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Navy & Marine Corps Mishap and Safety Investigation, Reporting, And Record Keeping Manual

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RECORD OF CHANGES

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Table of Contents

Chapter 1. Introduction and Responsibilities. 1-1
1000 Background. 1-1
1001 Purpose 1-1
1002 Definition of Terms 1-2
1003 Policy. 1-2
1004 Deviations and Variances. 1-2
1005 Responsibilities. 1-2
1006 References. 1-15

Chapter 2. Mishap Classification. 2-1
2000 Information 2-1
2001 Purpose 2-1
2002 Mishap Classifications. 2-1
2003 Applicability.. 2-2
2004 Determining Mishap Costs. 2-3
2005 References. 2-5

Chapter 3. Record Keeping and Reporting 3-1
3000 Information 3-1
3001 Purpose 3-1
3002 Immediate Notification. 3-1
3003 Mishap Records and Logs 3-2
3004 Reportable Mishaps. 3-3
3005 Non-Reportable Mishaps. 3-6
3006 Combat Zone Reporting 3-8
3007 Electronic Reporting. 3-9
3008 Logs of Occupational Illnesses and Injuries 3-13
3009 Annual Summary of Navy and Marine Corps Civilian
Work-Related Injuries and Illness 3-14
3010 For Official Use Only (FOUO). 3-14
3011 Mishap Records Retention Period 3-15
3012 Safety Records Access 3-14
3013 References. 3-16
Figure 3-1 Work-Related Injury and Illness Log. . . .3-19
Figure 3-2 Annual Summary of Work-Related Injuries
And Illness. 3-21

Chapter 4. Hazard Report. 4-1
4000 Information 4-1
4001 Purpose 4-1

4002 Hazard Identification and Assessment. 4-1
4003 Reporting Guidelines. 4-1
4004 Submission Guidelines 4-2
4005 References. 4-3

Chapter 5. Safety Reports 5-1
5000 Information 5-1
5001 Purpose 5-1
5002 Safety Report Formats 5-1
5003 Safety Investigation Reports (SIREP). 5-2
5004 SIREP Extensions and Endorsements 5-4
5005 References. 5-4
Figure 5-1 Mishap Reporting Matrix. 5-7
Figure 5-2 SIREP and Hazard Report (HAZREP) Message .5-10
Figure 5-3 SIREP Extension Request Message. 5-42
Figure 5-4 SIREP Endorsement Message. 5-43
Figure 5-5 SIREP Inventory of Evidence Message. . . .5-45
Figure 5-6 Weapons/Ordnance AIG Listing 5-47
Figure 5-7 Combat Zone Mishap Reporting Message . . .5-48

Chapter 6. Safety Investigation Board (SIB) Requirements. .6-1
6000 Information 6-1
6001 Purpose 6-1
6002 Required Safety Investigation Board (SIB) 6-1
6003 Appointment of the SIB. 6-2
6004 Composition of an SIB 6-3
6005 Senior Member Responsibilities. 6-4
6006 SIB Assistants. 6-6
6007 Standing Boards 6-7
6008 Joint Investigations Boards 6-7
6009 National Transportation Safety Board (NTSB) 6-8
6010 Safety Investigation Guidance 6-8
6011 Safety Investigation Reports and Endorsements 6-8
6012 Safety Investigation Board Report Distribution. . . .6-10
6013 Submission Criteria 6-10
6014 Endorsing Chain 6-10
6015 Submission Deadlines. 6-12
6016 Extensions. 6-13
6017 Content 6-13
6018 Final Endorsement 6-13
6019 Endorsement Distribution. 6-14
6020 Handling Endorsements 6-14
6021 References. 6-15

Figure 6-1 SIB Appointment Message. 6-18
Figure 6-2 Appointment Letter for SIB Members 6-20

Chapter 7. Protection of Safety Information 7-1
7000 Information 7-1
7001 Purpose 7-1
7002 Concept of Privilege. 7-1
7003 Dissemination of Information. 7-3
7004 References. 7-7

Appendices:
Appendix A Investigation Techniques. A-1
Appendix B Sample Pre-Mishap Plan and Guidance B-1
Appendix C Witness Interview Procedures. C-1
Appendix D MOA Between COMNAVSAFECEN and NCIS. D-1
Appendix E MOU Between Service Safety Centers. E-1
Appendix F Points of Contact F-1

Glossaries:
G-1 Glossary of Terms and Definitions. G1-1
G-2 Acronyms G2-1
G-3 Mishap Costs Table G3-1
G-4 Risk Assessment Codes. G4-1
G-5 OSHA Codes G5-1
G-6 Injury and Occupational Illness Classification Codes .G6-1
G-7 Damage and Injury Case Codes G7-1

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7 January 2005

OPNAV INSTRUCTION 5102.1D AND MARINE CORPS ORDER P5102.1B

From: Chief of Naval Operations
Commandant of the Marine Corps

Subj: NAVY AND MARINE CORPS MISHAP AND SAFETY INVESTIGATION REPORTING AND RECORD KEEPING MANUAL

Ref: (a) DODI 6055.7 of 3 Oct 00
(b) SECNAVINST 5100.10H
(c) SECNAVINST 5211.5D
(d) Public Law 91-596
(e) SECNAVINST 5720.42F
(f) SECNAVINST 5212.5D
(g) Title 10, U.S. Code S.1471
(h) OPNAVINST 3500.39B
(i) OPNAVINST 3750.6R
(j) OPNAVINST 4790.2H

Encl: (1) Navy and Marine Corps Mishap and Safety Investigation Reporting and Record Keeping Manual

1. **Purpose**. To issue a single policy directive for mishap and safety investigation reporting and record keeping by all Navy and Marine Corps commands, activities, units, installations and facilities. This instruction is a complete revision and should be reviewed in its entirety.

