Naval Safety Center
Knowledge Management
Risk Management Information (RMI) – Quality Control (QC)
Standard Operating Procedures (RMI-QC SOP)

SIGNATURE PAGE

This SOP was reviewed by the Director, Knowledge Management and Safety Promotions (KMSP) Directorate.

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Director, KMSP Directorate, Naval Safety Center _____ Date

CHANGE RECORD

VERSION/ REVISION NUMBER	DATE	ACTION CODE**	DESCRIPTION OF CHANGE	CHANGE REQUEST NUMBER*	CHANGED BY

**Action Codes: A - Add, C - Change, D – Delete

*Enter NR in the Change Request Number column for all draft documents.

Please submit any comments or updates to Mr. David Mundy, 757-444-3520 ext. 7182 or david.t.mundy@navy.mil.

Reference:

(a) DoDINST6055.07 Change 1 (31 Aug 2018) – Department of Defense (DoD) Safety and Occupational Health Program
(b) OPNAVINST5100.23H (5 Jun 2020) – Navy Safety and Occupational Health Program Manual
(c) OPNAVINST5100.19F – Navy Safety and Occupational Health Program Manual for Forces Afloat
(d) OPNAVINST5102.1D Change 2 (5 May 2019) – Navy and Marine Corps Mishap and Safety Investigation, Reporting, and Record Keeping Manual
(e) OPNAVINST3750.6S (13 May 2014) / MCO P5102.1B Change 2 (13 Apr 2015) – Naval Safety Management System
(f) ALSAFE 20-021 – Risk Management Information (RMI) Roles and Responsibilities
(g) ALSAFE 20-013 – Risk Management Information (RMI) Training Materials
(h) ALSAFE 20-009 – Risk Management Information (RMI) / Streamlined Incident Reporting (SIR) Accounts Management

Appendix:

(A) RMI QC Guide – Aviation - USN
(B) RMI QC Guide – Ashore - USN
(C) RMI QC Guide – Afloat - USN
(D) RMI QC Guide – Expeditionary, Dive, and Jump - USN

1. OVERVIEW. The Naval Safety Center (NSC), a data and analytical center of excellence, provides data and analysis on safety and safety-related events that occur in the U.S. Navy (USN) and U.S. Marine Corps (USMC).

2. BACKGROUND. On 28 Aug 2020, the Risk Management Information (RMI) / Streamlined Incident Reporting (SIR) system (the first of four components) came on-line and replaced the legacy Web-Enabled Safety System (WESS). In development for over the past decade with the impetus to improve mission readiness and safety awareness through the capture of safety-related data to be used in management, analysis and dissemination to leadership and Sailors in the U.S. Navy and U.S. Marine Corps, RMI is the single authoritative program of record for safety analysis and management. RMI will synthesize incident-reporting data into useful products for improving risk and safety conditions by consolidating existing legacy and core safety programs, risk management systems, applications, and data.

RMI consists of four capability areas or pillars:

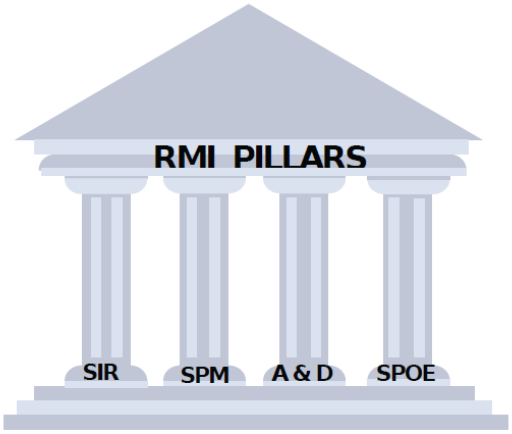

Figure 1 – RMI Pillars

Streamlined Incident Reporting (SIR) – will provide enterprise enhancements to include streamlined reporting processes, improved unit reporting access and capabilities, and enterprise and unit-level tracking and verification of reportable medical injuries.

Safety Program Management (SPM) – will provide users with capabilities needed for planning, preparing, and executing safety and occupational health programs. Specific capabilities include confined space entry, deficiency abatement, fall protection, inspections, job hazard analysis, medical surveillance, respiratory protection, safety committee, self-assessment, and training.

Analysis and Dissemination (A&D) – will provide advanced analysis and analytical capability for SIR and SPM data to enable trend analysis and proactive decision making related to mishap and injury avoidance in compliance with the Department of Defense (DoD) Safety and Occupational Health standards and policy.

Single Point of Entry (SPOE) – will provide a single point of entry available to Sailors, Marines, and safety professionals to reduce the inconsistencies introduced by dissimilar legacy systems and organizations.

RMI SIR is a web-based application customized for USN/USMC use from the proven Air Force Safety Automated System (AFSAS).

RMI will provide an enterprise-wide, single, integrated IT architecture based on industry and government best practices. Specifically, it consolidates several existing safety reporting systems making it easier to report mishaps and provide authoritative data to improve safety. In turn, it will enhance readiness by giving leadership, Sailors, and Marines relevant and timely information, allowing them to make informed decisions. Lastly, it will turn data into actionable information, enabling all personnel to understand the hazards and risks associated with their operation and processes.

