports are fictitious. RMI Simulator is easily identified from RMI-SIR by its brown and tan color scheme.

### **Warning**

Do NOT create reports in RMI-SIR for training purposes. RMI Simulator is the only authorized website to conduct RMI software training or troubleshooting.

## 2.3 Account Administration

While it is not mandatory that all members of the SIB have an active RMI account, it is strongly encouraged and will streamline the report generation process. At a minimum, the Senior Member, Safety Officers and Medical Provider must have active RMI accounts.

### 2.3.1 Account Request

If a member does not have a RMI account, the member should go to <https://afsas.safety.af.mil> and request an account. That command's User Administrator will then approve the member's account.

### **Note**

All commands must have an assigned User Administrator. In situations where no User Administrator is assigned to a specific UIC, the approval request will go to the next higher command in their Organization Hierarchy.

### 2.3.2 Account Roles

Board members should ensure the following roles are assigned to their RMI accounts. If not assigned, request the following roles by clicking Admin – My Account – Assigned Roles:

- a. **SIB Members/Safety Officers:** Event: Data Viewer; Event: Message (View Only); Event: Investigator; Event: Message Approval; Recommendation: Coordination; Recommendation: View Only; Recommendation: Update (OPR/OCR); Recommendation: OCR Management.
- b. **Medical Provider:** Event: Investigator; Event: Provider
- c. Following approval by the User Administrator, users will have full access to RMI.

**Warning**

Do not request the Event Supervisor Investigator account role. This request is not authorized IAW NAVSAFECOM msg DTG 071302Z APR 22. Requests for this role will be denied by your User Administrator.

**Warning**

Changing/updating a person's Organization Tier 2 (assigned UIC) in the Admin - My Account section will remove all previously Assigned Roles and revert the user to Basic Account access. This can only be corrected by a User Administrator.

**Warning**

Reports assigned to a Single Investigating Officer have the potential to become Orphaned Reports. Orphaned Reports are reports that have no Named Investigator assigned and cannot be edited. When an RMI user changes UICs, the software automatically removes them from all open investigations, which may result in Orphaned Reports. Prior to changing a user's UIC, conduct a Named Investigator search in Search Investigations to ensure there are no reports currently assigned to that user. Assign any applicable reports to another RMI user in the command.

### **2.3.3 User Administrators**

The User Administrator (UA) role is a purely administrative role designed to manage a command's RMI user accounts. A command may have up to two personnel assigned as RMI UAs at any given time, but one UA must be assigned at all times. The UA role can only be granted to a user by a higher echelon UA. UAs must be designated in writing by the CO and must sign a UA Roles and Responsibilities acknowledgement letter. Copies of both forms must be uploaded to a user's RMI Files section at Admin – My Account – Files prior to being granted UA privileges.

User Administrators are responsible for approving and managing RMI user accounts at their command and subordinate commands. Additionally, UAs are responsible for removing RMI privileges upon a user's transfer from the command. UAs also grant and remove Assigned Roles for their RMI users.



**Warning**

Under no circumstances will a UA grant RMI access to non-USN or non-USMC uniformed or non-government service (GS) civilian personnel. This includes DoD contractors, foreign military personnel, and personnel from other branches of the DoD. If in doubt whether a person should be granted RMI access, contact NAVSAFECOM prior to granting access.

**Note**

NAVSAFECOM analysts do not have the ability to grant or modify user account requests. RMI user account management is the responsibility of the command's User Administrator.

**2.3.3.1 Managing Elevated Role Requests**

- a. Click on Admin – User Administration – Elevated Role Requests.
- b. Click on the checkmark next to the person requesting access.
- c. Click Grant or Deny Request for each individual role requested.
- d. If any request is denied, justification comments are required to be entered.
- e. Click Submit.

**Warning**

UAs shall not approve the Event: Supervisor Investigator requests from any user under any circumstances IAW NAVSAFECOM msg DTG 071302Z APR 22.

**2.3.3.2 Managing Organization Hierarchy Email**

UAs are responsible for ensuring their UIC has at least one email address associated to their UIC's RMI account. This is managed on the Organization Hierarchy page. Failure to update and maintain this email will prevent your unit from receiving all automatically generated RMI messages (QC Rejection, Message Approval, Status Messages, MISREC Approvals, etc.) addressed to your unit.

- a. Click on Admin – Organization Hierarchy.
- b. Select US Navy or US Marine Corps from the drop down.
- c. Enter your UIC into the Organization Tier 2 box.
- d. Click Display Hierarchy.
- e. Click on the envelope icon to add/update email.

**Note**

If the envelope icon is red, no email is assigned to your UIC. If the envelope icon is white, at least one email has been associated. Email addresses must be reviewed on a regular basis to ensure continued receipt of RMI messages.

f. If no email is assigned, add an email address and click “Associate Group Email.” If an email has been assigned, confirm that it is still a valid and operational email address associated with your command. Additional email addresses may be entered at the discretion of the UA.

**Note**

In accordance with ALSAFE 024/22 UAs must associate their unit’s functional Safety Department/DOSS email distro address to their RMI Organization Hierarchy.

## **2.4 Message Rules**

A user will not receive any notification of released reports within RMI without first setting up at least one Message Rule. Active Message Rules are required to receive released SIRs, HAZREPs, and MOFE messages following release. Message rules are completely customizable based on a user's requirements. Messages may be forwarded to a user's Outlook email if desired. A user may create multiple Message Rules.

**Note**

Based on fields selected, RMI Message Rules may return results for ALL reports that match the search criteria, not necessarily only afloat-specific reports.

### **2.4.1 Setting Up a Message Rule**

- a. Go to <https://afsas.safety.af.mil>
- b. From the left-hand menu, select Investigations – Message Rules.
- c. Click Add Message Rule.
- d. Rule Name: Enter an easily identifiable name for the rule.
- e. Automatic Delivery: Yes/No. Yes and Hourly frequency are recommended.
- f. Message Packaging: Consolidated or Individual.
- g. Rule Criteria: Select based on desired report outputs.

### **Caution**

The more selections that are made in the Rule Criteria section, the more restrictive the rules become. It is highly recommended to make the minimum number of selections in order to ensure receipt of all desired reports.

h. To receive all reports for a specific Ship/Hull Class (USN/USNS), only the following entries should be selected from the Rule Criteria section:

- Mishap Subcategory
  - AFLOAT: SPORTS, RECREATION, AND INDIVIDUAL FITNESS
  - AFLOAT: COMBAT SUPPORT AND TRAINING
  - AFLOAT: INDUSTRIAL AND OCCUPATIONAL
  - AFLOAT: MISCELLANEOUS
  
- SHIP/HULL CLASS (USN/USNS)
  - Select applicable

### **Caution**

If a section is not addressed above, do not make any selections from that section. Do not make any selections in the Mishap Class section. Doing so will prevent receipt of all applicable HAZREPs.

i. Click Save Message Rule.

j. Acknowledge Message Rule logic popup.

k. Message Rule will now appear and is active. New messages will appear in the RMI Inbox. If automatic delivery was selected, messages will also be sent to the Outlook address associated with the RMI account. RMI emails originate from [AFSAS@safety.af.mil](mailto:AFSAS@safety.af.mil).

### **Note**

Message Rules are not retroactive. To view historical reports, use the Data Extraction Tool or the Search Investigations page.

## **2.5 Connectivity and Compatibility**

RMI is optimized for Google Chrome, Mozilla Firefox or Microsoft Edge. RMI is accessible from any CAC-enabled personal or government computer with an active internet connection.

## **2.6 RMI Feedbacks**

Should you run into a software issue that prevents you from proceeding with your report, it is recommended to first contact your QC analyst. If your analyst is unable to correct the issue, submit a Feedback through the RMI website. NAVSAFECOM staff and RMI programmers review feedbacks daily. Upon submission, Feedbacks are assigned a unique ID number that can be used to track the progress of the Feedback request. To submit a Feedback:

- a. Click on Submit/Enter Feedback from the RMI Homepage, at the bottom of every page, or from the left hand menu click on Create Feedback.
- b. Select the type of Feedback (Specific Record) and Event #, if applicable.
- c. Enter a brief description of the issue in the Feedback One-Liner.
- d. Enter a detailed description of the issue in the Description narrative block.
- e. Attach screenshots as required.

**Note**

It is highly recommended to take a screenshot of the affected page(s) and annotate accordingly to assist staff in identification and troubleshooting of the issue. RMI software developers may not be familiar with ship specific terminology. Being specific in what needs to be changed will increase the speed in which the submitted Feedback will be adjudicated.

- f. Click Submit Feedback.
- g. A unique Feedback ID# will be generated. This Feedback is now visible under the Feedback – Submitted Feedbacks section.
- h. Upon Feedback resolution, an email from AFSAS stating Feedback closure will be sent to the user who submitted the Feedback.

**Warning**

The Feedback functionality in RMI Simulator is NOT simulated. Feedbacks submitted in RMI Simulator are actual Feedbacks and will be sent to NAVSAFECOM and the RMI software developers for action and adjudication. Do not submit Feedbacks for practice or demonstration purposes.

**Caution**

Feedback submissions are designed to address RMI software issues or limitations only. Any non-software concerns should be shared with your NAVSAFECOM Analyst and not submitted as a Feedback.

## **2.7 Submitting RMI User Guide Change Recommendations**

If you find errors in this guide, email the following information to NAVSAFECOM\_CODE30\_AFLOAT@navy.mil in the following format:

Subject: RMI Operating Guide Change Request

1. Affected pages
2. Change requested
3. Reason for request

The analyst will evaluate the changes and update the manual as required following review by NAVSAFECOM. The updated version of this document will be uploaded to the NAVSAFECOM IntelShare Safety Officers Toolbox page.

# 3 Preliminary Message

## 3.1 Introduction

Preliminary Messages (PM) are time-sensitive non-privileged initial notifications of a mishap. PMs are required for all Class A, B, or C mishaps and must be entered using RMI. A PM cannot be created for a Class D or below report. If a unit is unable to access RMI immediately following a mishap, they should notify their Convening Authority (CA) via telephone or email and provide the CA with a completed PM Worksheet. All information entered in the released PM can be edited or changed prior to release of the final SIR.

### Note

It is highly recommended to generate and print out generic mishap Worksheets or have electronic copies available prior to extended periods where internet access is limited or connectivity may be difficult (underway periods, austere operating locations, etc.).

### Caution

Analysts cannot change any data in a PM once it has been submitted to QC for release. If the QC analyst identifies any information that requires revision, the analyst must reject the message back to the unit for corrections and resubmission.

### Note

All PMs require administrative review and approval by the CA prior to release. To minimize delays in the PM release process, it is recommended to directly inform the CA via phone or email following submission of a PM in RMI.

## 3.2 Open RMI

Navigate to <https://afsas.safety.af.mil>.

## 3.3 Create a new Investigation

Click Create Event Investigation green button from the Quick Start menu, or select Investigations – Create Event Investigation from the left menu tab.

### 3.3.1 Event Investigation Tab

- a. Method of Initiation: Pick any selection.
- b. Investigating Component: US Navy.
- c. Investigation Owner: US Navy.
- d. Investigation Type: Mishap.

- e. Category: Afloat.
- f. Subcategory Tier 1: Select applicable entry based on Incident Type
- g. Event Type Tier 1: Select applicable entry based on Subcategory Tier 1
- h. Cross Category: select None.
- i. Mishap Class: Select A/B/C/D/E.
- j. Event Date, Local: Date mishap occurred.
- k. Event Duty Status: On-Duty/Off-Duty
- l. Did the event occur on base: Yes/No/Unable to Determine

**Caution**

Mishaps occurring on a ship are not considered on base.

- m. Has the Service's Safety Authority authorized you to offer a Promise of Confidentiality? Yes/No
- n. Select Create Event Investigation.

**Note**

Following Event Investigation creation, RMI will generate a unique Event ID#. This number is the singular reference number for the report for the entire process. Do not create multiple reports for the same event.

**Note**

At this point, it is highly recommended to generate a Worksheet to assist with data collection. The Worksheet will identify all required and optional fields for both the PM and the final SIR.

- o. In the Event Header tab next to Short Links, click on Worksheet.
- p. A customized Worksheet will generate based on initial inputs provided. This worksheet may be printed out and distributed to SIB members to assist with data collection.

### **3.3.2 Investigators Tab**

- a. Click Add New Investigator.
- b. Position: Select Senior Member and/or Investigating Officer.
- c. AFSAS Account: Enter last name of RMI user, RMI will auto-populate the remaining fields.

d. Click Save and Return to Manage Investigators. If known, additional SIB members may be entered at this time. Additional SIB members may also be entered following approval and release of the PM.

e. Click Done With Investigating Personnel.