2. **Cancellation**. OPNAVINST 5102.1C and MCO P5102.1A

3. **Authority**. This directive governs Navy and Marine Corps mishap and safety investigation reporting procedures (less aviation mishaps). Enclosure (1) establishes investigation procedures and provides requirements for submitting safety investigation reports (SIREPS), combat zone (CZ), and hazard reports (HAZREPS).

4. **References**. References (a) through (j) on the cover letter and Navy instructions and Marine Corps Orders cited in enclosure (1) have not been distributed to all addressees.

5. **Discussion**. As directed by references (a) and (b), enclosure (1) revises the policy and format for mishap reporting, safety investigation reporting, hazard reporting, and record keeping of Navy and Marine Corps afloat, shore, and ground mishap and safety investigation process and report submission, to include aviation ordnance. References (c) through (h) provide information to support and guide the investigative process. Enclosure (1) provides the Navy and Marine Corps with a standardized process to report on and off-duty mishaps and uniform safety investigation procedures. Enclosure (1) provides updated procedures for investigating and reporting personnel injury or death, Navy and Marine Corps occupational injuries and illnesses, material (property) damage, motor vehicle, off-duty and recreation, explosive, parachuting, cargo air drop, and diving mishaps. Non-ordnance aviation-related mishaps remain reportable under references (i) and (j).

6. **Action**

a. Commander's Intent and Concept of Operations

(1) Commander's Intent

(a) Enclosure (1) is the guiding document for the Navy and Marine Corps afloat, shore, and ground (including aviation ordnance) mishap and safety investigation process and reporting procedures.

(b) Commanders, commanding officers and officers-in-charge will implement enclosure (1) policies for safety investigation and reporting. Commands are not required to issue an implementing instruction to augment this policy, except for command-unique applications and requirements.

(2) Concept of Operations

(a) Enclosure (1) provides the format for SIREP, CZ and HAZREP reporting.

(b) Reports described in enclosure (1) will be furnished to the Commander, Naval Safety Center (COMNAVSAFECEN) as prescribed in the manual.

(c) Records will be maintained and retained by installation and unit safety managers for all safety investigation reports, and occupational illness and injury logs and summaries for a period of five years whereupon they will be destroyed, per reference (f).

(d) COMNAVSAFECEN is the office of record for SIREP, CZ and HAZREP reports submitted under requirements of enclosure (1).

b. **Subordinate Element Missions**

(1) Comply with the intent of enclosure (1).

(2) Ensure safety investigation reports are submitted.

c. **Coordinating Instructions**. Submit all recommendations concerning enclosure (1) to Chief of Naval Operations (CNO (N09F)) or Commandant of the Marine Corps, Safety Division (CMC (SD)), as appropriate, via the appropriate chain of command.

7. **Administration and Logistics**

a. Chief of Naval Operation (CNO (N09F)) and CMC (SD) will administer the requirements and ensure the accuracy, modification and distribution of enclosure (1).

b. Commanders, commanding officers, masters, officers-in-charge, and craft-masters are responsible for implementation of enclosure (1).

c. Safety officers, safety directors, safety managers, safety specialists and civilian supervisors carry out the requirements of enclosure (1).

d. Prior to implementation of this policy, activities must, where applicable, discharge their labor relations' obligations.

Assistance and guidance may be obtained from CMC (MPO-37) or the Navy's Human Resources Office.

8. **Report and Forms**

a. Injury and Illness Incident Report (OSHA Form 300 or equivalent) can be obtained from the U.S. Department of Labor web site at http:/www.osha.gov/pls/publications/pubindex.list, see Figure 3-1.

b. Annual Summary of Work-Related Injuries and Illness (OSHA Form 300A or equivalent) can be obtained from the U.S. Department of Labor web site at http:/www.osha.gov/pls/publications/pubindex.list, see Figure 3-2.

c. Safety Investigation Report (SIREP)(Report Symbol 5102-7) also includes ordnance report symbol DD-M(AR)1020(5102) and Hazard Report (HAZREP) (Report Symbol 5102-8), see Figure 5-2.

d. Safety Investigation Report Endorsement (SIRE) (Report Symbol OPNAV 5102-7A), see Figure 5-4.

e. Safety Investigation Report Inventory of Evidence (Report Symbol OPNAV 5102-7B), see Figure 5-5.

f. Combat Zone Mishap Report (CZ) (Report Symbol 5102-7C), see Figure 5-7.

g. Advice to Witness (Promise of Confidentiality) (OPNAV 5102/11 (06-04)), see Figure C-1.

h. Advice to Witness (OPNAV 5102/10 (06-04)), see Figure C-2.

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CHAPTER 1

INTRODUCTION AND RESPONSIBILITIES

1000. BACKGROUND

1. A mishap in which there was minor injury or little damage may illuminate a hazard with potential to cause frequent and severe mishaps. A thorough safety investigation of a catastrophic mishap should reveal hazards that could cause future mishaps. The investigation procedures, reports, and records required by this manual, are designed to assist all leaders in identifying causal factors and formulating corrective measures to prevent mishap recurrence.

2. A proactive mishap prevention process identifies unsafe acts and conditions and applies corrective measures before the mishap occur. Prevention is accomplished through engineering, systems safety, education and training, personal protective equipment, and enforcement measures. Safety investigations will reveal previously unknown, ignored, and improperly corrected conditions or actions, and identify risks.

3. The primary objective of the Navy and Marine Corps safety program is to enhance readiness by preserving human and material resources. Although many factors may contribute to a mishap sequence, they are normally grouped into two broad categories: physical conditions and personnel actions or in-actions. The Navy and Marine Corps document the expenditure of millions of dollars each year on deaths, injuries, occupational illnesses and collateral damage. Mishaps seriously degrade operational readiness and unnecessarily expend tax dollars. This manual contains guidance for recording and reporting mishaps.

1001. PURPOSE. This manual serves to:

1. Ensure compliance with references 1a and 1b for safety investigation, reporting, and record keeping.

2. Maintain a standardized system to investigate afloat, shore or ground mishaps and hazards, including aviation ordnance, and provide procedures to assure reports are submitted in a timely manner.

