



Civil Air Patrol Safety

Reviewing a Safety Significant Occurrence Basic Steps



This presentation will take you through the basics of reviewing a safety significant occurrence (or SSO) and entering information into CAPSIS.

The review process provides the means of determining what factors contributed to the outcome and what actions would eliminate a recurrence or reduce the likelihood and/or severity of a negative safety outcome

Remember...The review process must focus on determining the contributing factors that led to a safety significant occurrence and not on who is at fault. Assigning blame is counter to an ideal safety culture and leads to loss of participation in safety processes and activities.

This presentation follows the CAPSIS Safety Reviewing Guide.



Objective



Familiarize you with the steps of the review process



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The objective for this learning segment is to familiarize you with the basic steps of the review process

Let's start with some important information about reviewing an SSO and the role of review officers.



Reviewing an SSO is not a formal investigation. The review is accomplished by volunteer members to the best of their ability and is intended solely for the internal use of the Civil Air Patrol for process improvement and prevention. Any opinions or summaries offered by the review officer(s) are for those purposes only and are not intended to be factual evidence in any civil or criminal proceeding, potential CAP disciplinary action, or in the determination of liability.



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Remember that...

Reviewing an SSO is ***not*** a formal investigation. The review is accomplished by volunteer members to the best of their ability and is intended solely for the internal use of the Civil Air Patrol for process improvement and prevention. Any opinions or summaries offered by the review officer(s) are for those purposes only and are not intended to be factual evidence in any civil or criminal proceeding, potential CAP disciplinary action, or in the determination of liability.

Review Officers

Review officers fulfill an important role in our Safety Management System by determining what happened, what the contributing factors were, and what may have caused a safety significant occurrence. The safety review process is intended to help CAP and our members learn from those factors to maintain the best possible state of readiness, reliability, and credibility. Your commitment of time and talent in this important work is appreciated. The following resources will help guide you through the review process. Please reach out to your wing or region safety officer if you need assistance. Thank you for supporting CAP's Safety Management System. and your fellow members.



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Review officers fulfill an important role in our SMS by determining what happened, what the contributing factors were, and what may have caused an SSO. Assigned review officers will receive notification that they have been assigned to a review an SSO. Once logged into eServices and entering the CAPSIS home page, the assigned review officer will see only the SSO or SSOs assigned to them. Review officers must complete the Review Officers training before being assigned.

Next, let's cover the steps of the review process and look at how those steps are completed in CAPSIS.

Safety Reviewing Phases

1

Step 1. Collect information

- Ensure reported info is complete and accurate
- Statements, interviews
- Records, documents
- Photos
- Non-member contact information

Initial Report is Accurate



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Step 1 is...Collect information. Information about an SSO is an essential part of the safety review process. It provides the necessary elements for determining what happened, what contributed, and what caused an SSO. Ensure that the reported info is complete and accurate and adjust as needed. Once the report is as accurate as possible, select the “Initial Report is Accurate” button at the bottom of the window. Doing so changes the status of the report from “Initial Reporting” to “Review and Analysis”. You will still be able to update information in the report if necessary.

The collecting information step involved gathering what you need to conduct the review. Sources of information to collect include, but are not limited to, statements and interviews, records and other documents, and photographs and diagrams.

Safety Reviewing Steps

1

Step 1. Collect information

- Statements, interviews
- Records, documents
- Photos
- Non-member contact information

2

Step 2. Construct the event chain

- Outcome
- Series of events that led to the outcome



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Step 2 is...Construct the event chain. This step answers the question, “What happened?” The event chain starts with the outcome and is then preceded by a series of observable events that led up to it. Each event should be described briefly as a series of snapshots.