### 3.3.3 General Information

a. Event Type: This is auto-populated from the selection made on the Event Investigation page.

b. Unit Control Number: This is your Local Serial number. It is a four-digit number, the first two digits are the sequential number of events occurring that Fiscal Year (FY) and the last two numbers are the FY. Do not separate counting of HAZREPs and SIRs. Examples: first event of FY21: 01-21. Third report of 2022: 03-22.

#### Caution

Do not enter your command UIC into this section.

c. Convening Authority Tier 2: For Class A or B events, this is typically the FLTCOM/SYSCOM/TYCOM for the Navy. For Class C, D and E events, this is typically the experiencing command.

d. Accounting Organization Tier 2: Same as Convening Authority box checked.

e. Event One Liner: Enter the following for each entry:

1. What was the Activity?
2. What Happened? Short description of event.
3. What was Damaged/Broken/Injured?
4. What was the Outcome?

#### Warning

Do not enter any PII or detailed information in the PM One Liner. PM One Liners are not privileged and are releasable, and therefore should contain the absolute minimum amount of information necessary to identify the event. There should never be analysis or speculation in a PM One Liner; only factual information is authorized to be entered. **Do not enter mishap cost estimates in the One-Liner.**

f. Temporarily withhold location information for operational security? Y/N.

#### Warning

RMI is an unclassified reporting system. Do not enter any potentially classified information into RMI. If in doubt, select Yes to the previous question.



### 3.3.4 Location

- a. Area of Responsibility (AOR): Select AOR

### 3.3.5 Environment

- a. Lighting Conditions: Select lighting condition
- b. Visibility Conditions: Input Visibility Distance and select conditions that apply
- c. Sea and Wind Conditions: Wind Direction/Bearing/Speed/Gusts are required
- d. Surface Conditions: Select surface type and check environmental conditions present.
- e. Weather Conditions: Check all that apply

### 3.3.6 Objects

- a. Click Add New Object.
- b. Object Type: SHIPS (USN/USNS)
- c. Damage Description Tier 1: Select No Damage/Repairable/Destroyed.

#### **Caution**

Exceeded Drop Criteria, Degraded, and Permanent loss of mission capability are USAF-only selections and should never be selected.

- d. Owning Service: USN
- e. Owning Organization: Select same as Accounting Organization
- f. Click Save Object Information.
- g. Repeat Steps a-f for any additional aircraft/ships/vehicles damaged.

#### **Note**

It is permissible to only enter ship/vehicle as the sole Objects in the PM. It is not necessary to enter any ship/vehicle subcomponents at this point. These will be entered in detail following PM approval.

### 3.3.7 Persons

Entry of Persons information is optional for the Preliminary Message. If Person information is known, it may be entered. Do not delay PM release to collect Persons information. Persons are not required to be entered into the Preliminary Message.

- a. Click Add New Person.
- b. Was this person a Factor in the Event? Y/N.

**Caution**

An injured person is **ALWAYS** a Factor. If there are possible HFACS attributed to any person involved in an event, they are a Factor.

- c. Was this person injured in the event or contracted a work-related illness? Y/N.
- d. Was this person an operator of an object that caused or received damage? Y/N.
- e. Was this person interviewed or did they provide a written witness statement as part of the investigation? Y/N.
- f. Last Name: Enter. Name must be capitalized.
- g. First Name: Enter. Name must be capitalized.
- h. Employment Status Tier 1: Select appropriate entry.
- i. Employment Status Tier 2: Select appropriate entry and save.

**Caution**

DoD ID numbers are not entered in the Persons section of the PM, however per DoD instruction they are required to be entered in the SIR for all military members and government civilian (GS) employees. It is highly recommended to obtain an involved Person's DoD ID number at the beginning of any interview.

- j. Assigned Organization: Enter Person's command.
- k. Injury Severity: Select appropriate entry if "Yes" was selected for question 3.3.6.c and save.
- l. Repeat Steps a-k as required for all additional involved personnel.
- m. Click Done With Persons.

### **3.3.8 Preliminary Narrative**

The Preliminary Narrative is a fully releasable and non-privileged document. It should be a succinct, chronological description of what happened, typically no more than a single paragraph. It must not contain any privileged information gained through a promise of confidentiality, analysis, speculation as to

why the mishap occurred, or any other privileged safety information. If known, the total cost estimate may be entered as the last line of the narrative.

**Caution**

Event Object Costs are not automatically displayed in the Preliminary Message. Total cost estimate of the event must be entered into the Preliminary Narrative section in order to be visible in the released PM. This number should match the cost entered in the Objects section. **Do not enter mishap costs in the One-Liner.**

**3.3.9 Create Preliminary Message**

- a. Click Create Preliminary Message.
- b. RMI will conduct a Validation. Correct any red Validation errors (Issues).
- c. Once Validation passes, click Continue to Create Message.

**3.3.10 Submit Message**

- a. Review message for errors. Message may be printed or saved as a .pdf or Word document prior to release.
- b. Message Approvers: Ensure CA is correct

**Warning**

Do **NOT** select any additional Optional Approvers unless explicitly directed to do so by your chain of command or NAVSAFECOM analyst. Selecting Optional Approvers will result in significant delays in the PM release process.

**Caution**

Any RMI user who is assigned the Event: Investigator role can create and release a PM. Ensure appropriate oversight of RMI account holders to prevent spurious message reporting.

- c. Click Submit Message.

**Note**

Following PM submission, the message and investigation will not be editable in RMI until reviewed by the CA and approved by NAVSAFECOM. Following PM approval and message release, full Investigation data entry and editing capability will be accessible in RMI. Understand that CA and QC approval of the message is not an immediate process and the approved PM may not be released for up to two business days.

- d. Select Done with Message.

# 4 Extensions, Upgrades, Downgrades, and Deletion Requests

*(a.k.a. Submitting a Status Message)*

## 4.1 General

There are multiple reasons that a ship or submarine might need to send an update to their PM or SIR; a board might need an extension while awaiting salvage, engineering investigation, or even availability of board members. Additionally, as the board discovers information, it may need to upgrade or downgrade a report. With the sole exception of the Note at the beginning of Chapter 5.1, a Safety Officer should **never** create a new investigation if the event already has an Event ID assigned in RMI regardless of what changed. The original event should be modified using the guidance below.

### **Warning**

Extension requests do not automatically renew. A new Status Message must be submitted to the Convening Authority upon expiration of each 30-day extension.

## 4.2 Submitting a Status Message

- a. Open RMI: <https://afsas.safety.af.mil>.
- b. Locate your message by either typing in the Event ID in the Search bar and selecting Search by Event ID, or clicking on the green Recent Event Investigations button on the homepage.
- c. Click on the magnifying glass icon under the Action column next to the event.
- d. Click the green Create Status Message button.
- e. Select the appropriate reason for the Status Message from the dropdown menu.
- f. Enter justification for the extension/upgrade/downgrade in the Status Message Narrative box.
- g. Click Save Message Data.
- h. Review the Status Message. Status narrative information will be displayed in Section 4. of the message.
- i. Review Message Approvers and ensure the CA is correct.
- j. Click Submit Status Message.

**Warning**

Do NOT select any Optional Approvers unless explicitly directed to do so by your chain of command or NAVSAFECOM analyst. Selecting Optional Approvers will result in significant delays in the message release process.

k. The Convening Authority listed on the report will then grant or deny the extension.

**4.2.1 Extension Examples:**

Request a 30-day extension. We are unable to form an SIB until after the official report's due date.

**4.2.2 Upgrade Examples:**

Updated Severity to Class C due to previously undiscovered damage to port shaft journal bearing.

Upgrade Class Bravo mishap to Class Alpha mishap. Components unable to be repaired, resulting in replacement cost surpassing threshold for class Alpha mishap.

**4.2.3 Downgrade Examples:**

Request 30-day extension, due to personnel availability as well as awaiting updated costing. Additionally, mishap no longer meets the criteria of a Class C mishap due to updated repair cost; downgraded to a Class D.

**Warning**

Do not submit a downgrade request unless you are absolutely certain the final cost estimate of the report will remain below the current mishap cost threshold.

**4.3 Deletion Requests**

There are very few situations where a report warrants deletion in RMI. Duplicate reports and reports created in error are the only valid reasons for requesting report deletion.

**Warning**

Do not request deletion of a report that requires upgrade/downgrade between different mishap classes or between a mishap and HAZREP. Use the original Event ID and submit a Status Message to update the report.

**Warning**

Do not enter practice reports into RMI or conduct training in RMI. All practice or training must be conducted in RMI Simulator.

**Note**

Deletion requests may only be approved by QC analysts at NAVSAFECOM. Inadequate justification for deletion will result in denial of deletion request.

- a. Click on the trash can logo next to the Event ID.
- b. Enter appropriate justification in the Justification text box. If requesting deletion of a duplicate report, enter the Event ID of the other report in the Justification narrative.

**Caution**

When entering a duplicate report deletion request, the Event ID# of the original (non-deleted) report must be included in the deletion justification narrative for accounting purposes. Failure to include the Event ID# will result in request denial by QC.

- c. Click Submit Request.
- d. The deletion request will go to QC for review. The report will remain as an open Investigation until QC approves the deletion request. If QC denies the request, the report will return to Investigation status. The justification for deletion request denial will be entered in the History Log.

# 5 Safety Investigation Report/HAZREP Entry

## 5.1 General

### Note

If in the course of your investigation, you discover a severe hazard requiring immediate dissemination to the Fleet, contact your analyst at NAVSAFECOM. They will assist you in creating and releasing a sanitized HAZREP specific to that particular hazard. This HAZREP will originate from NAVSAFECOM and will be highly sanitized. When the full SIB investigation is complete, include the released HAZREP as a Referenced Report in the SIR.

### Note

It is highly recommended to collect as much information as possible for completing the report before commencing with data entry.

### Note

It is highly recommended to enter data into RMI in the order it is presented on the left hand menu bar. This will reduce the chance of message rejection by the CA and/or QC.

### Warning

Just because a report validates does not mean the report will pass QC analysis. The best practice is to provide as much information as you can for each pertinent section and follow the guidance contained within this document. For a list of items that are required by NAVSAFECOM QC but will not necessarily generate a Validation error, see Section 10, Common Errors.

- a. Open RMI: <https://afsas.safety.af.mil>.

For reports with a previously approved PM:

- b. Locate your message by either typing in the Event ID in the Search bar or clicking on the green Recent Event Investigations button on the homepage.
- c. Click the Edit icon under the Actions tab.

For reports not requiring a PM (Class D/E mishaps and HAZREPs):

- d. Click on Create Event Investigation.

## 5.2 Event Investigation

### Note

If an event required a PM, all previously entered information will be auto-populated from the PM. Review this information for accuracy and update as required. For events not requiring a PM, the following tabs will require entry.

- a. Method of Initiation: Pick any selection.
- b. Investigating Component: USN.
- c. Investigation Owner: USN.
- d. Investigation Type: Mishap or Hazard.

### Warning

"Incident" should not be selected without prior coordination with your Analyst.

### Caution

Class E mishaps, while non-privileged, must first be selected as a mishap. RMI will recognize a Class E has been selected and that it is a non-privileged report. RMI does not allow costs or injuries to be entered into HAZREPs. A Class E or higher mishap must be selected to enter damage costs or injuries.

### Note

Items marked with a \* are only applicable to mishaps and will not display if Hazard is selected.

- e. Category: Afloat.
- f. Subcategory Tier 1: Select applicable entry based on Incident/Mishap Type
- g. Subcategory Tier 2: Select applicable entry based on Subcategory Tier 1
- h. Event Type Tier 1: Select appropriate type of event.
- i. \*Cross Category: select None.
- j. \*Mishap Class: A/B/C/D/E.
- k. Event Date, Local: Date mishap occurred.
- l. Event Duty Status: On-Duty/Off-Duty.
- m. Did the event occur on base? Select appropriate answer.
- n. Select Create/Update Event Investigation.



**Note**

Following Event Investigation creation, RMI will generate a unique Event ID#. This number is the singular reference number that will be perpetually assigned to this report.

**Note**

At this point, it is highly recommended to generate a Worksheet to assist with data collection. The Worksheet will identify all required and optional fields for the PM and the final report.

To create a Worksheet:

- o. In the Event Header tab at the top of the page next to Short Links, click on Worksheet.
- p. A customized worksheet will generate based on initial inputs provided. This worksheet may be printed out and distributed to SIB members to assist with data collection.

### **5.3. Investigators**

The person(s) creating the event and/or PM will be automatically entered as an Investigator. Additional SIB members should be entered here as required.

- a. Click on the Add New Investigator button under the Safety Investigation Board header.
- b. Board Position: Enter appropriate SIB member position.

**Caution**

If “Single Investigating Officer” is selected as the “Position” in this section, RMI will prevent any other additional members from being entered as either Senior Member or Investigating Officers.