3. Identify mishap causal factors and develop appropriate corrective actions which, when implemented, will help to prevent similar mishaps.

1002. DEFINITION OF TERMS

1. This manual uses the words "shall," "will," "must," “should,” “may,” and “can” throughout. “Shall,” “will,” and “must” are directive in nature and require mandatory compliance. “Should” is a strong recommendation, but does not require compliance. “May” or “can,” are optional in nature and do not require compliance.

2. See the Glossary at the end of the manual for the definition of special terms or acronyms used throughout the manual.

1003. POLICY. All commands shall investigate, report, and maintain records of all mishaps as required by this manual. Commands shall identify and analyze mishap causes to develop and track corrective actions in order to prevent similar mishaps from occurring.

1004. DEVIATIONS AND VARIANCES. Chief of Naval Operations (CNO N09F) or Commandant of the Marine Corps, Safety Division (CMC (SD)) (as appropriate) must authorize any deviation or variance from the procedures contained in this manual.

1005. RESPONSIBILITIES

1. CNO (N09F) and CMC (SD) provide policy sponsorship and service approval of Navy and Marine Corps safety investigation and reporting. The following responsibilities are in addition to those prescribed in other directives and are the minimum requirements for safety investigations to be performed by CNO (N09F) or CMC (SD):

a. Ensure the accuracy, modification and distribution of this manual.

b. Implement improvements and changes in mishap reporting procedures, as recommended by subordinate units or required by higher authority.

c. Provide policy guidance and clarification throughout the Navy and Marine Corps for investigating and reporting afloat, shore or ground mishaps, including aviation ordnance mishaps.

d. Contact appropriate Controlling Command upon learning of a possible on-duty Class A, selected Class B or training mishap in order to provide assistance in the establishment of investigation requirements and the availability of safety investigation advisors.

e. In special cases, CNO (N09F) or CMC (SD) may initiate an independent safety investigation. COMNAVSAFECEN will control all evidence pertaining to the mishap (including parts undergoing engineering investigations) until they release it to the Safety Investigation Board (SIB).

f. In unclear cases, determine and designate the command with investigative responsibility in cases where more than one command is involved. This includes appointing an SIB for a mishap involving more than one echelon II/major command.

g. Determine if an SIB will investigate and report a mishap when the controlling command questions the need for establishing an SIB.

h. Determine on a case-by-case basis whether a safety investigation is required if a fatality related to the mishap occurs within six months of the mishap date, and send a naval message identifying the report requirements.

i. Terminate a safety investigation.

j. Provide a standardized and consolidated safety investigation report format and an electronic method of collecting that format. The Navy and Marine Corps will report electronically, as discussed in chapter 3, using the Web Enabled Safety System (WESS) or naval message.

2. Navy and Marine Corps Inspector Generals (IG). Provide oversight inspections for compliance with mishap investigation and reporting as part of safety and occupational health programs at Navy shore activities and Marine Corps commands as directed by references 1c and 1d. The President, Board of Inspection and Survey (PRESINSURV) will provide compliance oversight inspections for Navy afloat activities as directed by reference 1e.

3. Commander, Naval Education and Training Command (CNETC), shall appoint a suitably qualified technical person, as

designated by the National Transportation Safety Board (NTSB) investigator in charge, to assist in any investigation involving Naval Introductory Flight Screening (IFS) Program aviation and military flying club mishaps, per reference 1f.

4. CMC (SD) shall:

a. Ensure COMNAVSAFECEN is immediately notified of all on-duty military and civilians fatalities, and all off-duty military fatalities, to ensure that the Deputy Assistant Secretary of the Navy (Safety) (DASN(S)) or his designee, is notified within eight hours of the incident.

b. Coordinate the safety investigation endorsement chain for activities outside the controlling command chain of command.

c. Conduct the final review, analysis and closing endorsement of the Safety Investigation Report (SIREP) with COMNAVSAFECEN coordination within 14 days of receipt.

d. Coordinate the content and distribution of lessons learned with COMNAVSAFECEN.

e. Coordinate tracking of the corrective action resulting from a SIREP with COMNAVSAFECEN to ensure the action is completed.

f. Publish a monthly Marine Corps administrative message (GENADMIN) that identifies current safety information, a brief synopsis of mishaps, hazards, risks, controls, and pending investigations.

5. Commander, Naval Safety Center (COMNAVSAFECEN) shall:

a. Retain responsibility for SIREP control symbols and make necessary changes to the report format to ensure the data collected satisfies DASN(S) information requirements.

b. Coordinate with CMC (SD) regarding the investigation of mishaps involving embarked Marines and Marine Corps equipment in U.S. Navy ships and landing craft (up to the high water mark during amphibious or in-shore warfare training operations). Coordinate with the appropriate controlling command, Naval Ordnance Safety and Security Activity (NOSSA) and/or Marine Corps Systems Command (MARCORSYSCOM) to determine whether a Safety Investigation Board (SIB) or the command owning the

ordnance event will conduct a local safety investigation of the explosive mishap.

c. Make non-privilege information available, upon request, to individuals conducting a concurrent investigation under proper regulatory authority of any agency or department of the United States or by attorneys representing the interests of the United States in any litigation related to the incident, which is the subject of a safety investigation.

d. Make available, upon request, privileged or non-privileged evidence from a SIREP to Navy and Marine Corps endorsers.

e. Conduct the final review, analysis and closing endorsement of Navy SIREPs within 14 days of receipt. Coordinate the final review, analysis and endorsement of USMC SIREPs with CMC (SD). Retain hard copies of the SIREPs, endorsements, and evidence for five years following the end of the fiscal year to which the mishap occurred. At the end of that period, destroy hard copies of the SIREP, endorsements, and physical evidence. HAZREP hard copies will be retained for one year and then destroyed. Electronic copies of the final endorsed SIREP shall be retained indefinitely.

