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1. **Overview.** Action planning and validation lead to intended reductions in the likelihood of a negative safety outcome in the future. This phase follows the Reviewing phase to ensure contributing and causal factors are considered and addressed when deciding actions to take in response to a Safety Significant Occurrence (SSO).

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2. **The purpose of this guide** The Safety Action Planning Guide is not designed to provide a “fix” for the causes of an SSO. The guide is intended to offer ideas that can help connect actions aimed at reducing the likelihood of an SSO and associated contributing and casual factors.

3. **Actions to address non-human factors.** These actions are intended to address the non-human factors of sabotage, natural disasters, equipment difficulties, and adequacy of facilities that lead to or could lead to injury, illness, or damage.

   3.1. **Deliberate Act.** Once deliberate act is identified as the cause of an SSO, the matter must be referred directly to the commander for action. Continue with contributing and causal factors identification, as applicable.

   3.2. **Natural Disaster.** While natural disasters themselves are beyond human control, some mitigating actions may be possible to reduce the likelihood of harm or loss.

      3.2.1. **Acquire adequate facilities.** Relocate equipment or storing equipment in a protective /covered facility. Be sure to consider the other FACILITY factors when evaluating this factor.

   3.3. **Equipment Difficulties.** All aircraft equipment difficulties must be reported in AMRAD. Vehicle equipment difficulties should be reported to the unit/wing transportation officer. Refer to CAPR 160-2 regarding equipment difficulties that may be reportable to the National Transportation Safety Board (NTSB) and follow the associated directives.

      3.3.1. **Improve program quality assurance process.** Review and revise equipment purchasing, handling, and/or storage requirements, especially if the problem is recurring.

      3.3.2. **Replace defective part.** Procure and replace a defective part with an appropriate replacement.
3.3.3. **Implement preventive or predictive maintenance.** If requirements for preventive or predictive maintenance do not currently exist, consider recommending them they can be connected to the contributing of causal factors.

3.3.4. **Improve preventive or predictive maintenance.** If the maintenance interval requirements for the equipment are inadequate, consider revising the requirements.

3.4. **Facility.** Damage or injury that resulted because of an inadequate facility either because of size or space or because of inadequate maintenance, storage, or organization.

3.4.1. Does not exist

3.4.1.1. **Acquire a facility to meet the needs of a mission, activity, or task.** Consider this action when a facility was not available but if it had been, would have better protected people or equipment.

3.4.2. Space inadequate

3.4.2.1. **Acquire a facility to meet the needs of a mission, activity, or task.** Consider this action when a facility was available, but the space was inadequate for the mission, activity, or task.

3.4.3. Storage/organization inadequate

3.4.3.1. **Acquire storage/organization.** Consider this factor when unavailable storage or organization equipment results in cramped, crowded, or obstructed space and represents a hazard.

4. **Actions to address human factors.** These actions are intended to address human error.

4.1. **Training.** The preparation or teaching needed to accomplish a mission, activity, or task successfully.

4.1.1. Does not exist

4.1.1.1. **Develop and implement training.** This action can be focused very broadly to address widespread issues or focused on a specific group performing specialized tasks where training is needed but was not previously developed or implemented.

4.1.2. Not received/not sufficient

4.1.2.1. **Provide required training.** Recommend delivering training that should have been delivered previously. Consider this action only when training was already in existence but, for whatever reason, was not delivered.
4.1.2.2. **Provide additional training.** Consider this action when the training content, time, and frequency are generally adequate, but an individual or small group of people need additional training to address an area or topic.

4.1.3. **Content inadequate**

4.1.3.1. **Revise training content.** Consider this action when existing training is incomplete and needs additional content or time spent on a particular area or topic.

4.1.4. **Standardization or delivery inadequate**

4.1.4.1. **Improve the means of delivering training.** Consider this action when existing training is delivered via a medium or platform that is not effective.

4.1.4.2. **Improve delivery.** This action can be used to improve individual or system capabilities when delivering existing training.

4.1.4.3. **Improve consistency/standardization of training.** Ensure that training is delivered consistently using expected means and practices.