- c. Board Membership: SIB members are always Primary.
- d. AFSAS Account: If SIB member has a RMI account, enter name and remaining info will auto-populate. If member does not have a RMI account, enter Name, Organization, Phone and Email fields.

**Caution**

All first and last names must be capitalized.

- e. Click Save Investigator, Add Another Investigator.
- f. Repeat steps a-e until all members have been added, then click Save Investigator, Return to Manage Investigators.

**Note**

Underway units or units with limited internet connectivity may add a RMI user from their Immediate Superior in Command (ISIC) as a Named Investigator to facilitate report entry into RMI.

g. Review all Investigators. Once complete, click Done with Investigating Personnel.

## 5.4. General Information

a. Event Type: Auto-populated from the Event Investigation tab.

b. Mishap Non-Reportable Reference: Leave blank. Do not select anything from this dropdown without prior coordination from QC.

### Warning

Mishap Non-Reportable References are Incidents. Selection of one of the items in this dropdown will automatically convert the report from the Mishap/HAZREP to an Incident and prevent required data entry fields from populating.

c. Event Time, Local: Enter the local time for the location of the mishap.

d. Local Time of Day: Choose applicable selection.

e. Unit Control Number: This is your Local Serial number. It is a four-digit number, the first two digits are the sequential number of events occurring that Fiscal Year (FY) and the last two numbers are the FY. Do not separate counting of HAZREPs and SIRs. Examples: first event of FY21: 01-21. Third report of 2022: 03-22.

### Caution

Do not enter your command UIC into this section.

f. Convening Authority Tier 2: Determine appropriate CA in your chain of command based on mishap class or senior-ranking OPR, whichever is higher-ranking.

g. Accounting Organization Tier 2: Same as Convening Authority checkbox checked.

h. Event One Liner:

1. What was the activity?
2. What Happened: Enter brief description of event.
3. What was damaged/injured: Enter ship/equipment damage and/or if people were injured.
4. What was the outcome? hospitalization, repaired, total loss, etc.

### Warning

Do NOT enter event costs in the One-Liner.

i. Did the event occur in support of an operational contingency? If so, what was the operational contingency? Y/N. If Yes, select from dropdown.

j. Did this event occur during a structured exercise? Y/N. If yes, select from dropdown.

- k. Did this event occur in a combat zone? Y/N.
- l. Was basic training an issue? Y/N.
- m. Did the event occur during the official Fitness Assessment? Y/N
- n. Did the event occur during mandatory Physical Training (P/T)? Y/N
- o. During contractor operations were DOD personnel injured or DOD resources damaged? Y/N.
- p. Is this a Research & Development (R&D) event? Y/N.

**Note**

In order to be classified as an R&D event, the event must have been conducted IAW an approved test plan.

- q. Temporarily withhold location information for operational security? Y/N.

**Warning**

RMI is an unclassified reporting system. Do not enter any potentially classified information into RMI. If in doubt, select Yes to the previous question.

- r. Were there any eyewitnesses to this event? Y/N.

**Caution**

It is extremely rare that reportable events occur without any eyewitnesses.

- s Was this event the result of friendly fire? Y/N.

## **5.5. Location**

**Note**

If location is withheld for operational security, only Area of Responsibility will populate on Location tab.

- a. General Location Tier 1: Select from dropdown.
- b. General Location Tier 2/3: Select from dropdown(s) as applicable.
- c. Location Description: Optional.
- d. Location Coordinates: Click on the event location on the Google Map and the Lat/Long field will populate. If exact Lat/Long is known, it may be manually entered. If exact location is unknown, estimate the location from the map.

**Warning**

Do not enter potentially classified location information into RMI. RMI is an unclassified system. If in doubt, go back to General Information and select Yes to the question “Temporarily withhold location information for operational security?”

e. Base where Event Occurred or Nearest Base: Enter Base Name. If event occurred over open waters, enter the nearest port even if it is thousands of miles away. The next sections will auto-populate.

f. Area of Responsibility: Select from dropdown

g. Click Save Location Information.

## 5.6 Environment

a. What was the lighting condition at the time of the event? Make appropriate selection.

b. Visibility Distance: Enter.

c. Identify visibility environmental conditions present at the time of the event? Make appropriate selections.

### Caution

At least one checkbox must be selected. If there was no significant weather, select None.

d. Sea and Wind Conditions: Enter. These are the prevailing wind conditions at the time of the mishap. Wind Direction Bearing will be reported in degrees True. Enter wind speed and wind gusts, in knots if known.

e. Visibility Conditions: Enter.

### Note

If the exact time the event occurred is unknown, select the prevailing weather conditions based on the weather brief.

f. Surface Conditions: select from the dropdown.

### Caution

At least one checkbox must be selected.

g. Weather Conditions – Enter.

### Caution

At least one checkbox must be selected. If there was no significant weather, select Cloud – clear.

h. Click Save Environment Information.

## 5.7 Risk Management

The risk management section identifies the ORM and CRM used prior to the event. Deliberate, in-Depth, and Time-Critical Risk Management are entered into this section.

- a. Select Conducted or Not Conducted.

**Caution**

Do not select "Could not be determined." This will result in report rejection by QC.

- b. Click Add New Risk Management (RM) Type. RM Type is a required entry.
- c. Select type of RM accomplished from dropdown.
- d. Were any areas of the risk management planning found to be deficient? Y/N. If Yes, explain why using the checkboxes and the Risk Management Problem Area Description, and in the Factors section
- e. Click Save Risk Management Information.
- f. Repeat steps b-e as required.
- g. Click Done With Risk Management (RM).

## **5.8 Objects**

All ships, components, and subcomponents, and other objects involved in a mishap must be added as an individual Object.

### **5.8.1 Object #1 – Ship**

- a. Click Add New Object.
- b. Select Ship Type.
- c. Damage Description Tier 1: Select from dropdown.
- d. Owning Service: Enter.
- e. Owning Organization: check Same as Accounting Organization checkbox and it will populate.
- f. Click Save Object Information.

## **5.9 Persons**

Any person who is deemed causal or contributory to an event or sustained any injuries is a Factor. Any person who provided a witness statement that is used as the basis for a Finding must be entered in the Persons section.

### 5.9.1 Persons Basic Information

a. Was this person a Factor in the event? Y/N.

#### Note

A person is a Factor in an event if any of the following are true:

- The person has Human Factors that associated to the event
- The person contributed to the certainty or severity of the event occurring
- The person was injured in any way or received medical care
- The person experienced a Physiological Episode (not common in afloat units)

b. Was this person injured in the event or contracted a work-related illness? Y/N.

c. Was this person an operator of an object that caused or received damage? Y/N.

d. Was this person interviewed or did they provide a written witness statement as a part of the event investigation? Y/N.

#### Caution

Any individuals who provide a witness statement that is the basis for Findings or Factors are required to be entered as Persons for all Class A-D mishaps. These statements must be uploaded as Exhibits.

e. Person Information: Enter.

#### Warning

IAW DODINST 6055.07, actual names and DoD IDs are mandatory entries in this section. Entering generic names or DoD ID numbers will result in rejection by QC.

#### Caution

RMI requires Last and First Name entries to be capitalized.

f. Employment Status Tier 1: Enter. Select the associated branch of service for government service (GS) civilian employees. Selections are available for foreign military, DoD Contractors, other DoD Civilians (if not associated with a listed branch of service), and civilians.

#### Warning

DoD ID numbers are required entries for all military members and GS civilian employees. Failure to enter DoD ID numbers when required will result in a Validation error. It is highly recommended to obtain a person's DoD ID number at the beginning of an interview.

g. Employment Status Tier 2: Select.

h. Grade: Select.

### 5.9.2 Object Assignment

Assign appropriate selections for Person.

### 5.9.3 Person Information (Page 1)

a. Assigned Organization – Enter. If the Person is attached to the Accounting Organization, check the Same as Accounting Organization checkbox and it will populate.

b. Military Operational Specialty (Officer)/NEC (Enlisted): Enter.

c. Navy Enlisted Rating: Select.

d. Age/Gender/Height/Weight: Enter.

e. Duty Status Tier 1: On.

#### Caution

All persons involved in ship mishaps are considered to be On Duty.

f. Duty Status Tier 2: Select from dropdown.

#### Caution

Unless a person was actually executing TAD orders at the time of the event, select No Further Status.

g. Time person began work: Enter.

h. Injury Severity: Select from dropdown.

#### Note

Injury questions will only populate if Person answered Yes to the injury question in the previous section.

#### Warning

Injury severity is a primary factor in determining the overall class of a mishap. IAW OPNAVINST M-5102.1, following rules apply:

- Fatal or Permanent Total Disability – Class A
- Permanent Partial Disability or three or more personnel are hospitalized for inpatient care – Class B
- Lost Time Case – Class C
- No Lost Time but Light Limited Duty (LLD) – Class D
- Greater than First Aid Case – Class D
- First Aid Case with LLD - Class D
- First Aid Case – Class E

- Examples of Greater than First Aid injuries include: stitches, staples, concussions, broken bones, any kind of surgical procedure, and hypoxia events requiring supplemental oxygen.
- Examples of First Aid injuries include, but are not limited to: sprains, strains, lacerations treated non-surgically, use of an eyewash station, bloodwork or x-rays with negative results, emergency use of supplemental oxygen with no symptoms.

**Note**

If unsure whether on whether an injury is considered greater than first aid, contact your analyst.

i. If No Lost Time is selected, check all the applicable boxes for that Person.

**Note**

For any No Lost Time LLD injuries, select the Restricted Duty checkbox and enter the days the person is LLD into the Days Restricted field.

**Caution**

All fields in the Days Affecting Work and/or Days Away from Work sections must have a numerical value entered to pass Validation. Enter "0" in each field that is not applicable.

j. Is the injury the result of a sexual assault? Y/N.

k. Has the person requested that their name not appear on the OSHA 300 log? Y/N.

l. Was injured person treated in an emergency room? Y/N. If Yes, enter hospital/clinic and provider information.

m. Was injured person hospitalized overnight as an in-patient? Y/N.

n. Activity Tier 1: Select from dropdown.

o. Click Save Person Information.

**5.9.4 Person Information (Page 2)**

a. Answer all Yes/No questions. If Yes is selected for any question, subsequent pages will populate with additional associated fields.

b. Role at the time of event: Select from dropdown.

c. Click Save Person Information. RMI will automatically generate an injury cost based on severity from DODI 6055.07. IAW NAVSAFECOM-M 5102.1, this cost is NOT used in the calculation of overall mishap class cost thresholds.



### 5.9.5. Interviewed Person Information

- a. Enter Person contact information.
- b. Date interviewed: Enter.
- c. Was this person offered a promise of confidentiality? Y/N.

### 5.9.6. Fatigue

Entry of fatigue information is optional for reports without any sustained injuries. Fatigue entry is **mandatory** for all reports with a reported injury.

- a. Length of prior wakefulness preceding the event: Enter.
- b. Total hours of sleep for the 72 hours preceding the event: Enter.
- c. Total hours on-duty for the 24 hours preceding the event: Enter.
- d. Has this person switched work shifts in the preceding 30 days? Y/N.
  - 1. (If Y selected) This person switched from (select shift) shift to (select shift) shift.
- e. Time zone changes (in hours) in preceding 10 days: Enter.
  - 1. (If number other than "0" entered for Step e.) Days in new time zone: Enter.
- f. Type of human errors associated with the event: Select from dropdown.
- g. Estimated exertion across the work period of interest: Select from dropdown.
- h. Click Save Fatigue Information.

### 5.9.7. Deployment/TDY

- a. Enter the number of days deployed in the past year.
- b. Click Save Deployment/TDY information.

### 5.9.8. Toxicology

Enter applicable information if required. If "No" was selected or negative toxicology results were reported, this Section will not populate. All relevant toxicology reports must be uploaded to the Exhibits section.

#### **Note**

It is recommended that a medical provider enters toxicology information into RMI.

- a. Click Add New Substance.
- b. Substance Tier 1: Select from dropdown.
- c. Substance Tier 1: Select from dropdown.
- d. Lab level: Enter.
- e. Click Add Toxicology Information.
- f. Repeat steps a-e as required.
- g. Click Done With Toxicology Information.

### **5.9.9. Injuries**

Enter applicable information if required. If "No" was selected in section 5.9.1, this Section will not populate. Any relevant medical reports and/or aeromedical analysis must also be uploaded to the Exhibits section.

#### **Note**

It is recommended that a medical provider enters injury information into RMI.

#### **Caution**

Injuries to multiple parts of the body must be entered as separate individual injuries and must be reported separately. For example, a broken arm and stitches to the head are considered two separate injuries.

- a. Click Add New Injury.
- b. Injured Body Part Tier 1: Select from dropdown.
- c. Injured Body Part Tier 2: Select from dropdown.
- d. Injury Type Tier 1: Select from dropdown.
- e. Injury Mechanism Tier 1: Enter.
- f. Injury Mechanism Tier 2: Enter.

