



UNITED STATES MARINE CORPS
MARINE CORPS INSTALLATIONS WEST
BOX 555200
CAMP PENDLETON, CA 92055-5200

5100
SAFETY
29 NOV 2010

COMMANDING GENERAL'S POLICY LETTER 14-10

From: Commanding General
To: Distribution List

Subj: HUMAN FACTORS COUNCIL AND HUMAN FACTORS BOARD POLICY AND PROCEDURES

Encl: (1) Human Factors Assessment Guidelines
(2) Human Factors Council Meeting Worksheet
(3) Human Factors Board Worksheet
(4) Human Factors Board Assignment Letter
(5) Human Factors Review and Interventions

1. Situation. Human factors continue to be a leading causal and or contributing factor of suicides and mishaps. All too frequently, at least some portion of the tragedy or mishap, human factors issues were known by various supervisors and peers, but only as isolated pieces of the whole picture. Unfortunately, the pieces are typically not assembled until after a tragedy or mishap. Specifically there is one basic human trait that often contributes to a suicide or mishap:

a. Personnel are often under serious stress from personal or professional factors problems that are not apparent to the unit's decision makers. This stress may lead to fatigue, distraction and degraded performance, including instances of poor judgment, excessive risk-taking.

b. Definition. For purposes of this instruction, "human factors" is that set of personal and professional circumstances which may interfere with an individual's ability to make the best decisions whether voluntarily or involuntarily.

(1) These factors may include:

- (a) Low proficiency or stressors related to a medical condition
- (b) Psychological or social adjustment, or professional problems

(2) Examples of job-related stressors include:

- (a) Poor Fitness Report or evaluation
- (b) Failure to promote
- (c) Behind in qualification progress
- (d) Assignment to a new position and other career situations or uncertainties

(3) Examples of unusual life stress include:

- (a) Death or severe illness of a family member or friend
- (b) Divorce or failed personal or family relationship

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(c) Newborn child and financial difficulties

2. Mission. To establish policy and procedures for standardizing the conduct of Human Factors Councils (HFCs) and Human Factors Boards (HFBs) within Marine Corps Installations West (MCIWEST) commands. This Policy provides a formal mechanism for human factors inputs to the unit Commanding Officer (CO), who can then use this information for risk assessment and subsequent decisions regarding safety and well being of our Marines. All Marines in the command below the grade of Major (i.e. Captain and below) are to be included under this instruction.

3. Execution

a. Commander's Intent and Concept of Operations

(1) Commander's Intent. Throughout the years the Marine Corps has always distinguished ourselves from others by the way we take care of our own. In recent times Human Factors are the leading cause of both on and off duty mishaps. In order to mitigate Human Factors, MCIWEST is implementing the following policies and procedures for conducting human Factor Councils and Boards in order to provide the ground work for an eyes on personal approach to Force Preservation. As Marines we must continue to be proactive in identifying and preventing further mishaps. Through the Safety Councils, Commanders will have tools to identify personal and family issues, fatigue and other stressors that could effect readiness for the Marine and the Command. Once these issues are identified, corrective action must be taken and the appropriate reinforcement must take place to insure the success of each Marine and their family. In the end, it is about taking care of our Marines and accomplishing the mission.

(2) Concept of Operations. This Policy prescribes the process for identifying and correcting human factors deficiencies and inadequate skill development. HFC/HFBs are intended as tools for commanders which will better enable them to make informed decisions concerning the influence of human factors relative to the mission and safety of our Marines. It is recommended that assessments made during the course of HFC/HFBs be accomplished within the framework of a risk management process, which follows the principles of Operational Risk Management (ORM). Prudent and timely use of these tools should not only prevent potential suicides and mishaps, but may help to prevent a Marine from failing in other areas as well.

(a) HFC. All commands shall convene, at a minimum, quarterly HFCs. The HFC shall normally be chaired by the CO, utilizing enclosures (1), (2), and (5), as guidelines. Recommended the composition include the CO, medical representative, Officer-in-Charge or section head, senior enlisted advisor and chaplain. The council shall review the personal and professional characteristics of all Marines. No unrelated business shall be discussed at this meeting.