3. **PROCESS.** Every USN and USMC command/unit will have the capability and are required to submit mishap reports using RMI. A quality control (QC) process is in place to ensure data

inputted into RMI is correct. This process mimics the quality assurance (QA) role that existed with the legacy WESS.

a. Quality Control oversight is performed at the Naval Safety Center (NSC) by Codes 10/20/30/40/50 and 90.

(1) Aviation Mishap Reports. All aviation mishap reports (USN and USMC) (Class A, B, C, D, E) are processed by Code 10 (Aviation) - trained personnel. Code 516, Aviation KM branch, assists as required.

(a) All QC personnel reviewing aviation mishap reports will use Appendix A – RMI QC Guide – Aviation, as their checklist and guide.

(2) Ashore Mishap Reports. All ashore mishap reports (Class A, B, C, D, E) are processed by Code 517, Ashore KM branch with Code 20 (Ashore) assisting as required.

(a) All QC personnel reviewing ashore mishap reports will use Appendix B – RMI QC Guide – Ashore USN as their checklist and guide.

(b) Ashore KM will review all Navy Private Motor Vehicle (POV) and Recreation off-duty reports (RODs).

(3) Afloat Mishap Reports. All afloat mishap reports (Class A, B, C, D, E) are processed by Code 518, Afloat KM branch with Code 30 (Afloat) assisting as required.

(a) All QC personnel reviewing afloat mishap reports will use Appendix C – RMI QC Guide – Afloat as their checklist and guide.

(4) Expeditionary, Dive, Jump Mishap Reports. All expeditionary, dive and jump mishap reports (Class A, B, C, D, E) are first processed by Code 40 (Expeditionary), with assistance provided by Code 519, Expeditionary KM branch.

(a) All QC personnel reviewing expeditionary, dive, jump mishap reports will use Appendix D – RMI QC Guide – Expeditionary, as their checklist and guide.

(5) U.S. Marine Corps Reports (Other than Aviation). All Marine Corps reports not associated with aviation units (Class A,B,C,D,E) are first processed by Code 90-Division 91 (Mishap Investigations USMC)

Mishap Class	Total Property Damage	Fatality
A	$2,500,000 or more and/or aircraft destroyed	Fatality or permanent total disability
B	$600,000 or more but less than $2,500,000	Permanent partial disability or three or more persons hospitalized as inpatients
C	$60,000 or more but less than $600,000	Non-fatal injury resulting in loss of time from work beyond day/shift when injury occurred
D	$25,000 or more but less than $600,000	Recordable injury or illness not otherwise classified as Class A, B, C
E	Any dollar amount less than $25,000	Event that results in first-aid
Incident	Used to capture events that are exempt from the provisions of DoDi 6055.07 (Table 8)	

Figure 1.

b. Weekly QC progress reports will be provided by Code 511A.

c. Each Code will attempt to keep number of QC reports in their queue to less than 50 at any one time.

d. All QC personnel shall utilize the RMI QC guide of their respective branch for guidance in the approval or rejection of messages. QC personnel shall review the entire report in each section in RMI and refrain from correcting minor errors or changing anything in the original message. Due to the intricacies of RMI QC, personnel shall note errors throughout the report and, using the 'Three steps to every rejection criteria" in Sub Section 2: Standard Rejection Criteria & Message, provide clear and concise feedback to convey to the originator what needs to be corrected. Essential feedback ensures that the mishap report correctly portrays the incident as it happened, and valuable information is captured for analytical purposes.

e. QC personnel should capture lessons learned and forward them to Code 511A, RMI QC deputy lead.

f. Each code will have at least one representative present at the RMI QC cross-functional team (CFT), held at a minimum monthly or more frequently as required.

g. All QC personnel will receive RMI QC indoctrination training and participate in follow-on training when scheduled in addition to participating in the RMI QC CFT.

4. **DUTIES AND RESPONSIBILITIES.**

a. Code 51. Overall, lead for RMI QC for the Naval Safety Center. Specifically:

(1) Coordinate all QC efforts at NSC. Ensure delegation of duties is well understood amongst all codes and conflicted.

(2) Standup the RMI QC cross-functional team (CFT), which consists of representation from all codes at NSC. Conduct meetings on a bi-monthly basis or as needed. Provide an agenda, create minutes for the meeting, and inform RMI Policy CFT and leadership of outcomes, issues, and recommendations for improvement.

(3) Represent Code 50 for all RMI QC matters to include participating in the RMI Strategic Policy cross-functional team (CFT).

(4) Develop relationships with outside entities and provide lessons learned and assistance with the use of RMI to the end-user.

b. Code 511A. Deputy lead for RMI QC. Assist as needed. Specifically:

(1) Manage the RMI QC efforts at the NSC.

(2) Monitor and provide QC reports weekly to Code 51 and QC Supervisors.