#### **Note**

It is highly recommended to check the "Use the injury mechanism drill down selector instead of auto-complete" box to assist in selecting the right injury mechanisms.

- g. Select Add Injury Information.
- h. Repeat steps a-e. for additional injuries as required.
- i. Click Done with Injuries.

#### **5.9.10. PPE/LSE**

Enter applicable information if required. If "No" was selected, this Section will not populate.

- a. Click Add New Personal Protective Equipment / Life Support Equipment.
- b. PPE/LSE Tier 1: Select from dropdown.
- c. PPE/LSE Tier 2: Select from dropdown.
- d. Was this PPE/LSE required? Y/N.
- e. Was the PPE/LSE available? Y/N.
- f. Was this PPE/LSE used? Y/N.
- g. Was this person trained in the use of this PPE/LSE? Y/N.
- h. Was there a problem with this PPE/LSE? Y/N.
- i. Equipment Comment: Provide specific comments on factors associated with PPE.
- j. Was failure/lack of use of this PPE a factor in the event? Y/N.
- k. Click Add PPE/LSE Information.
- l. Repeat steps a-k as required.
- m. When complete, click Done with Personal Protective Equipment / Life Support Equipment.

Repeat section 5.9 for all additional involved Persons. When complete, select Done With Persons.

#### **5.10 Cost**

Confirm that all event costs are accounted for on this screen. Click Save Event Cost Information when complete.

#### **Warning**

Do not double-count repair costs. RMI automatically calculates overall mishap cost and will report a Validation Error if calculated costs exceed published mishap class thresholds.

### **Note**

While injury severity is used to determine overall mishap class thresholds, injury costs are not. Injury costs are automatically calculated by RMI based on DODI 6055.07 and cannot be modified. In the Final Message, the Event Cost section will display both total event costs with and without injury costs. The Total Event Cost (Excluding Injury Cost) number is the numerical value used to determine mishap class thresholds.

## **5.11 Findings**

Findings are the factual lines of evidence for a report. **All Findings are purely factual in nature and do not contain analysis or opinion.** Findings are required for ALL reports. There are three types of Findings: Primary Causal, Primary Non-Causal and Other Findings of Significance. Primary Findings have a direct or contributory impact on the event. Other Findings of Significance are Findings identified during the investigation that were not causal or contributory to the event in any way and serve to provide justification for an Other Recommendation of Significance (ORS).

### **Caution**

For Class A-D mishaps, all Primary Causal and Primary Non-Causal Findings must be supported by evidence that has been uploaded to the Exhibits section or a Referenced Document.

- a. Click Add New Finding / Evidence.
- b. Select Primary Finding or Other Finding of Significance.

### **Caution**

Other Findings of Significance cannot be causal or contributory to a mishap. If a Finding is causal or contributory in any way to a mishap, it is by definition a Primary Finding.

- c. Causal Indicator: For Primary Findings, select Causal or Non Causal.
- d. Finding Narrative: Enter Finding details.

### **Warning**

For all Class A-D reports, all privileged Finding Narratives must begin with a (P).

### **Warning**

All Findings must include the Exhibit or Document Reviewed used as the source of the Finding at the end of each Finding narrative. All Findings must either reference an uploaded Exhibit, an item in the Documents

Reviewed tab, or SIB analysis. Failure to identify the source of Findings will result in report rejection by QC. The source name must match the Exhibit/Document Reviewed name. Examples: (Witness Statement), (Photograph #3), (SIB Analysis).

**Caution**

Avoid using gender pronouns or PII in the Findings Narrative. Refer to individuals using aliases or alias abbreviations. Examples: Mishap Person 1, HM2, etc.

e. Click Save Finding, Add Another Finding.

f. Repeat steps a-e as required. Primary and Other Findings of Significance will automatically sort into separate groups on the Findings page.

**Caution**

Creating an Other Finding of Significance requires creation of an Other Recommendation of Significance. Failure to enter an ORS will result in a Validation error.

g. Click Done with Findings / Lines of Evidence.

## **5.12 Narrative**

Keep in mind that as the investigator(s), you know more details about the event than anyone else. Information that you may think is irrelevant or inferred may not be to the outside reader. Always put yourself in the outside reader's shoes to ensure you are not omitting pertinent details. Ensure that between the Findings, Sequence of Event, Factors, and Investigation Conclusions there are no holes in the report or unanswered questions. Remember that the Fleet only reads and has access to what you provide in the Final Message, so it is essential that your report paints a complete picture of the event and the associated circumstances.

### **5.12.1 Sequence of Event**

Enter the narrative of the event. The narrative is a chronological reporting of the actions that led up to the mishap and the resulting actions that followed. Begin with the day of the event. Do not include any analysis in this section. Do not include a list of acronyms in this section. There is no need to spell out acronyms in the Sequence of Events as long as they have been defined in the Acronyms section. Do not add the initial date and time of the event as it has already been captured in previous sections.

**Note**

Any details describing the situation/circumstances leading up to the event that did not occur on the event date should be entered in the Background Information section.

**Caution**

Avoid using gender pronouns or PII in the narrative description. Refer to individuals using aliases and alias acronyms. Examples: Mishap Person 1, MP1, Hazard Maintainer 2, etc.

IAW ALSAFE 017-20, it is permissible to enter Non-Factors in Class A-D reports, This is optional and not required for any report. Non-Factors may be entered at the bottom of the Sequence of Events narrative section. Non-Factors are discussed in detail in Appendix B and in ALSAFE 017-20. Non-Factors should be standalone, succinct statements that require no further explanation. The following template should be used to enter Non-Factors:

- a. Following the last sentence of the narrative, skip a line using the Enter key.
- b. Enter “Non-Factors:” on the next line (without parentheses).
- c. Enter each individual Non-Factor below the “Non-Factors:” line. Begin each additional Non-Factor on a new line.

### **5.12.2 Background Information**

This section provides useful background information or data that assists the reader in understanding the situation and the personnel involved in the event. Related events leading up to the mishap date, descriptions of TTPs, processes, checklists, organizational structure, systems operations, and ship diagrams may be entered. Additionally, the Persons Background Information helps correlate the Persons to their role in the mishap. Do not enter SIB analysis into any portion of the Background Information section. All analysis must be entered in the Factors section. Pictures, diagrams, or checklists that may assist in explaining details may be uploaded to this section and will display in the Final Message.

#### **5.12.2.1. General Background Information**

- a. Click Add General Information.
- b. Enter General Background Information Title.
- c. Enter General Background Information Narrative.
- d. Attach documents as required by clicking the Browse button.

#### **Warning**

Documents uploaded to the General Background Information section and their associated file names will display in the final SIR/HAZREP. Any privileged photographs or diagrams must have a (P) at the beginning of the file name. This will require the user to rename the file prior to upload.

#### **Caution**

For all Class A-D mishap reports, any files uploaded to the General Background section must also be uploaded to their appropriate field in the Exhibits section.

- e. Click Save General Background.
- f. Repeat steps a-e as required.

### 5.13.2.2 Persons Background Information

All Persons created in the Persons section will also generate a corresponding entry in the Persons Background Information section.

#### Note

The Person Alias information will be missing by default and requires entry.

- a. Click on the Edit logo next to the Person.
- b. Enter the Person Alias. Example: Mishap Person 1, Hazard Maintainer 2.
- c. Enter the Person Alias, Abbreviation. Example, MP1, MM2.

#### Caution

Ensure consistency of Person Alias and Alias Abbreviation throughout the entire report, to include the Sequence of Events, Background Information Factors, Investigation Conclusions, Acronyms and Findings sections.

- d. Narrative: Enter. First sentence should state relationship between Person Alias and their Person number in the report. Example: Mishap Person 1 is Person #1; Hazard Maintainer 2 is Person #3, etc. Additional narrative sentences may state *relevant* person information, like training issues, promotions, leadership qualities, deployments, qualifications, etc. Do not enter analysis in this section.

#### Caution

Avoid using gender pronouns or PII in the narrative description. Refer to individuals using aliases. Examples: Mishap Person 1, Hazard Maintainer 2, etc.

#### Warning

All entries to the Persons Background Information section will display in the final SIR/HAZREP. Do not enter any PII, to include names, anywhere in this section.

- e. Is the 72-Hour / 7 Day History Remarkable? Y/N.

#### Caution

If Yes is selected, a copy of the 72-hour history must also be uploaded to the Exhibits section.

- f. Click Save Person Background.
- g. Repeat Steps a-f as required for remaining Persons.
- h. Click Done with Manage Background Information.

### 5.12.3 Factors

The Factors section is a mandatory section for all reports, **including HAZREPs**. This section identifies all of the Factors identified by the SIB that may or may not have contributed to the mishap. At least one Causal Factor is required for ALL reports. All Factors in Class A-D mishaps are privileged. It is strongly encouraged to upload photographs to applicable Factors to help tell the story and will display in the Final Message.

a. Click Add Factor.

b. Factor Title – Enter.

**Caution**

Factor titles must be written in the Actor/Action format with a subject and a verb. Examples: Mishap person (Actor) failed to follow procedures (Action). Factor Titles not adhering to this format will be rejected by QC.

c. Investigative Area – Select from dropdown.

d. Factor Domain – Select from dropdown.

e. Narrative: Enter. This section should provide detailed reasoning and analysis based on Findings justifying why the Factor is a Causal Factor, Factor or Non-Factor Worthy of Discussion (NFWOD)/Rejected Factor. Analysis should be detailed and comprehensive for each Factor.

**Caution**

Avoid using gender pronouns or PII in the narrative description. Refer to individuals using aliases or alias acronyms. Examples: Mishap Person 1, MP1, etc.

f. Determination: Select.

g. Supporting Photos and Diagrams – Click Browse and upload as required.

**Warning**

Documents uploaded to the Factors section and their associated file names will be visible in the final SIR/HAZREP. Any privileged photographs or diagrams must have a (P) at the beginning of the file name. This will require the user to rename the file prior to upload.

**Caution**

For all Class A-D mishap reports, any files uploaded to the Factors section must also be uploaded to their appropriate field in the Exhibits section.

h. Click Save Factor.

i. Repeat steps a-h as required.

j. Investigative Area Checklist: Select the "Not Applicable" checkbox next to all remaining Investigative Areas.

k. Click Save Not Applicable.



l. Arrange the Factors using drag and drop so they are in the following order from top to bottom: all NFWODs, all Causal Factors, all Factors.

m. Click Done with Manage Factors.

### 5.12.3.1. Associating Factors to Findings

#### Caution

Factors should not be associated to Findings until all Findings have been entered.

#### Caution

All Causal Factors and Factors MUST be associated to at least one Primary Finding. This should not be completed until all Findings have been entered.

a. Click on the Factors tab.

b. Click on the left and right arrow icon (Associate Factors with Findings) under the Action tab for the first Factor.

c. Check the box next to the applicable Findings associated with that Factor.

d. Click Associate Findings.

e. Associated Findings will now appear for that Factor. Repeat steps b-d until all Factors have associated Findings. There is no maximum number of Findings that can be associated to a Factor, but all Causal Factors and Factors must be associated with at least one Finding.

#### Caution

Causal Factors and Factors may only be associated with Causal Primary and Causal Non-Primary Findings. NFWOD/Rejected Factors may only be associated with Other Findings of Significance.

f. Click Done with Manage Factors.

### 5.12.4 Investigation Conclusions

This section provides the Senior Member's "bottom line up front" summary of **why** the event occurred. This may include analysis, but should not be overly detailed in nature. Do not include HFACS nanocodes or Recommendations in this section. This should not be a direct cut and paste of a Factor.

#### Note

For Class E mishaps and HAZREPs that do not require MOFE, this section may be used to enter CO Comments. Any CO Comments entered in the Investigation Conclusions section must appear after the Investigator's

summary of conclusions and be prefaced with the words, "CO Comments:"

**Warning**

Any report requiring MOFE, to include applicable Class E mishaps and HAZREPs, must not have CO comments included in the Investigation Conclusions section. CO comments will be entered during the Comments for MOFE period.

**Caution**

Do not introduce any new or previously-unreported details associated with the event in this section. All factual data should be entered as a Finding, and all causal factors should be entered in the Factors section.

**5.12.5 Acronyms**

Enter all acronyms used anywhere in the report. Acronyms are defined in this section and are not required to be spelled out in any other sections of the report. Nothing other than acronyms and their definitions should be entered in this section.

**5.12.6 Documents Reviewed**

This section provides a listing of all relevant documents reviewed during the course of the investigation. Applicable documents include, but are not limited to: SOPs, IETMs, work packages, EIs, DOD Instructions, references, regulations, directives, notices, operating manuals and published TTPs.