f. Analyze design deficiencies, identified by SIREPs for trends or significant deficiencies and forward findings to Assistant Secretary of the Navy (ASN (RD&A)), systems commands, or the Program Executive Office (PEO), as appropriate, with copies to appropriate Controlling Commands.

g. Ensure prompt distribution of lessons learned to all appropriate commands.

h. Maintain the Navy and Marine Corps consolidated mishap database Web-Enabled Safety System (WESS). Receive and process safety information, perform quality control, and retain mishap files, summaries, and SIREPs.

i. Monitor the completion of corrective actions resulting from a SIREP submitted by an SIB, and provides quarterly action status summary reports, via WESS, to the chain of command.

j. Identify mishap trends, compute mishap rates, and prepare analysis reports in support of CNO (N09F) and CMC (SD), and as requested by operational, administrative, or fleet

commanders. Ensure copies of SIREPs are available, via WESS, to the chain of command.

k. Provide a qualified, safety investigation advisor for all on-duty Class A mishaps requiring an SIB and, when requested with concurrence from the controlling command, for selected Class B or other mishaps. All Class B and C explosive mishaps will require a qualified safety investigation advisor.

l. Upon notification of on-duty Navy and Marine Corps military and DoN civilians and off-duty military fatalities:

(1) Ensure notification is made to CNO (N09F) or CMC (SD) and DASN(S), or their designee, within eight hours following all Navy and Marine Corps mishaps, followed-up with an e-mail.

(2) Notify the Armed Forces Institute of Pathology (AFIP) at 1-800-944-7912 based on the information received in the Personnel Casualty Report (PCR) message.

m. Upon notification of all Navy or Marine Corps ordnance related Class A explosive mishaps, COMNAVSAFECEN will report Navy mishaps, within eight hours of the incident to:

CNO (N411) at COML 703-604-9934 or DSN 664-9934;
NOSSA (00) at COML 301-744-6001 or DSN 453-6001;

and Marine Corps explosive mishaps to:

MARCORSYSCOM (PM-AMMO) at COML 703-432-3157 or DSN 378-3157;
CMC (SD) at COML 703-614-1202 or DSN 224-1202.

n. Provide the Occupational Safety and Health Administration (OSHA) Office of Federal Agency Programs with a summary report of each mishap resulting in the death of an on-duty DoN civilian or hospitalization of three or more people (at least one of which is a Department of Defense (DoD) civilian) within 120 days of the mishap. Coordinate the release of safety investigations and reports to OSHA.

o. Serve as the Navy and Marine Corps point of contact upon notification of an on or off-duty Class A, B, or other joint service mishap.

p. Serve as the Navy and Marine Corps' re-addressal authority for safety investigation reports and endorsements. Provide sanitized reports of safety investigations, endorsements, and reports to appropriate commands.

q. Serve as the Freedom of Information Act (FOIA) coordinator for safety investigations and reports.

r. Ensure appropriate activities are notified of all hazards identified in the SIREP. Using WESS, distribute community of interest reports and notifications to the appropriate chain of command.

6. Deputy Assistant Secretary of the Navy (Safety) (DASN(S)) shall:

a. Ensure all mishaps to involving Secretary of the Navy personnel are investigated and reported to COMNAVSAFECEN.

b. Establish an SIB when required by this manual, in coordination with COMNAVSAFECEN.

7. Controlling Commands. For the purpose of this manual, and without affecting command relationships established for other purposes, controlling command authorities are:

Chief of Naval Operations (CNO (N09F));
Commandant of the Marine Corps (Safety Division);
Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM);
Commander, U.S. Pacific Fleet (COMPACFLT);
Commander, Marine Corps Combat Development Center (MCCDC);
Commander, Marine Corps System Command (COMMARCORSYSCOM);
Commander, Marine Corps Logistics Command (COMMARCORLOGCOM);
Commander, Marine Corps Recruit Command (MCRC);
Commander, Marine Corps Forces, Atlantic (COMMARFORLANT);
Commander, Marine Corps Forces, Pacific (COMMARFORPAC);
Commander, Marine Corps Forces, Reserve (COMMARFORRES);
Commander, Bureau of Medicine and Surgery (BUMED);
Commander; Bureau of Naval Personnel (BUPERS);
Commander, Naval Education and Training Command (NETC);
Commander, Naval Installations (CNI);
Commander, Naval Air System Command (COMNAVAIRSYSCOM);
Commander, Naval Facility Engineering Command (COMNAVFACENGCOM);
Commander, Naval Reserve Forces (COMNAVRESFOR);
Commander, Naval Sea System Command (COMNAVSEASYSCOM);

Commander, Naval Security Group Command (COMNSGCOM);
Commander, Space and Naval Warfare Systems Command (COMSPAWARSYSCOM);
Commander, Naval Special Warfare Command (COMNAVSPECWARCOM);
Commander, Naval Supply Systems Command (COMNAVSUPSYSCOM);
Command, Military Sealift Command (COMSC);

and Type Commanders for afloat mishaps. Controlling commands shall:

NOTE:

(Contingency Operations only) Component Command is defined as one of the subordinate organizations that constitute a joint force. Normally a joint force is organized with a combination of service and functional components. The Combat Zone (CZ) Report submission is the responsibility of the Component Command for Navy and Marine Corps personnel and equipment, and shall be reported per paragraph 3006 when assigned.

a. Direct an SIB to investigate on-duty Class A mishaps and all Class B and C Explosive Mishap Reports (EMR), define the SIREP initial endorsement chain, and assign due dates as described in this manual. This information will be provided to the appropriate command via naval message for all applicable mishaps.

