

SUPERVISION

“Direct Supervisory Chain of Command”

SUPERVISION: Supervision is a factor in a mishap if the methods, decisions or policies of the supervisory chain of command directly affect practices, conditions or actions of the individual(s).

SUPERVISORY VIOLATIONS (SV000): are factors when supervisors willfully disregard instructions or policies.

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

SV001 Failure to Enforce Existing Rules (supervisory act of omission): is a factor when unit (organizational) and operating rules have not been enforced by a supervisor.

SV002 Allowing Unwritten Policies to Become Standard: is a factor when unwritten or “unofficial” policy is perceived and followed by the individual, although it has not been formally recognized by the organization.

SV003 Directed Individual to Violate Existing Regulations: is a factor when a supervisor directs a subordinate to violate existing regulations, instructions or technical guidance.

SV004 Authorized Unqualified Individuals for Task: is a factor when an individual has not met the general training requirements for the job/weapon system and is considered non-current but supervision/leadership inappropriately allows the individual to perform the task for which the individual is non-current.

PLANNED INAPPROPRIATE OPERATIONS (SP000): are factors when supervision fails to adequately plan or assess the hazards associated with an operation and allows for unnecessary risk.

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

SP001 Directed Task Beyond Personnel Capabilities: is a factor when supervisor/management directs personnel to undertake a task beyond their skill level or beyond the capabilities of their equipment.

SP002 Inappropriate Team Composition: is a factor when the makeup of the crew/team should have reasonably raised safety concerns in the minds of members involved in the task, or in any other individual directly related to the scheduling of this task.

SP003 Selected Individual with Lack of Current or Limited Experience: is a factor when the supervisor selects an individual whose experience is not sufficiently current or proficient to permit safe task execution.

SP006 Performed Inadequate Risk Assessment – Formal: is a factor when supervision does not adequately evaluate the risks associated with a task or when pre-mission risk assessment tools/programs are inadequate.

SP007 Authorized Unnecessary Hazard: is a factor when supervision authorizes an activity or task that is unnecessarily hazardous without sufficient cause or need.

INADEQUATE SUPERVISION (SI000): are factors when supervision proves inappropriate or improper and/or fails to identify hazards; recognize and control risk; provide guidance, training and/or oversight.

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

SI001 Supervisory/Command Oversight Inadequate: is a factor when the availability, competency, quality or timeliness of leadership, supervision or oversight does not meet task demands. Inappropriate supervisory pressures are also captured under this code.

SI002 Improper Role-Modeling: is a factor when the individual’s learning is influenced by the behavior of supervisors and when that learning manifests itself in actions that are either inappropriate to the individual’s skill level or violate standard procedures.

SI003 Failed to Provide Proper Training: is a factor when one-time or recurrent training programs, upgrade programs, transition programs or any other local training is inadequate or unavailable, etc. (Note: the failure of an individual to absorb the training material in an adequate training program does not indicate a training program problem.)

SI004 Failed to Provide Appropriate Policy/Guidance: is a factor when policy/guidance or lack of a policy/guidance leads to an unsafe situation.

SI005 Personality Conflict with Supervisor: is a factor when a supervisor and individual member experience a "personality conflict" that leads to a dangerous error in judgment/action.

SI006 Lack of Supervisory Responses to Critical Information: is a factor when information critical to a potential safety issue was provided but supervisory/management personnel failed to act upon it (failure to close the loop).

SI007 Failed to Identify/Correct Risky or Unsafe Practices: is a factor when a supervisor fails to identify or correct risky behaviors or unsafe tendencies and/or fails to institute remedial actions. This includes hazardous practices, conditions or guidance.

SI008 Selected Individual with Lack of Proficiency: is a factor when a supervisor selects an individual that is not proficient in a task, mission or event.