- a. Click Add Document Reviewed.
- b. Document Type: Select.
- c. Document Identifier: Enter.
- d. Document Title: Enter.
- e. Document Revision: Enter, if applicable.
- f. Publication Date: Enter.
- g. Click Save Document Reviewed.
- h. Repeat Steps a-g as required.
- i. Click Done With Documents Reviewed.


**Caution**

For all Class A-D mishap reports, any Documents Reviewed that directly relate to Background Information, Factors, or Findings should also be uploaded to their appropriate fields in the Exhibits section. It is

acceptable to upload only the pertinent/applicable pages of the documents to the Exhibits section vice the entire document.

### **5.12.7 Referenced Reports**

This section allows the investigator to associate this report to any previous mishaps or HAZREPs that are related or occurred under similar circumstances.

- a. Click Search for AFSAS Reports.
- b. Enter applicable search fields. The Search Parameters section will auto-populate the appropriate fields to return similar event results.
- c. Click Search AFSAS reports.
- d. Similar reports will display. List of reports may be exported to Excel at the bottom right, or hovering over the  icon will display the One-Liner.
- e. Check the box next to the desired report(s) and click Add Selected Reports to Referenced Reports.
- f. Selected report is now associated to this report.
- g. Repeat steps a-f as required.
- h. Click Done With Referenced Reports.

#### **Note**

While WESS reports are searchable within RMI, there are categorical data sorting differences that may prevent similar reports from populating using the search function. For assistance in identifying applicable WESS reports, contact your analyst.

### **5.13 HFAC/MFAC**

Human Factor nanocodes and Material Factors are entered in this section.

#### **5.13.1 Event Level Human Factors**

Event Level Human Factors are Supervisory and Organizational HFACS. Supervisory HFACS apply if the methods, decisions or policies of the supervisory chain of command directly affect practices, conditions or actions of the individuals. Organizational HFACS apply if the communications, action, omissions or policies of upper-level management that directly or indirectly affect supervisory practices, conditions or actions of the operators. Event Level HFACS are not associated to individuals. Review the definitions of each HFAC nanocode prior to selection to ensure they are applicable to the event based on the Factors and Findings.

a. Click Add/Update DoD HFACS Questionnaire.

b. Are human factors applicable to this event? Y/N.

**Caution**

This section is for Organizational and Supervisory HFACS only. If these HFACS are not applicable to the report, select No and click Save Human Factors to move on to the Person Human Factors section.

c. If Yes is selected, select Yes to follow-on questions until nanocodes appear. Reference Figure 3.

**Figure 3: Supervisory and Organizational HFACS**

Are human factors applicable to this event?  Yes  No (Please Select and Rate All Applicable Human Factors)

---

**Q7. Did supervision or supervisory policies contribute to the event?**  Yes  No

**Q7a. Did a supervisor violate a commonly known law or regulation?**  Yes  No

- SV001 **f** Failure to Enforce Existing Rules (supervisory act of omission) -- select rating --
- SV002 **f** Allowing Unwritten Policies to Become Standard -- select rating --
- SV003 **f** Directed Individual to Violate Existing Regulations -- select rating --
- SV004 **f** Authorized Unqualified Individuals for Task -- select rating --

**Q7b. Did supervision fail to plan or assess known hazards?**  Yes  No

- SP001 **f** Directed Task Beyond Personnel Capabilities -- select rating --
- SP002 **f** Inappropriate Team Composition -- select rating --
- SP003 **f** Selected Individual with Lack of Current or Limited Experience -- select rating --
- SP006 **f** Performed Inadequate Risk Assessment - Formal -- select rating --
- SP007 **f** Authorized Unnecessary Hazard -- select rating --

**Q7c. Did a supervisor or supervision prove inadequate?**  Yes  No

- SI001 **f** Supervisory/Command Oversight Inadequate -- select rating --
- SI002 **f** Improper Role-Modeling -- select rating --
- SI003 **f** Failed to Provide Proper Training -- select rating --
- SI004 **f** Failed to Provide Appropriate Policy/Guidance -- select rating --
- SI005 **f** Personality Conflict with Supervisor -- select rating --
- SI006 **f** Lack of Supervisory Responses to Critical Information -- select rating --
- SI007 **f** Failed to Identify/Correct Risky or Unsafe Practices -- select rating --
- SI008 **f** Selected Individual with Lack of Proficiency -- select rating --

---

**Q8. Did the organization or organizational policies contribute to the event?**  Yes  No

**Q8a. Did a problem with resources create an unsafe situation?**  Yes  No

- OR001 **f** Command and Control Resources are Deficient -- select rating --
- OR003 **f** Inadequate Infrastructure -- select rating --
- OR005 **f** Failure to Remove Inadequate/Worn-Out Equipment in a Timely Manner -- select rating --
- OR008 **f** Failure to Provide Adequate Operational Information Resources -- select rating --
- OR009 **f** Failure to Provide Adequate Funding -- select rating --

**Q8b. Was selection or training of personnel a factor?**  Yes  No

- OS001 **f** Personnel Recruiting and Selection Policies are Inadequate -- select rating --
- OS002 **f** Failure to Provide Adequate Manning/Staffing Resources -- select rating --

**Q8c. Did an organizational instruction or policy create an unsafe situation?**  Yes  No

- OP001 **f** Pace of Ops-tempo/Workload -- select rating --
- OP002 **f** Organizational Program/Policy Risks not Adequately Assessed -- select rating --
- OP003 **f** Provided Inadequate Procedural Guidance or Publications -- select rating --
- OP004 **f** Organizational (formal) Training is Inadequate or Unavailable -- select rating --
- OP005 **f** Flawed Doctrine/Philosophy -- select rating --
- OP006 **f** Inadequate Program Management -- select rating --
- OP007 **f** Purchasing or Providing Poorly Designed or Unsuitable Equipment -- select rating --

**Q8d. Did the safety climate/culture contribute to an unsafe situation?**  Yes  No

- OC001 **f** Organizational Culture (attitude/actions) Allows for Unsafe Task/Mission -- select rating --
- OC003 **f** Organizational Over-confidence or Under-confidence in Equipment -- select rating --
- OC004 **f** Unit Mission/Aircraft/Vehicle/Equipment Change or Unit Deactivation -- select rating --

### **Caution**

In order to view all of the HFACS nanocodes in a section, it is recommended to Select Yes to all questions and follow-on questions first. If no nanocodes are applicable for that specific subsection after review, then click No to collapse that subsection. RMI will not allow you to continue unless you have selected Yes or No to all questions.

- d. Select Causal or Contributory from the applicable dropdown.
- e. Select all applicable Event-level nanocodes.
- f. Click Save Human Factors.
- g. On the HFAC/MFAC Homepage, click on the two arrows to associate to Findings.
- h. Associate HFAC to Finding(s).

### **Caution**

All HFACS must be associated to at least one Primary Causal Finding. Failure to associate HFACS to a Primary Causal Finding will result in a validation error during MOFE.

- i. Repeat step h. until all HFACS are associated to at least one Primary Causal Finding.

### **5.13.2 Person Level Human Factors**

Person level HFACS are Acts and Preconditions. If a Person is identified as being a Factor, then at least one Act and one Precondition is required to be assigned to that Person.

- a. Click Add/Update Person Level Human Factors.
- b. Are human factors applicable to this person? Y/N.
- c. If Yes is selected, select Yes to follow-on questions until nanocodes appear. Reference Figure 4.

**Figure 4: Act and Precondition HFACS**

Are human factors applicable to this person?  Yes  No (Please Select and Rate All Applicable Human Factors)

---

**Q1. Did the event person make a performance-based error?**  Yes  No

AE101	<b>f</b> Unintended Operation of Equipment	-- select rating --
AE102	<b>f</b> Checklist Not Followed Correctly	-- select rating --
AE103	<b>f</b> Procedure Not Followed Correctly	-- select rating --
AE104	<b>f</b> Over-Controlled/Under-Controlled Aircraft/Vehicle	-- select rating --
AE105	<b>f</b> Breakdown in Visual Scan	-- select rating --
AE107	<b>f</b> Rushed or Delayed a Necessary Action	-- select rating --

---

**Q2. Was the event person's actions a result of poor judgment and/or decision-making?**  Yes  No

AE201	<b>f</b> Inadequate Real-Time Risk Assessment	-- select rating --
AE202	<b>f</b> Failure to Prioritize Tasks Adequately	-- select rating --
AE205	<b>f</b> Ignored a Caution/Warning	-- select rating --
AE206	<b>f</b> Wrong Choice of Action During an Operation	-- select rating --

---

**Q3. Did the event person violate a commonly known law or regulation?**  Yes  No

AV001	<b>f</b> Performs Work-Around Violation	-- select rating --
AV002	<b>f</b> Commits Widespread/Routine Violation	-- select rating --
AV003	<b>f</b> Extreme Violation - Lack of Discipline	-- select rating --

---

**Q4. Was the environment a factor in the event?**  Yes  No

**Q4a. Did the physical environment affect the event person?**  Yes  No

PE101	<b>f</b> Environmental Conditions Affecting Vision	Causal
PE103	<b>f</b> Vibration Affects Vision or Balance	-- select rating --
PE106	<b>f</b> Heat/Cold Stress Impairs Performance	-- select rating --
PE108	<b>f</b> External Force or Object Impeded an Individual's Movement	-- select rating --
PE109	<b>f</b> Lights of Other Vehicle/Vessel/Aircraft Affected Vision	-- select rating --
PE110	<b>f</b> Noise Interference	-- select rating --

**Q4b. Did the technological environment affect the event person?**  Yes  No

PE201	<b>f</b> Seat and Restraint System Problems	-- select rating --
PE202	<b>f</b> Instrumentation and Warning System Issues	-- select rating --
PE203	<b>f</b> Visibility Restrictions (not weather related)	-- select rating --
PE204	<b>f</b> Controls and Switches are Inadequate	-- select rating --
PE205	<b>f</b> Automated System Creates an Unsafe Situation	-- select rating --
PE206	<b>f</b> Workspace Incompatible with Operation	-- select rating --
PE207	<b>f</b> Personal Equipment Interference	-- select rating --
PE208	<b>f</b> Communication Equipment Inadequate	-- select rating --

Q5. Did the event person's mental, sensory, or physical state contribute to the event?

8

Yes No

Q5a. Did the event person have a medical or physical condition?

Yes No

- PC302 Substance Effects (alcohol, supplements, medications, drugs) -- select rating --
- PC304 Loss of Consciousness (sudden or prolonged onset) -- select rating --
- PC305 Physical Illness/Injury -- select rating --
- PC307 Fatigue -- select rating --
- PC310 Trapped Gas Disorders -- select rating --
- PC311 Evolved Gas Disorders -- select rating --
- PC312 Hypoxia/Hyperventilation -- select rating --
- PC314 Inadequate Adaptation to Darkness -- select rating --
- PC315 Dehydration -- select rating --
- PC317 Body Size/Movement Limitations -- select rating --
- PC318 Physical Strength & Coordination (inappropriate for task demands) -- select rating --
- PC319 Nutrition/Diet -- select rating --

Q5b. Did the event person's state of mind create an unsafe situation?

Yes No

- PC202 Psychological Problem -- select rating --
- PC203 Life Stressors -- select rating --
- PC204 Emotional State -- select rating --
- PC205 Personality Style -- select rating --
- PC206 Overconfidence -- select rating --
- PC207 Pressing -- select rating --
- PC208 Complacency -- select rating --
- PC209 Motivation -- select rating --
- PC215 Mentally Exhausted (Burnout) -- select rating --

Q5c. Was sensory information misperceived or misunderstood?

Yes No

- PC501 Motion Illusion - Kinesthetic -- select rating --
- PC502 Turning/Balance Illusion - Vestibular -- select rating --
- PC503 Visual Illusion -- select rating --
- PC504 Misperception of Changing Environment -- select rating --
- PC505 Misinterpreted/Misread Instrument -- select rating --
- PC507 Misinterpretation of Auditory/Sound Cues -- select rating --
- PC508 Spatial Disorientation -- select rating --
- PC511 Temporal/Time Distortion -- select rating --

Q5d. Did the event person's mental awareness create an unsafe situation?

Yes No

- PC101 Not Paying Attention -- select rating --
- PC102 Fixation -- select rating --
- PC103 Task Over-Saturation/Under-Saturation -- select rating --
- PC104 Confusion -- select rating --
- PC105 Negative Habit Transfer -- select rating --
- PC106 Distraction -- select rating --
- PC107 Geographically Lost -- select rating --
- PC108 Interference/Interruption -- select rating --
- PC109 Technical or Procedural Knowledge Not Retained after Training -- select rating --
- PC110 Inaccurate Expectation -- select rating --



Q6. Did challenges with teamwork contribute to the event? Yes No

PP101	Failure of Crew/Team Leadership	-- select rating --
PP103	Inadequate Task Delegation	-- select rating --
PP104	Rank/Position Intimidation	-- select rating --
PP105	Lack of Assertiveness	-- select rating --
PP106	Critical Information Not Communicated	-- select rating --
PP107	Standard/Proper Terminology Not Used	-- select rating --
PP108	Failed to Effectively Communicate	-- select rating --
PP109	Task/Mission Planning/Briefing Inadequate	-- select rating --

[Save Human Factors](#)

### Caution

In order to view all of the HFACS nanocodes in a section, it is recommended to Select Yes to all questions and follow-on questions first. If no nanocodes are applicable for that specific subsection after review, then click No to collapse that subsection. RMI will not allow you to continue unless you have selected Yes or No to all questions.