NOTE:

Fleet Commanders will be notified or info copied on all actions and/or correspondence required of the Type Commander when they are the controlling command.

b. Direct an SIB to investigate selected other mishaps deemed appropriate. This applies to any other mishaps or near mishaps that may reveal vital safety information and IFS or flying club aviation related mishaps per reference lf. Discuss with COMNAVSAFECEN to reach an agreement on whether or not a safety investigation advisor will be provided.

c. When the requirement for an SIB is questionable, CMC (SD) or CNO (N09F) shall be contacted with details of the mishap within 24 hours. This information will be used to determine if an SIB is required. CMC (SD) or CNO (N09F) will discuss, with

the appropriate controlling command, the required course of action.

d. Ensure subordinate commands submit a safety investigation report on all reportable mishaps, as outlined in Chapter 3, to the chain of command and COMNAVSAFECEN within 30 days.

e. Contact COMNAVSAFECEN for on-site investigative assistance for joint service mishaps.

f. Monitor the status of corrective actions and recommendations assigned to subordinate units identified in SIREPs.

g. Report all fatalities (regardless of method, i.e., suicide, homicide, murder, medical, etc.) to COMNAVSAFECEN. For Marine Corps commands, include CMC (SD) for Marine Corps military or civilian fatalities.

h. For all on or off-duty fatalities, especially motor vehicle mishaps, the Navy or Marine Corps commander or commanding officer will brief the next immediate flag officer in the chain of command. This briefing, either in person or via VTC, will, when feasible, take place within seven days of the mishap. The brief will include factors leading up to the mishap, pre-existing command programs to address mishap prevention and reduction, actions being taken to prevent future mishap, and assistance required from outside the command. Flag or general officers will use this non-binding information to ensure visibility and identify potential hazards that may have command, Navy, Marine Corps, DoN or DoD wide impact. Upon conclusion of the briefing, a message summary will be forwarded to COMNAVSAFECEN. The briefing requirement does not apply to Class A mishaps specifically resulting in the loss of an aircraft or significant damage to a ship, submarine, or other platform. This requirement does not replace the requirements as set forth in this manual and all reporting and investigation requirements continue to apply. Because of the operational chain of command, SURFOR and SUBFOR units experiencing traffic related serious injury or senseless death,; shall provide first flag notification via letter to the cognizant TYCOM within 7 to 14 working days. TYCOM will provide summary correspondence within 14 working days.

i. Ensure all DoN civilian fatalities occurring within the United States or U.S. territories are reported to the nearest OSHA area or regional office within eight hours of obtaining knowledge of the mishap. The OSHA toll-free telephone number is 1-800-321-OSHA (6742).

j. Review on-duty Class A mishaps involving civilian contractors for any mishap prevention lessons learned applicable to DoN. See Glossary G-1 for the “Contractor Mishap” definition.

k. Marine Corps controlling commands holding copies of SIREP supporting documents will make available, upon request, copies of the documents to endorsers within the guidelines of this manual. Upon notification of completion of the final endorsement, the controlling commands will destroy all electronic and hard copies. The original SIREP supporting documents will be retained by COMNAVSAFECEN.

l. Incorporate mishap prevention, investigation, and reporting into the training requirements of training manuals, master training plans, or training guides, as appropriate.

m. Serve as the appointing authority for mishaps involving more than one subordinate commander.

For example, if a surface ship collides with a submarine, the appointing authority will be the fleet commander. For a ship crewmember involved in a mishap on base, the applicable controlling command will be determined after discussion between the fleet headquarters commander and cognizant headquarter commander of the installation where the mishap occurred.

n. Coordinate with COMNAVSAFECEN, echelon II commands, and other technical agencies in providing assistance to the SIB, when requested.

o. Serve as the appointing authority for SIBs, unless otherwise directed, as discussed in paragraph 6003.1. For the Marine Corps, the appointing authority is the first general officer in the appropriate chain of command.

p. Appoint all SIB members in writing.

q. Ensure no one directly involved in a mishap, or having personal interest that might conflict with his or her objective and impartial performance of duties, serves as a member of the SIB. Members of the unit experiencing the mishap (including navy regions) shall not be appointed to the SIB.

r. Develop a pre-mishap plan, if desired, that describes the steps that must be taken when a mishap occurs in a subordinate command. Anticipate all responsibilities and devise measures to cope with them. Items to consider include:

(1) Personnel that would participate in safety investigations;

(2) SIB organization; and

(3) Responsibilities for transportation preparations such as travel order templates, passports and visas, identified means of local transportation, etc.

8. Commanders, commanding officers, masters, and officers-in-charge shall:

a. Report all fatalities (regardless of method, i.e., suicide, homicide, murder, medical, accident, etc.) to COMNAVSAFECEN by telephone or electronic means. Additionally, provide information to the controlling command and CMC (SD) when a Marine is involved. See paragraph 3002.1.

b. Notify their chain of command and COMNAVSAFECEN of all on and off-duty Class A mishaps and hospitalization of 3 or more people, within eight hours of mishap by telephone or electronic means. Additionally, inform CMC (SD) on Marine Corps military or civilian fatalities. Include COMNAVSAFECEN NORFOLK VA//00/30/40/60// and CMC (SD), when Marines are involved, as information addressees on Operational Reports (OPREP-3) submitted per reference 1g. Personnel Casualty Report (PCR) submitted per references 1h, 1i or 1j; or Serious Incident Report (SIR) submitted per reference 1k, to satisfy this immediate notification requirement.

c. Report all on-duty DoN civilian fatalities, whether believed to be occupational or not, occurring within the United States or U.S. territories to the nearest OSHA area or regional office within eight hours of obtaining knowledge of the mishap. The OSHA toll-free telephone number is 800-321-OSHA. This

requirement applies to each fatality or hospitalization of three or more civilian employees (at least one of which is a DoD civilian), which occurs within 120 days of a mishap.

d. For on-duty Class A mishaps, protect the mishap site or damaged area from loss or further damage. Operational requirements or damage control measures may require disturbing the scene of the mishap before the SIB arrives. In such cases, make every reasonable effort to:

(1) Make an accurate plot of the scene;

(2) Take photographs or videotape recordings of the wreckage, its distribution, and the surrounding area; and

(3) Make a diagram of any underwater damage.

e. Direct the investigation of all mishaps, regardless of severity. Report mishaps, not investigated by an SIB, as outlined in Chapter 3. Near-mishaps should be investigated and reported via a HAZREP, as outlined in Chapter 4. Ensure the appropriate chain of command is notified of a submitted SIREP, via WESS, for all reportable mishaps.