(b) HFB. Utilizing enclosure (4), COs shall convene a HFB whenever the Marine lacks ability to safely perform his/her duties or is in question. HFBs are focused reviews of all known factors potentially affecting the ability of an individual to perform their responsibilities in a safe and efficient manner. The HFB shall provide an individual plan of action tailored to mitigate identified problems and successfully reintegrate the Marine back to full performance of assigned duties. Normal board composition includes the Commanding and/or Executive Officer (Chairman), medical representative, Chaplain and another experienced officer. In the

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event an enlisted Marine is the subject of the HFB, a senior enlisted advisor shall be a member. Members from outside the command may be used, if deemed appropriate. Examples of situations for which an HFB is appropriate include:

1. A one-time or sustained deficiency in performance, not serious enough to warrant nonjudicial punishment.

2. Failure to achieve expected milestones established by the command towards achievement of a required qualification or skill.

3. A preponderance of life stressors (death of close family member or friend, divorce, severe financial problems, etc.) or unknown personal stress that may be affect performance.

4. Medical problems (i.e., poor physical fitness or obesity etc.).

b. Subordinate Element Missions

(1) Commanding Officers shall:

(a) Convene HFCs quarterly (recommend monthly) and HFBs when deemed appropriate, per this Policy. Use enclosures (1) through (5) as appropriate.

(b) Retain completed enclosures (2) and (3) until the subject Marine or the CO transfers or they are deemed no longer useful. This information shall be treated as "For Official Use Only" and carefully protected against inappropriate disclosure.

(2) HFC. The HFC is a non-punitive forum. Enclosures (2) and (5) are recommended guidelines to be used to evaluate current level of training, qualification progress, and job performance. If the HFC and/or the CO determines that an individual requires an HFB, a summary of performance deficiencies shall be prepared for forwarding to the HFB Chairman. Any relevant observations, concerns and recommendations should be included.

(3) HFB. The HFB is a non-punitive forum. The HFB objective is to focus on specific deficiencies, and recommend an appropriate course of corrective action. The HFB shall:

(a) Notify the individual that an HFB will be convened and identify specific problem areas to be considered.

(b) Conduct a thorough review utilizing enclosures (3) and (5).

(c) Document performance deficiencies and recommend to the CO an appropriate course of action.

(4) Reviewed Individuals. Individuals will not normally appear before an HFC, but may do so at the council's or the individual's request if questions or circumstances warrant. If desired, the individual may make written comments to be retained with the review form. Presence of the Marine under review is required for an HFB.

(5) Conclusion. Detailed examination of sensitive personal or professional matters in a large group is neither intended nor appropriate.

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When such matters arise, the CO may defer detailed discussion to a more appropriate forum. The HFC is intended to be a preventative first step used to isolate and correct individual's areas of concern. The HFB should provide a detailed evaluation and specific corrective actions to the CO.

4. Administration and Logistics. Directives issued by this command are published and distributed electronically via the MCIWEST web page at: <https://intranet.mciwest.usmc.mil/manpower/Adjutant/MCIWO/default.aspx>

5. Command and Signal

a. Command. This Policy Letter is applicable to all commands, organizations, units and activities under the cognizance of MCIWEST.

b. Signal. This Policy Letter is effective the date signed.


ANTHONY L. JACKSON

DISTRIBUTION: A-1/A-2

HUMAN FACTORS ASSESSMENT GUIDELINES

1. Purpose. This enclosure outlines suggested methods for conducting assessments of Marines risk factors during the course of conducting an HFC or HFB meeting. Information presented here is intended to be flexible and adaptive to meeting the unique requirements of a particular command, the individual, or a situation. All of the suggested assessment methods and intervention options identified are subject to a specific command's individual interpretation and application of techniques as deemed appropriate by the CO and command leadership. The guidelines discussed herein are in no way intended to supersede, replace, or dictate how any commander should use his/her preferred practices and best judgment in handling individuals within their unit who may pose a risk to safe and effective performance of the command's mission.