- d. If Yes is selected, select Yes to follow-on questions until nanocodes appear.
- e. Select the applicable Acts nanocodes (Q1-Q3).
- f. Select the applicable Preconditions nanocodes (Q4-Q6).

### Warning

All Acts must have at least one associated Precondition. QC will reject reports that list Acts without Preconditions.

- g. Click Save Human Factors.
- h. Repeat steps a-f for all remaining Persons HFACS.

### Caution

If a Person was determined to be a Factor in an event, assignment of Act and Precondition HFACS are mandatory for that Person.

- i. On the HFAC/MFAC Homepage, click on the two arrows to associate to Findings.
- j. Associate HFAC to Finding(s).

### Caution

All HFACS must be associated to at least one Primary Causal Finding. Failure to associate HFACS to a Primary Causal Finding will result in a validation error during MOFE.

- h. Repeat step i. until all HFACS are associated to at least one Primary Causal Finding.

## 5.13.3 Material Factors

All mishaps and HAZREPs that result in equipment malfunction, damage, replacement or loss require at least one Material Factor. Generally, if there are any costs associated with a report (injury-related costs excluded), a Material Factor is required to be entered.

**Note**

Regardless of whether the object was causal or contributory to the event, any Object that sustained damage must be assigned a Material Factor with an applicable Mode and Agent entered.

- a. Click Add/Update MFACS.
- b. Are material factors applicable to this event? Y/N.
- c. After selecting Yes, all Objects appear.
- d. Enter Rating, Mode, and Agent for **ALL** damaged or destroyed Objects.

**Note**

Use the following guidelines for entering Rating, Mode, and Agent:

- **Rating:** The piece(s) of equipment that failed/broke/ malfunctioned etc. is Causal. All other associated objects are Contributory, to include the vessel.
- **Mode:** This is a one or two word description **WHAT** happened to the Object. Examples: Separated, Cracked, Leaked, Fractured, Smoked, etc.
- **Agent:** This is a one or two word description of **HOW/WHY** the Object malfunctioned/failed. Examples: Overload, Fatigue, under tightening, Vibration, etc.

- e. Click Save Material Factors.

#### 5.13.4 Associating HFACS/MFACS to Findings

All HFACS and MFACS must be associated to at least one Primary Finding.

- a. Click on the left and right arrow icon (Associate Factors with DoD HFACS code) under the Action tab for the first HFAC.
- b. Check the box next to the applicable Findings associated with that HFAC/MFAC.
- c. Click Associate Findings.
- d. Associated Findings will now appear for that Factor. Repeat steps b-d until all HFACS and MFACS have at least one associated Finding.

**Caution**

All MFACS must be assigned to at least one Causal Primary Finding.

**Caution**

Only Primary Findings can be associated to HFACS/MFACS. Other Findings of Significance cannot be associated to HFACS/MFACS.

e. When complete, click Done with HFAC/MFACs.

## 5.14 Recommendations

There are two types of Recommendations: Primary Recommendations and Other Recommendations of Significance (ORS). Primary Recommendations are associated to Primary Findings, and Other Recommendations of Significance are associated to Other Findings of Significance. **The expectation is that ALL safety reports include at least one primary recommendation from the SIB/Investigator to prevent future occurrences, based on serious evaluation of the causal factors.**

In writing Recommendations, every effort should be made to assign corrective actions to the lowest level able to effect change using existing channels and processes. Many recommendation corrective actions can be executed at the unit level by utilizing existing resources like ship's policy or TYCOM policy change, and so on.

### 5.14.1 Primary Recommendations

- a. Click Add Primary Recommendation.
- b. Responsible Category: Select appropriate category
- c. RAC Calculation: Select applicable Severity and Probability.

**Warning**

Entry of RAC severity and probability codes is mandatory for **ALL** Recommendations.

**Note**

Any Recommendations with a calculated RAC score of 1, 2, or 3 will require the entry of additional Hazard information in order to pass validation.

- d. Recommendation Type: Select.
- e. Associated Findings: Select.
- f. Identified Hazard or Deficiency: Enter. This section identifies WHAT the hazard is. All justification and explanation should be included in this section, to include WHY the identified corrective action will adequately resolve or mitigate the deficiency.

g. Recommendation Narrative: Enter. This section defines the corrective action to be taken. It should be a clearly-written 1-2 sentence directive statement.

h. Tracking Information: Not applicable, skip/minimize this entire section.

i. OPR Information: Enter OPR command.

**Note**

The OPR is a specific action agency point of contact, by name, assigned to the Recommendation. The OPR is used as the primary contact for management of assigned Recommendations.

**Warning**

For Class D & E mishaps and HAZREPs, the assigned OPRs will dictate selection of the appropriate Convening Authority for that report. The CA must be at the same echelon of command as the OPR agency. If the OPR is outside of your chain of command, then the CA must always be the ACC. If any recommendation in a report has an OPR at a higher echelon than the CO, then the report will require a higher CA and will require MOFE. Ensure the OPR is aware that they are being assigned a Recommendation.

j. OPR Action Officer Information: Enter. Name, Grade, and phone or email are required entries.

**Caution**

Anyone assigned as an OPR Action Officer **MUST** have an active RMI account assigned to the OPR UIC. Do not assign someone as an OPR Action Officer without first confirming that individual has an active RMI account AND is assigned to the OPR Action Agency UIC. This can be accomplished by clicking on Admin – Search Accounts.

k. References: Add as required.

If a Recommendation has a RAC of 1, 2, or 3:

1. Exposure & Abatement Cost: Enter 1 for both.

Exposure and Abatement Cost are the responsibility of the OPR to complete but a value must be entered to save the recommendation. Once the investigation closes, the Recommendation is available in the Hazard Management Module where the OPR can update the Exposure and Abatement Cost if necessary.

2. Interim Control Measures: Enter a basic mitigation plan until the Recommendation is Completed.

3. Hazard Abatement Actions: Enter N/A.

4. Hazard Project Status: Select Other.
5. Hazard Type: Select Other.
6. Hazard Category: Select Safety.
7. Hazard Discovery Method: Select Investigation.
8. Functional Manager Contact Information: Enter OPR information.

l. Estimated Completion Date: Enter. This is the date the recommendation action is expected to be completed.

m. Click Add Primary Recommendation.

n. Attached Files: Attach supporting documentation as required.

o. Click Done with Files Attached to Recommendation.

p. OCRs: Add as required.

1. Organization: Enter.
2. Name: Enter First and Last name.
3. Grade: Enter.
4. Organization: Select Same as OCR Organization checkbox.
5. Contact Information: Enter phone number or valid email address.
6. Click Save OCR.
7. Repeat steps 1-6 to add additional OCRs as required.
8. Click Done with OCRs.

q. Repeat steps a-p as required.

#### **5.14.2 Other Recommendations of Significance**

An Other Recommendation of Significance (ORS) is used as a corrective action to address an Other Finding of Significance and associated NFWOD. By definition, an ORS cannot correct a Primary Finding, Causal Factor, or Factor.

a. Process is identical to Section 5.19.1.

### **Warning**

Any ORS must be associated to at least one Other Finding of Significance or it will be rejected by QC.

- b. When complete, click Done With Recommendations.

## **5.15 Exhibits**

Exhibits are the source documents that support the report's Findings. All Findings in Class A-D mishaps must be supported by at least one Exhibit. The Exhibits tab is where all of the evidence from the investigation is uploaded for all Class A-D mishaps. The Exhibits section can accept all electronic file types, and has a 2GB capacity per report.

- a. Click Add New Files.
- b. Click Browse.
- c. Select file(s) to upload.
- d. Exhibit Name: Edit as required.

### **Caution**

Privileged Exhibits must begin with a (P) at the beginning of the file name.

### **Note**

File names should be consistent throughout the report. The file name listed here should match file names listed in the Background Information, Factors, and Findings sections.

- e. Exhibit Groups: Select.
- f. Exhibit Attributes: Select Y/N to all questions.

### **Note**

Some Yes/No selections will be unavailable depending on the selected Exhibit Group.

### **Caution**

The following Exhibit Groups are always non-privileged. If an exhibit contains privileged information it cannot be assigned to any of the categories listed below.

- Deficiency Reports
- Evidence Transfer Document
- Law Enforcement Reports
- Medical Information (Not Medical Analysis)
- Non-Disclosure Agreements
- Parametric Data

- Transcripts (Not Interviews)
- g. Has this exhibit been marked with all the appropriate warning statements above? Click Yes.
  - h. Click Save Exhibit Attributes.
  - i. Repeat steps a-h until all Exhibits have been uploaded.
  - j. Review Exhibit list and click Done with Exhibits.

## 5.16 Report Authentication

The report is required to be authenticated by the Senior Member or Single Investigating Officer prior to release. It is recommended to delay authenticating the report until it is ready for release to the CA and NAVSAFECOM.

- a. Click on the Edit icon next to the Senior Member/Single Investigating Officer.
- b. Authentication banner will appear, click Authenticate.
- c. Authentication Status will change to "Authenticated."
- d. Click Done With Report Authentication.

## 5.17 Preview Final Message

This will display the full SIR/HAZREP in its current draft state and how it will appear to the Fleet if released. The report has not been validated at this point and may contain validation errors. The report may be downloaded to .pdf or .doc file. When complete with review, click Done With Preview Final Message. The Preview Final Message function is available at all times while the report is in Investigation status.

## 5.18 Messages

When ready to submit the message to the CA and then NAVSAFECOM for QC and release, click the Create Final Message button. The system will automatically run a validation and Validation Results will display. After the message has been submitted, this tab will display the current approval status and all subsequent messages associated with the report ((Unit) - Awaiting Review, Withdrawn, Rejected by QC, Status, Approved, Final, Comments for MOFE, Final MOFE).

## 5.19 Validation

Following Validation, sections highlighted in red (**Issues**) are required to be corrected in order to pass validation. Sections in highlighted in orange (**Warnings**) are not required to be corrected, but are an indicator that a section may have been overlooked. Sections in green have passed Validation..

### Caution

Just because a report or section of a report passes Validation does not guarantee it will pass QC. Strict adherence to this guide will greatly reduce the likelihood of report rejection by QC.

**Note**

A Validation report may be completed at any time in the process of an investigation.

**5.19.1 Correcting Validation Errors**

- a. Click on any red section(s).
- b. Dropdown will indicate Validation issue. To go directly to that section, click on the red text.
- c. Field in question will be highlighted in yellow, make correction.
- d. Click Save and Run Validation.
- e. Repeat until there are no red Validation errors.
- f. Click Continue to Create Message.

**Caution**

Nearly every free text section within RMI contains a Spell Check button, and RMI will display a red saw tooth line underneath words that are misspelled. RMI does not automatically correct misspelled words, and it does not correct or identify poor grammar. QC analysts cannot correct spelling or grammar errors without first rejecting the report. It is not the responsibility of NAVSAFECOM QC to edit reports for grammar or spelling errors.

**5.19.2 Submit Message Release**

This page will display the full SIR/HAZREP in its current draft state and what will be visible to the Fleet upon release. The report has passed validation and may be submitted for release. The report may be printed or downloaded as a PDF or .doc file.

- a. Message Approvers: Review. The CA is the Required Approver.

**Warning**

Do NOT check boxes next to any Optional Approvers. This will adversely affect the routing process.

- b. Comments for Approval Authority: Leave blank.
- c. Click Submit Message.

**Caution**

Clicking Submit Message will result in SIR/HAZREP release following QC evaluation and approval. Ensure that the report is 100% complete prior to submitting the message. Assuming the message passes QC, it will be released exactly as was submitted on this page.



### **Warning**

All released HAZREPs and non-MOFE Class E reports are official correspondence from your Commanding Officer and are equivalent to signed letterhead. All released SIRs are official correspondence from the Senior Member.

### **Note**

If the person submitting the message for release does not have the Event: Message Approval role assigned to his or her RMI account, the message will first be routed to that ship's Message Approver(s) prior to release to the CA (as required) and NAVSAFECOM QC. The message will display as "Awaiting Review" under the Status column on the Messages tab. Any report in this status has not been released to QC.

d. Message has been submitted to CA for review and NAVSAFECOM for QC. If the ship is the CA, the message will go directly to NAVSAFECOM for QC. Report status will change from "Investigation" to "Awaiting Review" (at CA) or "Awaiting QC (At NAVSAFECOM).

e. If the report is rejected, the named investigators for that report will receive a RMI rejection email and the report will return to your RMI Investigations inbox for edits. Necessary edits will be listed in the report History Log. Upon completion of edits, resubmit.