(1) In cases where the mishap occurs in a remote area, and personnel are in an off-duty status or en-route to a new duty station, the commander of the nearest Navy or Marine Corps activity, will assist in obtaining necessary report information and conduct the investigation when requested by the parent command responsible for that individual. Mishaps involving personnel en-route to a new duty station will be reported by the gaining command. Requests for assistance will be coordinated via the applicable chains of command.

(2) When a command cannot fulfill safety investigating or reporting responsibilities, they shall request assistance via the chain of command.

f. Ensure that safety investigators receive safety investigation training consistent with their assigned responsibilities and the level of complexity of the mishap in accordance with reference 1a.

g. Ensure personnel assigned to conduct unit or command safety investigations, assigned as a member of an SIB, or assigned to assist the board are excluded from assignment to a

Judge Advocate General Manual (JAGMAN) investigation of the same incident conducted per reference 1l.

h. In addition to investigation and reporting requirements, provide a brief, in person or via VTC, to the first flag or general officer in the Navy or Marine Corps chain of command for all on or off-duty fatalities, especially motor vehicle mishaps, within seven days of the mishap, when feasible. The brief will include factors leading up to the mishap, pre-existing command programs to address mishap prevention and reduction, actions being taken to prevent future mishap, and assistance required from outside the command. Flag or general officers will use this non-binding information to ensure visibility and identify potential hazards that may have command, Navy, Marine Corps, DoN or DoD wide impact. Upon conclusion of the briefing, a message summary will be forwarded to COMNAVSAFECEN. The briefing requirement does not apply to Class A mishaps specifically resulting in the loss of an aircraft or significant damage to a ship, submarine, or other platform. This requirement does not replace the requirements as set forth in this manual and all reporting and investigation requirements continue to apply.

i. Coordinate the investigation and reporting of mishaps between the ship’s commanding officer, officer in charge, or master and the commanding officer, office-in-charge, or master of the embarked unit or detachment. Coordinate, with the commanding officer or officer in charge of embarked units and detachments, the investigation of mishaps involving Marines and Marine Corps equipment when embarked in U.S. Navy ships and on landing craft (up to the high water mark during amphibious or inshore warfare training operations.

j. Direct a competent medical authority to collect any time-sensitive medical evidence, such as blood and urine samples pertinent to the safety investigation.

k. Provide administrative and logistic support for the SIB.

l. Shall grant SIB president or senior member release authority for messages specifically related to the investigation and the SIREP. The SIB will ensure the proper chain of command and controlling command is addressed on the SIREP message.

m. When injured personnel are a lost to the command, include the command to which the individual was transferred in

the SIREP, to trace the individual in the event that additional mishap information is required.

n. Develop a pre-mishap plan, if desired, that describes the actions to be taken should a mishap occur.

o. Upon submission of the SIREP, destroy any privileged information gathered during the command’s investigation.

p. Shall ensure that physical security of all personnel involved in the mishap investigation is maintained commensurate with the local security situation and provide such protective and other equipment necessary for the security and self-defense of these personnel.

9. Command duty officers, staff duty officers, officer of the day or the senior person at the scene of a mishap shall:

a. Ensure care and first aid is provided to the injured personnel. Emergency Medical Services (EMS) personnel may need to disturb or remove items of evidence to preserve life.

b. Eliminate or control hazards created by the mishap. Operational requirements or damage control measures may require disturbing the scene of the mishap.

c. Inform proper authorities; e.g., unit commander (and responsible commander if other than unit commander), unit or installation safety officer or manager, Provost Marshal's Office (PMO), fire and rescue, and public affairs.

d. Secure the mishap site to protect the public, safeguard Navy and Marine Corps property, and prevent disturbance of the site. For on-duty Class A and B mishaps and all explosive mishaps, assign personnel to:

(1) Make an accurate plot of the scene before moving or removing any wreckage or equipment.

(2) Take photographs or videotape recordings of the wreckage, its distribution, and the surrounding area. Photograph the mishap site from a minimum of eight points surrounding the site and all items of evidence prior to removal, when possible.

(3) Make a diagram of any damage. A sketch should accompany the items to depict "as found" location and condition.

(4) Collect all log books, maps, charts, overlays and other documents to prevent the loss of vital information.

e. Make a list of witnesses and encourage them to develop personal notes concerning the mishap for them to refer to during witness interviews. Witnesses should write down their own observations and should not discuss the mishap with other witnesses.

10. Safety officers, safety directors, safety managers, safety specialists and civilian supervisors shall:

a. Assist the commander, commanding officer, master, or officer-in-charge in conducting safety investigations for all on-duty Class A mishaps until the SIB arrives.

b. Coordinate with safety officers from embarked units and detachments on the investigation, reporting, and correction of the causes of mishaps.

c. Ensure command-wide dissemination of sanitized safety information and lessons learned resulting from safety investigations. Do not post SIREPs on bulletin boards.

d. Ensure all mishaps are investigated and required reports are submitted, as outlined in Chapters 3 and 5. Where medical treatment information is required to complete the investigation and report, the Health Insurance Portability and Accountability Act (HIPPA), provides an exception for safety investigations as outlined in reference 1m.

e. Use hazard reports to report near mishaps or other hazardous conditions per Chapter 4.