Safety Reviewing Steps

1

Step 1. Collect information

- Statements, interviews
- Records, documents
- Photos
- Non-member contact information

2

Step 2. Construct the event chain

- Outcome
- Series of events that led to the outcome

3

Determine contributing and causal factors

- Non-human and human factors
- Cause categories and factors



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Step 3 is...Determine the contributing and causal factors. Contributing factors fall into two categories – human and non-human – and are described in Section 5.0 of the CAPSIS Safety Reviewing guide. Causal factors describe the underlying issues that led to the SSO. Causal factors are described in Section 6.0 of the CAPSIS Safety Reviewing guide. A link to this guide can be found in the course materials.



Finalizing the Initial Report

Wkh#ffrxq# #kch#VVR #/#
euh#dqg#frqdlv#r#u#shu#
qdp hv#u#hgw# l#j#
l#rup d#r#g

Wkh#d#h#dqg#r#f#d#r#q# #kch#
VVR #h#ff#x#u#h

Wkh#ggly#pxd# #h#r#g#h# #
z l#h#v#w#g#kch#VVR #h#h#h#g#
d#g#k#d# #r#q#d#f#u#h# #h#
FDS#p #p #u# #k#r# #h#
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VVR #h#h#h#h#g#h#g#h#kch#
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F#k#h#f#r# #h#h# #ggly#pxd# #
k#d#h# #u#y#h#g# #d#p #h#w

Yh#h#l# #k#d# #h#v#w# #g# #g# #
l#r#p #d#r#g #h#v# #s#d#f#d#e#h#
h#g#h#g# #g# #f# #x#u#h

H#q#v#h# #k#d# #z l#h#v#w# #h#
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#k#h#v# # #ggly#pxd#

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g#r#x#p #h#w# #h#v# #s#d#f#d#e#h




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In making sure the initial report is complete and accurate, keep the following in mind as you review the information that was input by the reporting member:

1. The account of the SSO is brief and contains no proper names or identifying information
2. The date and location of the SSO are accurate
3. The individuals involved or witnessed the SSO are listed, and that contact for any non-CAP members who were involved or who witnessed the SSO is referenced in the "Attachments" tab.
4. Check to see if individuals have provided statements
5. Verify that illness and injury information, as applicable are entered and accurate
6. Ensure that witnesses are accurately labeled as such in the list of individuals
7. Verify the mission and/or activity information is accurate and that any "Other" selections are appropriate
8. Verify the resources involved is complete, if applicable, and that any damage accurately described
9. Ensure persons involved are listed in the resource fields and their role(s) are

accurately depicted

10. Review the attachment tabs for photographs or other documents, as applicable



Collecting information

General Activity Individuals Resources **Attachments**

Attachments

Select Files (3MB max file size each)
Or drag files into dashed area.

Search:

File Name	Description	Date Submitted	Uploaded By
No data available in table			



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All information collected during the review process can be attached as a document or photo in the Attachments tab. When collecting information, review officers can reference or attach information they need to construct the event chain and/or determine the contributing and causal factors.



Statements and Interviews

Individuals involved in SSO

-Injured -Illness -Witness -Follow Up -Witness Statement

Name and CAPID	Remove?
Jane.Doe (N/A)	
John.Doe (N/A)	



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Individuals who are CAP members listed in the “Individuals involved in SSO field” will receive email notification with a link to provide a statement about their experience or observations. In the above example, Jane and John Doe are non-members (as indicated by the N/A where the CAPID would be for members). Jane Doe was a witness to the SSO, and John Doe sustained an injury. Once the individual provides a statement, the “Witness Statement” symbol will appear next to their name. If the individual is a non-CAP member and is willing to be interviewed, or if you need more information from a CAP member involved, you may place interview notes in the “Attachments” tab, discussed earlier.

Event Chain

Outcome: Member sustained a concussion after fainting.