## **5.20 History Log**

The History Log tab is an optional tool used to make manual entries to the read-only History Log during an investigation. Any entries submitted to the History Log will be immediately added to the read-only History Log and cannot be removed once submitted. All entries will be timestamped and will identify the user who created the entry.

- a. Enter Subject.
- b. To: Select.
- c. Desired comments: Enter.
- d. Comment contains privileged information, do not show comment in email: Select.

### **Caution**

This tab is used only to submit entries to the History Log and is not the actual log of historical events (also named History Log). The "historical" read-only History Log is located under the Data Viewer tab.

## **5.21 Data Viewer**

The Data Viewer tab allows all RMI users to view all entered data in a report with the exception of DoD ID. Clicking on the Homepage, Findings and Recommendations tab allows the user to view the associated entries.

**Note**

All entries in the Data Viewer section are read-only and not editable.

### **5.21.1 Data Viewer History Log**

The Data Viewer History Log provides a read-only chronological report of entries made to the report. Each entry is timestamped and includes the name and contact information of the user who initiated each specific action. Any manual entries to the History Log will appear in this section. The History Log will also include any previous commentary on report rejections from both the CA and NAVSAFECOM QC.

### **5.21.2. Access Log**

The Access Log provides a chronological report of any RMI user who accesses a report after it has been created. The Access Log will report when any user accessed the report and which sections that user accessed within the report. The Access Log is automatically generated by RMI and is not editable.

# 6 MOFE

## 6.1 General

All Class A-D mishaps, all Class E mishaps and HAZREPs with OPRs other than the Accounting Organization require endorsement using the MOFE process. The Memorandum of Final Evaluation (MOFE) process is the endorsement process in RMI. The CA is responsible for identifying the desired endorsers for a SIR/HAZREP.

### Note

NAVSAFECOM will coordinate all endorsements outside the Department of the Navy.

All required endorsers have 45 calendar days following SIR/HAZREP release to make their official command endorsement, officially referred to as Comments for MOFE. MOFE comments are mandatory for the CA, but are optional for the chain of command, to include your CO. If your CO or Commander elects not to make comments within the 45-day period, that is considered tacit approval of the entire SIR/HAZREP as written, to include all Factors, Findings, and Recommendations. There is no negative connotation associated with not electing to make Comments for MOFE.

An approved Comments for MOFE template is located in the RMI Help Files and User Guides and on the NAVSAFECOM website. If any Comments for MOFE other than "Concur as written" will be entered, use of the MOFE template is mandatory. Comments for MOFE may be made at any time during the 45-day Comments period.

### Warning

The responsibility to enter comments within the 45-day Comments period resides with each endorser's CO or Commander. Waivers to extend the 45-day Comments period require COMNAVSAFECOM's approval and will be considered on a case-by-case basis.

### Warning

The CA must provide comments even if "Concur as Written" is the only applicable comments made. Any issue preventing comments from being entered, prior to the expiration of 45-day Comments for MOFE period, CA must contact COMNAVSAFECOM to discuss a way ahead.

## 6.1 Entering MOFE Comments

- a. Open RMI <https://afsas.safety.af.mil>
- b. Click on My "To Do" list on left-side menu.
- c. Click on My Organization's Investigations: Awaiting MOFE Comments.
- d. Click on the magnifying glass icon (View all Messages). All messages and other endorser's MOFE comments will be available to review.

e. Click Provide Comments for MOFE. Days remaining to provide comments is indicated next to the button.

f. Enter Comments for MOFE in the narrative box. These comments are your CO or Commander's official endorsement of the SIR/HAZREP.

**Caution**

All submitted MOFE comments must adhere to the Approved MOFE Comments template found on the RMI website.

**Caution**

If adding an additional Recommendation in MOFE comments, you are required to provide all of the same information as if entering an actual Recommendation into a report, to include OPR, OPR Contact info, RAC, Associated Findings, etc. Reference Appendix E and please contact your NAVSAFECOM analyst to assist.

g. Select - "Official, staffed comments provided in response to AFSEC's request for comments."

h. Click Submit Comments for MOFE.

**Note**

It is normal to receive multiple RMI email notices to enter Comments for MOFE, even after comments have been submitted. These notices are automated messages from RMI and will stop following the conclusion of the 45-day Comments for MOFE period.

### **6.3 Review and Adjudication and Final MOFE Message**

**Note**

The following section is for informational and procedural purposes only. No action is required by the Safety Officer.

Following the initial 45-day period, all MOFE Comments go to NAVSAFECOM for review and preparation of the Final MOFE message. NAVSAFECOM will review and provide a final disposition for all MISRECs and HAZRECs. NAVSAFECOM administratively defers to the CA for disposition of all Class B and below mishaps with the exception of Physiological Events. For all Class A mishaps and Physiological Events, NAVSAFECOM is the final endorser. A Final MOFE message will be released by NAVSAFECOM for all reports requiring MOFE. Following release of the Final MOFE message, the investigation is officially closed.

**Note**

Requests for Recommendation closure cannot be submitted or approved until after the Final MOFE message has been released.

# 7 Reconvening a Board

Any endorser who determines that an investigation is incomplete or inadequate must act to reopen the investigation and require the subsequent resubmission of the report. The endorser must request the reconvening of the SIB and request the SIB to address specific areas of concern. This is accomplished during the Comments for MOFE period. Only the CA or NAVSAFECOM has the authority to reopen an investigation.

When an endorser recommends that an SIB should be reconvened:

1. Enter the reconvene request with specific justification as a Comment for MOFE per Chapter 6.
2. Email the CA and NAVSAFECOM Code 30 at [NAVSAFECOM\\_CODE30\\_AFLOAT@navy.mil](mailto:NAVSAFECOM_CODE30_AFLOAT@navy.mil) with reconvene justification, including submitted Comments for MOFE as an email attachment.
3. The CA will make a determination on whether to reconvene the board. If approved, CA notifies NAVSAFECOM QC. NAVSAFECOM reserves the right to independently reconvene any board.
4. NAVSAFECOM QC will reopen the event, and the report will return to Investigation status.

## **Note**

While any endorser can request to reconvene the SIB, only NAVSAFECOM QC has the permissions in RMI to reopen an investigation following SIR/HAZREP message release.

# 8 Mishap/Hazard Recommendation Response

When a command is listed as an OPR for a mishap or hazard recommendation it must provide a response via the RMI Hazard Management module. Additionally, the command must notify the recommendation Approval Authority when it has completed the recommended action. All OPRs should comment on the feasibility and status of assigned recommendations during the 45-day Comments for MOFE period. OPRs have 180 days following release of the HAZREP (if no MOFE is required) or Final MOFE message to provide a Recommendation status update or request Recommendation Closure.

Per ALSAFE 017/20, the following defines the Office of Primary Responsibility (OPR) and its responsibilities:

An OPR is required for every recommendation. The OPR is a specific action agency POC, by name, assigned to the recommendation. The OPR is used as the primary contact for recommendations. In some instances, commands may determine their specific OPR action agency POC is better paired to a specific command job billet to ensure continuity of effort for sib recommendations. These individuals will have the authority to update the recommendation and recommend closure.

Per ALSAFE 017/20, the following defines the Office of Collateral Responsibility (OCR) and its responsibilities:

An OCR is not required for every recommendation. OCRs assist the OPR in completing the recommendations. You can have multiple OCRs for each recommendation.

## 8.1 Updating a MISREC/HAZREC

a. Open RMI: <https://afsas.safety.af.mil>.

b. From the left-hand menu, Navigate to Hazard Management – Homepage.

### **Note**

To navigate directly to a specific Recommendation, enter the specific Recommendation ID or the associated Event ID into the Search bar and select Search by Recommendation ID or Search Rec by Event ID.

c. Select the Afloat tab in the My Organization's Recommendations section.

d. Click on the number under the In Work column to view all open Recommendations.

e. Under the Action column, select the black comment bubble icon (Post to Recommendation History Log).

f. Enter detailed update on Recommendation status.

g. Click Save.

h. Any previous Recommendation updates may be viewed by accessing the Recommendation History Log.

## **8.2 MISREC/HAZREC Closeout**

The OPR Action Agency must request closeout of all assigned MISRECs/HAZRECs upon satisfactory completion of Recommendation corrective actions. The Approval Authority or NAVSAFECOM will approve or deny all closeout requests based on the justification provided in the Coordination Remarks section.

### **Note**

For reports that require MOFE, MISRECs and HAZRECs cannot be closed out until after the Final MOFE message has been released by NAVSAFECOM. Non-MOFE HAZRECs may be closed out following HAZREP message release assuming proper justification has been provided.

a. Repeat steps a-d listed in Section 8.1.

b. Under the Action column, select the black lock icon (Request Recommendation Closure).

c. Select appropriate Closure/Rejection Method from dropdown menu.

d. Enter adequate justification for Recommendation closure in Coordination Remarks.

### **Caution**

Recommendations will not be approved for closure by an Approval Authority without adequate justification provided by the requestor. Examples of adequate justification include: specific dates training was conducted, proof of submission of a publication change request to the proper entity, date of release of an updated document, etc. Simply selecting "Acceptable action implemented by OPR" from the dropdown menu and not providing additional justification will result in request denial by the Approval Authority.

e. Upload any substantiating documentation to assist in justifying Recommendation closure by clicking Files – Upload.

f. Click Request Closure.

g. Request will be submitted to the designated Approval Authority for final closure determination.

# 9 Data Pulls and Searches

## 9.1 General Searches

All RMI users have the ability to conduct basic searches of released reports.

- a. Go to <https://afsas.safety.af.mil>.
- b. From the left-hand menu bar, select Investigations – Search Investigations.
- c. Select desired search parameters.

### Caution

The more selections that are entered/chosen in the Search Parameters section, the more restrictive the search results become. It is highly recommended to make the minimum number of selections in order to receive all desired reports.

### Note

It is highly recommended to select Afloat from the Event Discipline dropdown. Failure to do so will result in non-afloat search results.

### Caution

Select the Closed checkbox from the Investigation Status field. Reports in Investigation, Awaiting Closure and Awaiting QC Evaluation status have not been released by NAVSAFECOM and are not official reports.

- d. Click Search Event Investigations.
- e. Results will display. To export to Excel, click the Excel logo at the bottom right of the results.

## 9.2. Analytics

In order to use the Analytics section, a RMI user must be assigned the following roles: Data Extraction Access: Events; and Data Extraction Access: Recommendation. A User Administrator can grant access to these roles. All reports are located within the RMI website.

### 9.2.1 Pre-formatted Reports

RMI currently contains pre-formatted afloat-specific reports.

- a. Go to <https://afsas.safety.af.mil>.
- b. Click on the Analytics tab on the left menu.



### **Note**

If the Analytics tab is not visible on the RMI homepage, the associated roles have not been granted. Request the appropriate roles from your UA.

- c. Click on Homepage.
- d. Select the appropriate tab. There is not an Afloat-specific .
- e. Select the desired report by choosing the output format. Report outputs are html (on-screen), PDF, or Excel files.
- f. Enter applicable input data and select Submit Search.

## **9.2.2 Data Extraction Tool**

The Data Extraction Tool is used to create unique searches that are not covered by the Pre-formatted reports. Reports may be output in HTML, Google Earth .kml, Word, or Excel formats.

- a. Under Analytics and Data Extraction from the left-hand menu, Click on Query Events or Query Recommendation.
- b. Enter desired search inputs and outputs.

### **Caution**

The more selections that are made in the Data Extraction Tool Query, the more restrictive the rules become. It is highly recommended to make the minimum number of selections in order not inadvertently exclude desired information.

### **Warning**

HTML, Google Earth, and Word outputs are truncated to return only the first 100 reports that meet the search criteria. It is highly recommended to select Excel as the output format when running reports.

- c. Click Save Query, Run Now.

### **Warning**

Only run one DET query at a time. Running more than one query at a time can result in RMI software latencies and delays in report generation.

- d. The query is now saved in the Manage DET queries section.
- e. Query results are displayed in the Executed DET Query Results section. To access results, click on the icon next to the desired report.

### **Caution**

There are two reasons a query will not return any matches: The query is too restrictive, or there is no data in the system that matches the query. Some trial and error may be required in manipulating search parameters to return desired query results.

## **9.3 Exhibit Access Requests**

RMI users may request temporary access to any Exhibits uploaded to released SIRs in order to conduct training. The access will automatically expire at the conclusion of the predetermined time window. Exhibit information cannot be downloaded from RMI, but may be viewed through the integral document and video viewer. The main purpose of submitting an Access Request is to provide training material for use by a Safety Officer.