4.1.5. **Frequency inadequate**

4.1.5.1. **Revise the frequency of required training.** When the training required is sufficient in content and duration but is not delivered often enough, consider adjusting the time between training events.

4.2. **Labels/Placards/Signs.** Physically posted instructions or guidance that should be available, visible, and in sufficient condition to be used effectively.

4.2.1. **Not followed/followed incorrectly**

4.2.1.1. **Communicate requirements/expectations/best practices.** Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to adherence to labels/placards/signs. Be sure to also consider TRAINING factors, if applicable.

4.2.2. **Do not exist**

4.2.2.1. **Develop a label/placard/sign.** If a label/placard/sign is needed, develop them and post. Consider including communications about the new label/placard/sign to ensure members are aware of them.

4.2.3. **Content inadequate**

4.2.3.1. **Revise the label/placard/sign.** Remove a label/placard/sign with incomplete or unclear content and post an adequate update.

4.2.4. **Condition inadequate**
4.2.4.1. *Replace the label/placard/sign.* If the condition of the label/placard/sign renders it unreadable, post an adequate replacement.

4.2.5. Placement or visibility inadequate

4.2.5.1. *Relocate the label/placard/sign.* Repost the label/placard/sign in a location where it will be more visible.

4.3. **Equipment/Tools.** The necessary implements for accomplishing a task. This category does not include aircraft, vehicles, or trailers.

4.3.1. Not used/used incorrectly

4.3.1.1. *Communicate requirements/expectations/best practices.* Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to use of equipment/tools. Be sure to also consider TRAINING factors, if applicable.

4.3.2. Do not exist

4.3.2.1. *Acquire needed equipment/tools.* Obtain equipment/tools needed. Consider including communications about new equipment/tool use to ensure members are aware of them.

4.3.3. Inadequate for task

4.3.3.1. *Acquire needed equipment/tools.* Obtain equipment/tools of sufficient quality, strength, capacity, etc. Consider including communications about new equipment/tool use to ensure members are aware of them.

4.3.4. Condition inadequate

4.3.4.1. *Maintain or repair equipment/tools.* Consider this action when the equipment/tool is adequate but has not been well-maintained or kept in a usable state of repair.

4.3.4.2. *Implement a maintenance schedule for equipment/tools.* Consider developing and implementing regular maintenance on equipment/tools to keep them in usable, working order.

4.3.5. Ergonomics inadequate

4.3.5.1. *Acquire needed equipment/tools.* Obtain equipment/tools with appropriate ergonomics. Consider including communications about new equipment/tool use to ensure members are aware of them.
4.4. **Procedures/Checklists.** Published and accessible documents that contain important instructions, steps, or process guidance in order to successfully perform an operation or complete a task.

4.4.1. Not followed/followed incorrectly

4.4.1.1. *Communicate requirements/expectations/best practices.* Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to adherence to procedures/checklists. Be sure to also consider TRAINING factors, if applicable.

4.4.2. Do not exist

4.4.2.1. *Develop and implement a needed procedure/checklist.* If a procedure/checklist is needed, develop and implement. Consider including communications or training about the new procedure/checklist to ensure members are aware of them.

4.4.3. Access inadequate

4.4.3.1. *Change location of procedure/checklist.* Consider this action if, for example, the procedure/checklist is difficult to locate or is not readily available when needed.

4.4.4. Content or sequence inadequate

4.4.4.1. *Revise the procedure/checklist.* Remove the existing procedure/checklist with incomplete, unclear, or poorly sequenced content and post an adequate update. Consider including communications about the revised procedure/checklist to ensure members are aware of them.

4.4.5. Format inadequate

4.4.5.1. *Revise the procedure/checklist.* Remove the existing procedure/checklist and post an adequate update in a more usable and effective format.

4.4.6. Condition inadequate

4.4.6.1. *Replace the procedure/checklist.* If the condition of the procedure/checklist renders it unreadable, replace with an adequate replacement.

4.5. **Communication.** The written or verbal conveying of relevant information necessary to conduct an operation or task.