1006. <u>REFERENCES</u>

1a. DODI 6055.7 of 3 Oct 00, Accident Investigation, Reporting and Record Keeping

1b. SECNAVINST 5100.10H, Department of the Navy Policy for Safety, Mishap Prevention and Occupational Health Programs

1c. OPNAVINST 5100.23F, Navy Occupational Safety and Health Program

1d. MCO P5100.8F, Marine Corps Occupational Safety and Health Program

1e. OPNAVINST 5100.19D, Navy Occupational Safety and Health Program Manual for Forces Afloat

1f. OPNAVINST 3750.16B, Participation in a Military or Civil Aircraft Accident Safety Investigation

1g. OPNAVINST 3100.6G, Special Incident Reporting (OPREP-3, Navy Blue, and UNIT SITREP Procedures)

1h. BUPERSINST 1770.3, Personnel Casualty Procedures Manual

1i. MILPERSMAN 1770010, Navy Military Personnel Manual

1j. MCO P3040.4D, Marine Corps Causality Procedure Manual

1k. MCO 5740.2F, Serious Incident Reports (SIR)

1l. JAGINST 5800.7D, Manual of the Judge Advocate General

1m. 45 Code of Federal Regulations, Part 164.512(b)(i): Health Insurance Portability and Accountability Act

CHAPTER 2

MISHAP CLASSIFICATION

2000. INFORMATION. Mishaps are unplanned events or a series of events, which interfere with or interrupt a process or procedure and may result in a fatality, injury, or occupational illness to personnel or damage to property. They occur as a result of failing to identify and reduce or eliminate hazards. Mishaps are classified according to the severity of resulting injury, occupational illness, or property damage. Property damage severity is generally expressed in terms of cost and is calculated as the sum of the costs associated with Department of Defense (DoD) property and non-DoD property that is damaged in a mishap. The mishap classification is used to determine the type of investigation, report, and record keeping required as a result of the mishap per reference 2a.

2001. PURPOSE. This chapter defines mishap classifications and terminology.

2002. MISHAP CLASSIFICATIONS. Mishaps are classified by severity per reference 2a. The initial classification of a mishap may change as more accurate information on the severity of the mishap is obtained.

1. Class A Mishap. The resulting total cost of damages to DoD or non-DoD property in an amount of $1 million or more; a DoD aircraft is destroyed; or an injury and/or occupational illness result in a fatality or permanent total disability.

2. Class B Mishap. The resulting total cost of damages to DoD or non-DoD property is $200,000 or more, but less than $1 million. An injury and/or occupational illness result in permanent partial disability or when three or more personnel are hospitalized for inpatient care (beyond observation) as a result of a single mishap.

3. Class C Mishap. The resulting total cost of damages to DoD or non-DoD property is $20,000 or more, but less than $200,000; an event involving one or more DoD personnel that results in one or more days away from work.

4. The definitions of disability, injury and illness, work-related time away from work, per reference 2b, and hospitalization are provided in Glossary G-1. The reporting and recording requirements for the mishap classifications, as well as other reportable mishap types, is provided in Chapter 3.

2003. APPLICABLITY. For purposes of this manual, a mishap may involve one or more of the following personnel:

1. Military. All Navy and Marine Corps personnel on active duty or Reserve status under the provisions of reference 2c, as well as National Guard personnel under the provisions of reference 2d; service academy cadets; joint service officers assigned to Department of the Navy (DoN) components, Reserve Officer Training Corps (ROTC) cadets when engaged in directed training activities; Navy and Marine Corps active duty and ROTC cadets enrolled in the Naval Introductory Flight Screening (IFS) Program, foreign national military personnel assigned to the DoN components, when in an on-duty or off-duty status, either on-base or off-base.

2. Civil Service System employees. All Navy and Marine Corps civilian employees in an on-duty status, (including Reserve component military technicians (dual status), unless in a military duty status), and non-dual status technicians; non-appropriated fund employees (to avoid dual reporting, this excludes military personnel working part-time off-duty); Corps of Engineers civil works employees; Youth or Student Assistance Program employees; foreign nationals employed by DoN components; Navy and Marine Corps exchange employees and Army-Air Force Exchange Service (AAFES) employees, where appropriate.

3. On-Duty. Personnel are considered on-duty, in accordance with reference 2a, if they are physically present at any location where they are to perform officially assigned work. Officially assigned work includes organization-sponsored events an employee is permitted to attend, regardless of location. This includes those activities incident to normal work activities that occur on DoD installations and all activities aboard military vessels. On-duty includes:

a. Being transported by Navy or Marine Corps or commercial conveyance to perform officially assigned work. (This includes travel in Private Motor Vehicles (PMV) or commercial conveyances

while performing official duty, but not routine travel to and from work.)

b. On temporary duty or temporary additional duty. Personnel on assignment away from the regular place of employment are covered 24 hours a day for any injury that results from activities essential or incidental to the temporary assignment. However, when personnel deviate from the normal incidents of the trip and become involved in activities, personal or otherwise, that are not reasonably incidental to the duties of the temporary assignment contemplated by the employer, the person ceases to be considered on-duty for investigation and reporting purposes of occupational injuries or illnesses, even though such injuries may be compensable.

4. Off-duty. Navy and Marine Corps personnel are off-duty when they are not on-duty, as defined above. See Glossary G-1, “DoD Personnel.” Reserve and National Guard personnel performing inactive duty training (drill) will be considered off-duty, per reference 2d:

a. When traveling to or from the place at which such duty is performed; or

b. While remaining overnight, immediately before the commencement of inactive-duty training; or

c. While remaining overnight between successive periods of inactive-duty training, at or in the vicinity of the site of the inactive-duty training, if the site of the inactive-duty training is outside reasonable commuting distance of the member's residence.

2004. DETERMINING MISHAP COSTS. The total cost of a mishap is determined by adding costs for all death, injury and damage. Commander, Naval Safety Center (COMNAVSAFECEN) applies a standard cost for Navy and Marine Corps personnel fatalities, injuries and labor cost. Property damage cost information will be provided by the activity experiencing the loss.