(3) Lead the RMI QC CFT for NSC. Provide the agenda, lead discussions, and capture minutes in meetings. Provide debrief of each meeting to Code 51 for the RMI Strategic Policy CFT.

(4) Organize and track RMI-related complications or concerns and provide input to the Strategic Policy CFT, as required.

(5) Provide feedback to the RMI Requirements Manager on change recommendations.

(6) Work in partnership with cross-functional teams and QC personnel to evaluate, select, qualify, and onboard new Safety Mishap Instructions, regulations, SOPs, training materials, and best business practices.

(7) Collaborate with NSC QC personnel to ensure Quality Control mishap reporting tactics, techniques, procedures, processes, and best practices are operating sufficiently to maximize operational efficiency in safety environment of continuous improvement.

(8) Keep current on all departmental procedure changes and be instrumental in developing and communicating new procedures as required.

(9) Assist NSC QC personnel in maintaining compliance with all applicable safety, health, and environmental regulations.

(10) Act as a change agent to instill continuous QC process improvement culture throughout the NSC.

(11) Support cross-functional onboarding and development opportunities to strengthen the RMI QC personnel.

(12) Review, evaluate, and analyze the effectiveness of the RMI QC processes.

(13) Assist with structured corrective action planning to identify system breakdowns to correct and prevent reoccurring problems while minimizing business impact.

(14) Make recommendations on specific opportunities or areas to improve overall quality based on findings.

(15) Proactively identifies trends based on quality evaluations and provide leadership with regular performance feedback.

(16) Responsible for promoting Mishap Safety Reporting best practices and facilitating the pursuit to maximize data accuracy of inputs by Safety Representatives into RMI Mishap Safety Report(s).

(17) Seek, identify, and suggest solutions to fill potential gaps in RMI QC Mishap Reporting tactics, techniques, procedures, processes, and best practices across the scope of sources available to NSC QC personnel, clients, and user communities in the Fleet.

(18) Interact with customers ensuring that customer needs are understood and recognized to help resolve complaints.

(19) Work with all NSC QC personnel to ensure the continuity of timely completions for RMI mishap reports in the queue for Preliminary or Final QC review.

(20) Assist with training of NAVSAFECEN QC employees on RMI-SIR QC tactics, techniques, procedures, SOPs, USN, DoD Instructions, and US Gov. Regulations.

(21) In charge of the RMI QC Training Program to ensure all QC, personnel is trained initially with training documented. Responsible for ensuring training occurs regularly as deemed necessary.

(22) Maintain and provide weekly QC dashboard/status to QC personnel. Actively monitor progress and provide assistance as needed.

c. Code 10. Designated as the lead for Aviation QC efforts.

(1) Coordinate all aviation-related Navy and USMC QC efforts inside Code 10 and with assistance from Code 516 and Code 90/91.

d. Code 50/517. Designated as the lead for Navy Ashore QC efforts.

(1) Coordinate all Shore/Ground, Recreational Off duty (ROD), Motor Vehicle (MV)-related QC efforts inside of 50/517 with assistance from Code 20.

e. Code 50/518. Designated as the lead for Afloat QC efforts.

(1) Coordinate all Afloat-related QC efforts inside of Code 50/518 with assistance from Code 30.

f. Code 40. Designated as the lead for Expeditionary, Dive/Jump QC efforts.

(1) Coordinate all Expeditionary Warfare, Dive, and Jump-related QC efforts inside of Code 40 and with assistance from Code 519.

g. Code 90/91. Designated as the lead for US Marine Corps Ashore efforts

(1) Coordinate all USMC Shore/Ground, Recreational Off duty (ROD), Motor Vehicle (MV)-related QC efforts inside of 90/91.

5. <u>TRAINING</u>. Training is essential to the development of the RMI QC team both initially and reoccurring.

a. RMI QC indoctrination training. Initial training required of all new QC personnel.

(1) RMI QC Deputy Lead will conduct initial training.

a. Initial training will include at a minimum:
b. Overview of NSC QC
c. Distribution of RMI QC SOP
d. Familiarization and distribution of References A-H
e. Roles and responsibilities of QC personnel
f. Introduction to and overview of RMI SIM and RMI Live

b. Formal Training held with 511A to include access and introduction to RMI SIM-recommended two days. Practice in the RMI SIM combined with on-the-job training (OJT) with a trained and qualified QC within the respective divisions-recommended two weeks.

c. Quarterly training held as part of the RMI QC CFT, with the emphasis to standardize QC among the command and to share lessons learned with all personnel.

6. RMI QUALITY CONTROL (QC) CROSS-FUNCTIONAL TEAM (CFT). Each directorate is required to have at least one QC representative of the CFT and attend all meetings. This CFT will:

a. Standardize QC

b. Share lessons learned/best practices

c. Identify QC problems affecting QC personnel

d. Identify RMI SIR matters that affect the external customer

e. Conduct training as required to ensure QC standardization

7. REVIEW. This SOP and all enclosures will be reviewed annually for updates and changes.