4.5.1. Content or clarity inadequate

4.5.1.1. *Provide revised communication.* Revise and redistribute/redeliver communications to applicable audience(s).
4.5.1.2. Communicate requirements/expectations/best practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to content and clarity of communication. Be sure to also consider TRAINING factors, if applicable.

4.5.2. Timeliness inadequate

4.5.2.1. Communicate requirements/expectations/best practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining timeliness of communication. Be sure to also consider TRAINING factors, if applicable.

4.5.3. Frequency inadequate

4.5.3.1. Increase the frequency of communication. Consider this action when communications need to occur more often over time to ensure members remember and use the information provided.

4.5.3.2. Revise communication requirements. When a documented requirement for communication exists, consider revising the requirement to make communication more frequent.

4.5.4. Means inadequate

4.5.4.1. Adjust the means of communicating information. Change the means of communicating important information if the current means is not effective or adequate (e.g., email vs. in-person communication). Note: If the means of communication is related to EQUIPMENT, be sure to consider the EQUIPMENT/TOOLS factors.

4.5.5. Distribution inadequate

4.5.5.1. Republish or redistribute communication to applicable audience. Expand the distribution or delivery of information to a broader audience to which the information is applicable.

4.6. Regulations/Standards/Guidance. Published policy, standards, or non-directive publications that should be referenced as part of accomplishing a mission or activity.

4.6.1. Not followed/followed incorrectly

4.6.1.1. Communicate requirements/expectations/best practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to adherence to regulations/standards/guidance. Be sure to also consider TRAINING factors, if applicable. Note: Deliberately disregarding a regulation or other mandatory requirement should be referred to the appropriate commander for action.
4.6.2. Do not exist

4.6.2.1. Develop and implement a needed regulation/standard/guidance. If a needed, develop and implement a new regulation/standard/guidance. Consider including communications and/or training to ensure members are aware of them.

4.6.3. Content not adequate

4.6.3.1. Revise the regulation/standard/guidance. Revise the existing regulation/standard/guidance with missing or confusing content and post an adequate update. Consider including COMMUNICATIONS about the revision to ensure members are aware of them.

4.6.4. Restrictiveness inadequate

4.6.4.1. Revise the regulation/standard/guidance. Revise the existing regulation/standard/guidance to include more restrictive content. Consider including COMMUNICATIONS about the revision to ensure members are aware of them.

4.6.5. Access availability inadequate

4.6.5.1. Change location of regulation/standard/guidance. Consider this action if, for example, the regulation/standard/guidance is difficult to locate or is not readily available when needed.

4.6.6. Out of date

4.6.6.1. Provide/post most current regulation/standard/guidance. Remove the out-of-date material and provide/post the most current revision.

4.6.6.2. Communicate requirements/expectations/best practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to maintaining up to date regulations/standards/guidance.

4.7. Housekeeping. The cleanliness or organization of a used space.

4.7.1. Not followed/followed incorrectly

4.7.1.1. Communicate requirements/expectations/practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to housekeeping. Be sure to also consider TRAINING factors, if applicable.

4.7.2. Does not exist

4.7.2.1. Develop and implement housekeeping requirements/expectations/practices. Consider this action when the cleanliness and organization of a space is needed to assure the safety of people and/or equipment.
4.7.3. Content/Clarity inadequate.

4.7.3.1. Revise housekeeping requirements/expectations/practices. Consider this action when existing housekeeping requirements/expectations/practices are unclear, poorly sequenced, or difficult to understand and apply.

4.7.4. Availability/Access inadequate

4.7.4.1. Change location of housekeeping requirements/expectations/practices. Consider this action if, for example, the requirements/expectations/practices is difficult to locate or is not readily available when needed.

4.8. Facility. A building or indoor/outdoor accommodation needed for a mission, activity, or task.

4.8.1. Facility used improperly

4.8.1.1. Communicate requirements/expectations/practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to proper use of a facility. Be sure to also consider TRAINING, FACILITY, and/or PROCEDURES/CHECKLIST factors, if applicable.