2. Background. In analyzing past history debriefs, a pattern majority have indicated that our suicides and mishaps are a consequence of "human factors." We now have in place, through standardized procedures for ORM, and command leadership, the means to monitor and assess performance of Marines and make appropriate decisions to reduce risk associated with their performance and human factors. The use of HFCs and boards is an additional intervention against a possible suicide and mishaps. Proper use of HFC/HFBs will assist the command in reducing suicide and mishap risk by providing a process that focuses on identifying and managing Marines who pose an unacceptable risk.

a. High-risk Marine: A Marine who poses a greater than average risk because of persistent performance efficiencies, situational stress, medical condition, or one who shows a history of poor judgment or a pattern of high-risk taking behavior.

b. High-risk Categories: It is recognized that the determination of which, if any, a command's Marines are at risk is a highly subjective judgment. Enclosure (5) was prepared to help simplify and guide the process of identifying specific areas of risk. This enclosure describes several Marine risk categories, key characteristics of Marines in each risk category, and a convenient list of possible interventions to mitigate risk. Enclosure (5) is intended for use as a background reference, during the course of conducting HFCs and boards, to help identify and manage each of the four categories of Marines at risk. The Marine risk categories, listed in enclosure (5) include:

- (1) Below average new join or transition Marine
- (2) Over-confident senior Marine
- (3) Consistent poor performer
- (4) Over-stressed Marine

3. Assessment Processes

a. Human Factors Council Meeting Worksheet: Enclosure (2) is provided for use during the conduct of the HFC meeting. This worksheet includes a template for assessment of all Marines on key areas of performance, as well as a list of critical indicators related to safety risk. During the conduct of an HFC, the council members should review the performance of all Marines in the unit and identify the presence of any of the critical indicators

listed within enclosure (5). If performance deficiencies or critical indicators are identified, a recommended course of action shall be presented to the unit's CO. It is expected that in most cases no formal actions may result as a consequence of the council's review, and that a broad range of options would be considered in the event of identifying performance deficiencies or critical indicators. Such decision actions may include, but are not limited to, providing additional guidance and training, counseling, etc. In the event the deficiency or indicator is severe, in the judgment of the council, a recommendation for referral to a HFB may be warranted.

b. Human Factors Board Worksheet: Enclosure (3) is provided for use during the conduct of the HFB. This worksheet provides a template for assessing a Marine who has been referred to a board for review. The worksheet includes possible assessment areas, including items related to a Marine's performance, qualification progress, professional attitude, medical concerns. An optional rating scale for assessing a Marine in terms of hazard severity and mishap probability has also been incorporated.

HUMAN FACTORS COUNCIL MEETING WORKSHEET

The HFC shall review personal and professional circumstances, and direct particular attention toward uncovering underlying medical, physiological, social, behavioral and/or psychological factors which could adversely affect a Marine's performance. The HFC is convened only in the interest of safety and shall make no recommendations which are disciplinary in nature. During HFC deliberations, consideration shall be given to current unit Operational Tempo (OPTEMPO), workload, command communications and other factors which may influence a Marine's performance and safety.

DATE: _____

MEMBERS PRESENT

_____	_____
_____	_____
_____	_____
_____	_____

1. Operations: Provide data or documentation as needed.
 - a. OPTEMPO. Is the unit working extended hours or deploying too much or too little?

- b. Individual summaries. Are Marines maintaining proficiency?
- _____

2. Training: Provide data to assess the following:
 - a. Qualifications and professional progress.
- _____

- b. CFT, PFT, Rifle, qualifications/upgrades. Is anyone about to lose qualifications?
- _____

3. All members should discuss the following as related to each individual:
 - a. Skills and Qualifications Progress:
- _____

b. Systems and Procedures Knowledge:

c. Coordination Performance:

d. Professional Discipline: Maturity and Work Habits

e. Risk-taking Behavior:

f. Career Development and Other Job Performance Factors:

4. Critical Indicators

a. Declining performance: Failure to meet required standards or qualifications progress:

b. Known violations or instances of poor discipline:

c. Presence of major life or job stressors:

d. Classified as High-risk Marine as outlined in enclosure (5):

5. Recommended action: The HFC shall make no recommendations which are disciplinary in nature.

HUMAN FACTORS BOARD WORKSHEET

INDIVIDUAL _____ DATE REVIEWED _____

SPECIFIC REASON FOR HFB: _____

1. MARINE PERFORMANCE AND QUALIFICATIONS PROGRESS:

Factors Considered in Assessment:

- General Skills
- Systems Knowledge and Procedures
- Coordination Performance
- Professional Discipline
(Adherence to standards, maturity, and work habits)
- Career Development and Other Job Performance Factors

HAZARD Assessment:

	1	2	3	4	5
	Negligible	Minor	Moderate	Serious	Critical

MISHAP Probability:

	1	2	3	4
	Unlikely	Low	Medium	High

Comments: _____

2. MEDICAL CONCERNS:

Factors considered in assessment:

- Health and Fitness (Medical Input)
- Job-Related Stressors
- Personal-life Stressors

HAZARD Assessment:

	1	2	3	4	5
	Negligible	Minor	Moderate	Serious	Critical

MISHAP Probability:

	1	2	3	4
	Unlikely	Low	Medium	High

Comments: _____

3. Other considerations or concerns:

4. Summary of Findings:

5. Recommendations to Commanding Officer:

HUMAN FACTORS BOARD ASSIGNMENT LETTER

SSIC
Office Code
Date

From: CO, (Unit)

To: Commander Justin (NMN) Case, 000 00 6789/1310 USN

Subj: HUMAN FACTORS BOARD ICO CORPORAL DUSTIN D. WIND, 000 00 4321/1315 USMC

1. You are hereby directed to conduct a Human Factors Board in consideration of Corporal Dustin D. Wind. Composition of the Board will be as follows:

Capt Justin Case, Senior Member
CWO2 Henry T. Smith, (Unit)
LT Michael N. Jones, (Medical)
LT Jo Leader, (Chaplain)

2. Utilizing enclosures (1), (3) and (5), you will conduct a thorough investigation into any human factors which may be affecting this Marine's performance. Specifically, the board shall exhaust every effort to address the following concerns: (specific areas of concern should be listed here).

3. Utilizing enclosure (3), the board shall submit recommendations for corrective action, and forward a report to me no later than due date.

J. J. SKIPPER

Enclosure (4)

HUMAN FACTORS REVIEW AND INTERVENTIONS

MARINE RISK CATEGORY KEY CHARACTERISTICS POSSIBLE INTERVENTIONS

<p>A. BELOW AVERAGE NEW JOIN OR TRANSITION MARINE</p>	<ol style="list-style-type: none"> 1. Behind peers in progression 2. Fails exams 3. Poor knowledge of procedures 4. Lacks skills or mission proficiency 5. Shows poor headwork or judgment 6. Lacks confidence in ability 7. Weak coordination skills 	<ul style="list-style-type: none"> - Give remedial training in weak areas - Move back in training syllabus - Pair with best teacher - Minimize collateral duties - Counsel and document performance trends - Provide candid, but constructive debriefs - Recommend for HFB
<p>B. OVERCONFIDENT SENIOR MARINE</p>	<ol style="list-style-type: none"> 1. Has been out of MOS 2. Has "been there-done that" attitude 3. Relies on experience instead of proficiency 4. Does not adhere to standards 5. Uses rank inappropriately to "bend" the rules 6. Fails to recognize own limits 7. Poor coordination 	<ul style="list-style-type: none"> - CO confront and counsel - Closely monitor progression - Pair with senior Marines - Clarify adherence to standard procedures - Provide additional military instruction - Document progress - Refer to higher authority - Provide additional training review

<p>C. CONSISTENT POOR PERFORMER</p>	<ol style="list-style-type: none"> 1. History of below average performance 2. May be well liked 3. Barely meets, or shows slow qualification progress 4. Easily distracted and task overloaded 5. Frequently suffers loss of situational awareness 6. Does not seem to improve, or come up to peer level 7. Usually behind peers progression 8. Lacks self-confidence 9. Excess dependence on Marines 	<ul style="list-style-type: none"> - Provide candid critique and requirements to improve - Close supervision and performance monitoring - Set achievable standards and performance goals - Provide remedial training and defined time to improve - Pair with experienced and best teachers - Refer to HFB
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<p>D. OVERSTRESSED MARINE</p>	<ol style="list-style-type: none"> 1. Presence of major stressors, such as death of close family member, or friend, recent divorce, failed relationship, serious financial setback, job performance problems, etc 2. Noticeable change in mood or personality 3. Frequent, out of proportion, anger resentment, hostility 4. Distracted, mentally pre-occupied, loss of focus 5. Uncharacteristic breakdown of discipline/intentional violations 6. Excess alcohol use 	<ul style="list-style-type: none"> - Identify and address source of stress - Command counseling - Medical review - Selective duty - Close supervision and monitoring - Temporary restrictions - Reduce job workload and stress - Send to family services or stress management clinic - Refer to HFB
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