Add an event

Event Name



Event	Event Description	
1	Member fainted	
2	Member standing	
3	Member arrived on site	
4	Member ate large meal	



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Once you've initially collected the information you need, you can begin constructing the event chain. You can begin doing so at any time throughout the review process and the sequence and number of events can be revised or adjusted at any time if you discover new information. This process provides others who look at the SSO information with a picture of the things you considered relevant and led you to identifying contributing and causal factors. Ideally, the event chain goes far enough back in time to note the first event that most likely led to the outcome. In this example, the outcome is "member sustained a concussion" – even though "fainting" was noted in the outcome, it can be listed as an event that preceded the outcome. Subsequent events are noted in preceding order.

Event descriptions must be kept short and factual. This list also doesn't need to be a play-by-play of everything that happened to the person or persons prior to the outcome. Just include the relevant events that may be important or could have impacted the outcome. Once finished with entering information on the event chain, you may select the "Close" button at the bottom right of the screen to return you to the main SSO screen. Remember, you can always adjust them if you need to later.



Contributing and Causal Factors

! Causal Factors

CONTRIBUTING AND CAUSAL FACTORS	
Occurrence: FY22-68	Outcome: Member sustained a concussion after fainting.
Contributing Group	
<input type="text" value="--Select One--"/>	


Contributing Factor Group	Contributing Factor	Causal Factors	Justification
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When you're ready to identify contributing and causal factors, the "Causal Factors" at the bottom of the window on the main screen for the SSO will take you to the "Contributing and Causal Factors" screen. The system will then lead you through selecting the contributing factor group, contributing factor, causal factor, and providing a justification for what you selected.




Contributing Group Physiological State	Contributing Group Question Did a non-optimal physiological condition contribute to actions or behaviors that led to damage or injury/illness?
Contributing Factor Nutrition/Diet/Hydration	Contributing Factor Question Fatigue - Did diminished physical/mental capability resulting from chronic or acute periods of prolonged wakefulness, sleep deprivation, jet lag, shift work or poor sleep habits interfere with performance? Nutrition/Diet/Hydration - Did an individual's nutritional, hydration state, or dietary practices result in degraded performance? Physical Strength and Coordination - Was the relative physical strength and/or coordination of the individual not adequate to support task demands? Substance Effects - Did an individual use legal or illegal drugs, supplements, energy drinks or any other substance with measurable effect that interfered with performance?
Causal Factors Communication content or clarity inadequate X Communication frequency inadequate X	Justification Communications regarding heat/humidity conditions and adequate hydration did not reach member

Add Factors



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Selecting the contributing group is the first step in identifying contributing and causal factors. The descriptions of the groups can be found in the Safety Reviewing Guide and can be accessed here in AXIS in this lesson module, on the CAPSafety website at gocivilairpatrol.com, or from the CAPSIS menu in eServices. Once a group is selected, the describing questions appears for the group and for the factors that are contained within that group. You may now select a contributing factor from the “contributing factor” drop-down. Next, select a causal factor from the “Causal Factors” drop down. Note that you may select more than one if necessary. Lastly, provide a brief justification for your selection. You can then press the “Add Factors” button which will begin the list of factors associated with the SSO. You can then add more factors as needed to cover all factors that led to the SSO.



Contributing Factor Group	Contributing Factor	Causal Factors	Justification
Physiological State	Nutrition/Diet/Hydration	Communication distribution inadequate	Communications regarding heat/humidity conditions and adequate hydration did not reach member
Physical Environment	Heat/Cold Stress	Communication frequency inadequate	Communications regarding heat/humidity and the need for adequate hydration were not repeated frequently enough



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The populated factors list shown here can be viewed at the bottom of the Contributing and Causal Factors screen. This one is based on the earlier example of a member sustaining a concussion after fainting. Completion of the reviewing process leads to improved connections between contributing and causal factors and associated mitigating actions, which we cover in the next segment.



Thank you!



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This concludes the presentation portion of the Basic Steps segment of the Reviewing a Safety Significant Occurrence course. Before taking the knowledge check quiz, you will need to open the CAPSIS Safety reviewing Guide which linked in the next element of the course. Keep this guide open as you take the knowledge check quiz. You may now close this presentation.