4.9. Supervision. The oversight or management of a mission, activity, or task or providing instruction or an evaluation of a team or individual in the accomplishment of an operation or task.

4.9.1. Not provided

4.9.1.1. Ensure supervisors are scheduled in mission/activity planning and are present. Consider this action when members are available to supervise but were not scheduled in planning or were not present as requested.

4.9.1.2. Communicate requirements/expectations/practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to adequate supervision. Be sure to also consider TRAINING, REGULATIONS/STANDARDS/GUIDANCE, and/or PROCEDURES/CHECKLIST factors, if applicable.

4.9.2. Does not exist

4.9.2.1. Develop and implement needed supervision requirements. If supervision requirements are needed, develop and implement. Consider including communications or training about the new requirements to ensure members are aware of them.

4.9.3. Best practices not followed

4.9.3.1. Communicate requirements/expectations/practices. Consider this action to ensure individuals or groups are aware of requirements/expectations/practices pertaining to
adequate supervision. Be sure to also consider TRAINING, REGULATIONS/STANDARDS/GUIDANCE, and/or PROCEDURES/CHECKLIST factors, if applicable.

4.9.4. Oversight ratio inadequate

4.9.4.1. **Reduce the number of participants.** Revise the number of participants to match the number of available, committed supervisors.

4.9.4.2. **Increase the number of supervisors.** Obtain additional supervisors

4.9.5. Intervention timeliness inadequate

4.9.5.1. **Communicate requirements/expectations/practices.** Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to adequate intervention timeliness. Be sure to also consider TRAINING factors, if applicable.

4.9.6. Assignment beyond member ability

4.9.6.1. **Communicate requirements/expectations/practices.** Consider this action to ensure individuals or groups are aware of requirements/expectations/best practices pertaining to adequate member assignments. Be sure to also consider TRAINING and/or REGULATIONS/STANDARDS/GUIDANCE factors, if applicable.

5. **Determine the Office of Primary Responsibility (OPR).** The OPR is the wing, region, or NHQ function that has the responsibility and necessary authority to consider and decide whether to direct or implement a recommended safety action. Questions about OPR determinations should be directed to your safety officer.

5.1. **Wing.** For most SSOs, the wing will be the OPR, especially where the recommended actions pertain to individuals.

5.2. **Region.** When the region has responsibility for a mission or activity in which an SSO occurred, they will be the OPR for recommended actions involving individuals.

5.3. **NHQ.** Recommended actions that involve developing, revising, or implementing directive or non-directive material are generally NHQ responsibility. CAP/SE will review these recommendations and coordinate with NHQ functional directorates on next steps. NHQ will also be responsible for making recommendations that pertain to individuals involved in an NTSB or FAA reportable accident or incident.

6. **Justification.** Justification is a critical step that provides additional rationale for a recommended action. Include three basic elements in your justification: intent, action, and benefit. Example:
Improve equipment security (intent) by parking the vehicle in a secured garage (action) to reduce the likelihood of the vehicle being exposed to sabotage (benefit).

6.1. **Intent.** The basic objective or goal of a proposed action.

6.2. **Action.** The specific action to be taken that addresses the contributing and causal factors and expected to meet the intent.

6.3. **Benefit.** The expected benefit to an individual, mission, activity, and/or CAP if the action is accepted.

7. **Accepting, Revising, or Declining Recommended Actions**

7.1. **Accept.** An action is accepted as is by the office of primary responsibility after it is reviewed and scheduled for implementation

7.2. **Revise.** An action may be revised by the office of primary responsibility. A justification is required when revising actions and are considered “accepted” once revised.

7.3. **Decline.** An action may be declined with justification provided by the responsible commander or officer of primary responsibility. All declined actions are subject to secondary review by a next level commander or by CAP/SE.

7.4. **Return.** An action may be returned to the review officer as a request for additional supporting information or justification for recommended action.

8. **Action Validation**

8.1. **Implementation.** Validation is considered complete at implementation of the accepted action(s). Planned implementation dates should be no more than 60 days following completion of the beginning of the Review and Analysis phase.