### **Note**

While any RMI user may submit an Access Request, in order to view the requested files the user must also have the 'Event Tabs: View (Org & Time Restricted)' or the 'Event Tabs: View (JA Time Restricted)' roles assigned by their UA.

- a. Go to <https://afsas.safety.af.mil>.
- b. Click on the Investigations tab on the left menu.
- c. Under the Access Request tab, click Request Access.
- d. Enter the Event ID(s) of the requested reports at the Event Report # box.
- e. Check the desired exhibit sections located under the Exhibits header.
- f. Enter the justification for the request.
- g. Enter the requested length of time to access the exhibit files.
- h. Click Submit Access Request.

### **Note**

Unless found to be directly causal and relevant to a specific mishap, requests for Aeromedical Analysis and Medical Records Exhibits will generally be denied.

### **Warning**

Many of the exhibit files will be privileged and must be handled and viewed only by personnel authorized to access privileged information. Additionally, photographs, videos, and mishap reconstruction files may be graphic in nature and emotionally unsettling. Exercise the appropriate

amount of caution and restraint when displaying sensitive information to your audience.

# 10 Common Errors

This section will cover common errors that will typically result in automatic rejection by QC. This list is not exhaustive, nor will it prevent all QC rejections, but reviewing this section prior to submission to QC will greatly reduce the number of corrections required to be made to any given report. Few of these errors will be identified by running a Validation.

It is not the responsibility of NAVSAFECOM analysts to correct spelling and grammar errors in reports submitted to QC for release. Any released SIR or HAZREP is considered equivalent to official letterhead correspondence signed by your Commanding Officer, so it is incumbent on the Safety Officer to ensure any report submitted to QC has undergone the appropriate amount of review and scrutiny. Additionally, QC analysts cannot correct spelling or grammar errors without first rejecting the report back to the Safety Officer.

## 10.1 Event Investigation

- Selected Event Type Tier 1 does not match event narrative
- Incorrect Mishap Class
  - Events with injuries labeled as HAZREPs
  - Events with obvious damage costs labeled as HAZREPs
- Did the event occur on base? Incorrect selection based on event narrative

## 10.2 Investigators

- SIB members listed in the Interim Safety Board section but not the Safety Investigation Board section
- SIB Senior Member, Operations, Maintenance, and Medical Provider representatives not identified for Class A-C mishaps

## 10.3 General Information

- A Mishap Non-Reportable Reference (Incident) is selected without prior coordination with QC analyst
- Unit Control Number is in incorrect format
- Convening Authority or Accounting Organization is incorrect
- Entering mishap costs in the One Liner

## 10.4 Environment

- Visibility Distance: entered in feet vice NM
- Wind Speed: TAS or IAS entered, not prevailing wind speed

## 10.5 Risk Management

- No Risk Management entered
- "Could not be determined" selected
- Risk Management Type not entered
- Selecting "Risk Management not conducted prior to event" and not providing explanation in Factors section

## 10.6 Objects

- Object Costs double counted or not entered

- Selecting “Destroyed” when an Object was repaired/replaced

### **10.7 Persons**

- Injured person not selected as being a Factor
- Fake or generic First and Last name
- False or incorrect DoD ID number, omitting DoD ID number for military and GS civilians
- Missing or incorrect Object Assignments
- Injury Severity does not match selected mishap class
- Not entering LLD days in Restricted Days section
- Selecting Partial Days for a LLD injury
- Activity Tier 1 incorrect for injury reports
- Role at the time of event incorrect
- "Was this person offered a promise of confidentiality?" selected Yes without signed Privileged Advice to Witness statement uploaded to Exhibits

### **10.8 Cost**

- Costs are double-counted
- Omitting damage or repair costs
- Assigning costs to the incorrect Objects

### **10.9 Findings**

- Incorrectly classifying Primary Causal or Primary Non-Causal Findings as Other Findings of Significance and vice versa

### **10.10 Sequence of Event**

- Acronym list included in narrative
- Gender pronouns used
- SIB analysis included in narrative
- Including background information not directly relevant to Sequence of Event

### **10.11 Background Information**

- Person Background Alias Information not entered
- Not correctly labeling captions of uploaded files
- Gender pronouns used in narrative
- Entering analysis into Background Information narrative

### **10.12 Factors**

- No Factors entered
- Factors not associated to Findings
- Factor titles not in Actor/Action format
- Selecting "Risk Management" as a Factor Investigative Area while the Risk Management section has No selected to the question “Were any areas of the risk management planning found to be deficient?”
- No Primary Causal Factors entered
- NFWOD/Rejected Factors included in a Class E/HAZREP that doesn’t have an ORS
- Not arranging Factors on the main page in the following order: NFWODs, Causal Factors, Factors
- Gender pronouns used in Factor Narrative
- Not correctly labeling captions of privileged uploaded files

- Listing a Primary Factor as an Other Factor of Significance or vice versa
- Listing Non-Factors as NFWODs

### **10.13 Investigation Conclusions**

- Including CO comments on reports that require MOFE
- Introducing new information not covered in Findings or Factors
- Using gender pronouns
- Not providing justification for electing not to enter a Recommendation

### **10.14 Acronyms**

- Omitting this section when acronyms are used throughout the report

### **10.15 Documents Reviewed**

- Neglecting to enter information in this section for Class A-D mishaps

### **10.16 Referenced Reports**

- Neglecting to enter similar reports in this section when there are known similar released SIRs/HAZREPs

### **10.17 Findings**

- Including analysis or opinion in Finding narratives
- Gender pronouns used in Finding narrative
- Omitting necessary factual information
- Listing Primary Findings as an Other Findings of Significance or vice versa
- Not prefacing privileged Findings with a (P)
- Not identifying Exhibit source at the end of each Finding narrative for Class A-D mishaps

### **10.18 HFAC/MFAC**

- Selecting inappropriate HFACS based on nanocode definitions
- Including Acts without any Preconditions
- Not associating all HFACS and MFACS to Findings
- Omitting HFACS on reports with Persons identified as being a Factor to the event
- Omitting or incorrect MFACS Mode/Agents

### **10.19 Recommendations**

- Not entering a Recommendation without justification in Investigation Conclusions
- Including a "Brief to all" recommendation
- Including a "Submitted for tracking purposes" recommendation
- Not effecting or directing any actionable change in a Recommendation narrative ("Continue to...", "Ensure that..." etc.)
- Beginning the Recommendation Narrative with "Recommend that..." or "The SIB recommends..."
- Omitting RAC codes on any Recommendation
- Gender pronouns used in Recommendation Narrative
- Creating an Other Recommendation of Significance without having or associating to an Other Finding of Significance
- Assigning an incorrect/inappropriate OPR
- Assigning an OPR Action Officer who is not assigned/attached to the OPR Agency

- Assigning an OPR Action Officer who does not have an active RMI account
- Not assigning any OCRs when appropriate
- Listing a Primary Recommendation as an Other Recommendation of Significance and vice versa

### **10.20 Exhibits**

- Not uploading Exhibits for Class A-D mishaps
- Not uploading Privileged Advice to Witness forms for privileged witness statements
- Incorrectly categorizing privileged evidence as non-privileged or vice-versa
- Poorly labeling file names (img1903.jpg., fileupload.doc., ko23kl3d095.pdf., etc.)
- Inconsistent use of file names (files listed in Exhibits don't match file names in Findings/Factors captions)
- Not uploading files to Exhibits that have been uploaded to Background Information, Factors, or Recommendations
- Not uploading medical information for mishaps involving injuries, or fatigue

# 11 Appendix A

## Finding Determination

There are three types of Findings, Primary Causal, Primary Non-Causal, and Other Findings of Significance. These are your factual data from which you develop your Factors.

**Primary Causal Findings:** Occurrence of this action directly resulted in event. If this Finding does not occur, the event does not happen.

**Primary Non-Causal Finding:** This occurrence either contributed to the event occurring, or was a subsequent result of the event. Examples include: subsequent damage caused by the event, weather, injuries; events that were part of the “Swiss cheese” model but did not singly cause the event to occur.

**Other Finding of Significance:** This occurrence neither resulted in the event or contributed to the event. This is something that is completely independent of the event occurring and was identified as an issue through the process of the investigation.

## Factor Determination

There are four types of Factors: Causal Factors, Factors, Non-Factors, and NFWOD/Rejected Factors. Official definitions of each type of Factors can be found in ALSAFE 017-20.

**Causal Factors:** These factors caused the event to occur. If you remove this action from the event, the event does not (or cannot) occur.

**Factors:** These factors directly contributed to the event. They are not causal, however they contributed to the eventuality or severity of the final outcome of the event.

**Non-Factors:** These factors are items that were investigated and ruled out, and require no additional justification or explanation.

**Non-Factors Worthy of Discussion/Rejected (NFWOD/Rejected)** In essence, these are any areas uncovered or identified during the investigation that did not factor into the mishap, but is worthy of explanation or elevating to higher authorities. NFWODs will generally fall into one of three categories:

1. A non-factor that requires explanation/justification.
2. An issue or occurrence identified by the SIO or board members during the investigation that is not causal or contributory to why the mishap happened, but still presents a danger that should be corrected. NFWODs are built upon Other Findings of Significance and lead to Other Recommendations of Significance.
3. An area that may be of interest to the Convening Authority (Risk Management, Crew Resource Management)



In terms of entering a NFWOD/Rejected into RMI, there is some nuance required due to the difference between Air Force and Navy/Marine Corps reporting styles. If you are entering a 'non-factor' type NFWOD/Rejected (#1 above) then you should enter primary, non-casual Findings to support it. You will not be able to associate these findings to the NFWOD/Rejected, but this still allows for the facts supporting the NFWOD/Rejected to be entered. The reason Other Findings of Significance should not be used in this case is they will require you to enter an Other Recommendation of Significance, which is not practical for a "non-factor." For the other types of NFWOD/Rejected this is not an issue because you should have a recommendation in those situations.

Entry of an Other Finding of Significance without entering an Other Recommendation of Significance will result in a Validation error.

# 12 Appendix B

## COMMENTS FOR MOFE ENDORSEMENT TEMPLATES

Templates are provided in paragraphs 1 through 4 of this appendix to organize the Memorandum of Final Endorsement (MOFE) comments.

### 1. General Endorsement Guidelines.

a. The convening authority (CA) must provide comments even if "Concur as Written" is the only applicable comment made.

b. The absence of comments by endorsers other than the CA is considered tacit approval of the SIR or HAZREP and will be considered equivalent to commenting "Concur as Written."

### 2. MOFE Endorsers Other Than the CA.

a. Concur with Report as Written: (No entry required).

b. Concur with Report, with Additional Comments or Recommendations: "[Unit] concurs as written, with the following additional recommendation(s)/comments:"

*Recommendation #X [Justification].*

Additional comments (optional).

**Note:** If adding an entirely new Recommendation, the following additional data fields must be entered in the comments in addition to the Recommendation Narrative:

- (1) RAC Severity: I-IV
- (2) RAC Probability: A-D
- (3) Associated Findings: Provide Finding #s only
- (4) Identified Hazard or Deficiency Narrative
- (5) OPR Organization
- (6) OPR Action Officer: Name, Grade, email
- (7) Estimated Completion Date

c. Non-Concur with Sections of Report: "[Unit] concurs as written with the following exceptions:"

*Section number [X.X.X] Title: [Non-concur Justification].*

*Section number [X.X.X] Title: [Non-concur Justification].*

(Repeat as required).

Additional comments (optional).

### 3. CA Comments (mandatory entry for CAs).

a. CA Concurs with Report and MOFE Comments (CA Only): "[CA unit] concurs as written."

Additional CA Comments (optional).

b. CA Non-Concurs with Report, Non-Concurs with MOFE Comments or both (CA Only): “[CA unit] concurs with report as written with the following exceptions:”

Section number [X.X.X] Title: [Non-concur Justification].

Section number [X.X.X] Title: [Non-concur Justification].

(Repeat as required).

“[CA unit] does not concur with [unit 1]'s comments for MOFE.” [Justification].

“[CA unit] does not concur with [unit 2]'s comments for MOFE.” [Justification].

(Repeat as required).

Additional CA Comments (optional).

**4. Commanding Officer Comments on HAZREPs and Class E SIRs Not Requiring Endorsement (optional).**

**Note:** Enter comments in “Investigation Conclusions” block of HAZREP/SIR.

a. CO Concurs with Report and Comments: “[CO] concurs as written.”

Additional CO Comments (optional).

b. CO Non-Concurs with Report or Comments: “[CO] concurs with report as written with the following exceptions:”

Section number [X.X.X] Title: [Non-concur Justification]

Section number [X.X.X] Title: [Non-concur Justification]

(Repeat as required)

Additional CO Comments (optional)