1. Damage Costs. These are costs of reportable property damage.

a. When damage occurs to Navy and Marine Corps property as a result of non-government (i.e., contractor or private citizen) activities, any damage to non-government property is not

considered in determining costs. For example, a parked Navy van is damaged, while off the base, by a light pole knocked over by a private vehicle. Only the Navy van damage costs would be considered.

b. If a mishap occurs in a DoD motor vehicle on or off base, and the Navy or Marine Corps is responsible, all costs, including damage to government and civilian vehicles and property and/or injury to all personnel, will be used in determining total costs.

c. Calculate the direct cost of a Navy and Marine Corps mishap by adding all costs of damaged, lost, or destroyed assets to include costs such as environmental clean up.

2. Navy and Marine Corps Property. There are three costs associated with damaged, lost, or destroyed Navy and Marine Corps property: acquisition costs, replacement costs, and repair costs.

a. To determine the repair cost of DoD property involved in the mishap, use actual costs of materials or estimates provided by the repair activity. If necessary, use estimates based on the actual cost of materials and $18 for each hour of organizational or intermediate-level labor or $60 for each hour of depot-level labor. When prepared in written form, all estimates shall conspicuously state:

> "This estimate is prepared solely for safety purposes. It is not intended to reflect, in any way, the extent of any party's damages or liability for purposes of administrative claims or litigation."

b. When property is destroyed and will be replaced, use the replacement cost, if available. If not available, COMNAVSAFECEN will coordinate with the appropriate fleet, system or Marine Corps Forces (MARFOR) commanders to determine the cost.

c. When property is destroyed and will not be replaced, COMNAVSAFECEN will coordinate with the appropriate fleet, system or MARFOR commanders to determine the cost.

3. Non-Navy and Marine Corps Property.

a. Obtain this cost from the claims officer's damage statement when available.

b. When estimates are not available, the safety investigator may estimate the cost of damages. When prepared in written form, this estimate shall conspicuously state:

> "This estimate is prepared solely for safety purposes. It is not intended to reflect, in any way, the extent of any party's damages or liability for purposes of administrative claims or litigation."

4. Costs for injuries, fatalities, and occupational illnesses of DoD and DoN personnel are computed using the guidance in Glossary G-3.

2005. REFERENCES

2a. DODI 6055.7 of 3 Oct 00, Accident Investigation, Reporting, and Record Keeping

2b. 29 CFR Part 1960, Subpart I, as amended to adopt elements of 29 CFR Part 1904, Recording and Reporting of Occupational Injury and Illness.

2c. Title 10, United States Code, Subtitle E.

2d. Title 32, United States Code, “National Guard”.

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CHAPTER 3

RECORD KEEPING AND REPORTING

3000. INFORMATION. Record keeping and reporting is vital to provide safety information to Department of the Navy (DON) and Department of Defense (DoD). These records and reports are required by federal law and provide information to identify unsafe acts and conditions, and apply corrective measures. With the inception of electronic reporting, mishaps or incidents that previously were only locally recordable, and not reportable outside the command, are all now in the reportable category, since all electronic entries are transmitted to the Commander, Naval Safety Center (COMNAVSAFECEN) mishap database. Besides material damage, fatalities and disability mishaps, data must also be collected on time away from work, light, limited, and restricted duty injuries and occupational illnesses for preventive efforts. Therefore all recordable mishaps are to be reported electronically to COMNAVSAFECEN.

3001. PURPOSE. This chapter standardizes mishap record keeping requirements and reporting procedures.

3002. IMMEDIATE NOTIFICATION. Navy and Marine Corps commanders experiencing the incident as defined by this manual, shall:

1. Notify their chain of command and COMNAVSAFECEN, of all on-duty DoD civilian and all on and off-duty military Class A mishaps, and any mishaps that result in the hospitalization of three or more personnel, within eight hours of the mishap by telephone or electronic means. Notify COMNAVSAFECEN, and the chain of command, of all other on-duty DoD civilian and all on and off-duty military fatalities regardless of cause (suicide, homicide, medical, etc.) within eight hours by electronic means. Additionally, inform Commandant of the Marine Corps, Safety Division (CMC (SD)) on Marine Corps military or civilian fatalities. Include COMNAVSAFECEN NORFOLK VA//00/30/40/60// and CMC (SD), when Marines are involved, as information addressees on Operational Reports (OPREP-3) submitted per references 3a; Personnel Casualty Report (PCR) submitted per references 3b, 3c or 3d; or Serious Incident Report (SIR) submitted per reference 3e. See section 3007 for electronic means of making the required notification.

2. Report all DON on-duty civilian fatalities occurring within the United States or U.S. territories to the nearest Occupational Safety and Health Administration (OSHA) area or regional office within eight hours of obtaining knowledge of the mishap. The OSHA toll-free telephone number is 800-321-OSHA. This requirement applies to each fatality or hospitalization of three or more civilian employees (when at least one is a DoD civilian), which occurs within 120 days of a mishap. Report the following to OSHA:

a. Command name

b. Location of mishap

c. Time and date of the mishap

d. Number of fatalities and/or hospitalized employees

e. Point of contact with rank, name and phone number

f. Circumstances or brief description of the mishap

3. Laser and radio frequency radiation exposures by notification shall be made per reference 3f.

4. Contact COMNAVSAFECEN within eight hours of all Navy or Marine Corps ordnance related Class A explosive mishaps. COMNAVSAFECEN will report Navy mishaps to CNO (N411) at COML: 703-604-9934 or DSN 664-9934, NOSSA (00) at COML 301-744-6001 or DSN 453-6001 and Marine Corps explosive mishaps to MARCORSYSCOM (PM-AMMO) at COML; 703-432-3157 or DSN 378-3157 and CMC (SD) at COML 703-614-1202 or DSN 224-1202 within eight hours. Additionally, Conventional Ordnance Deficiency Reports (CODR) are submitted using the Deficiency Reporting Web (DRWEB) site and is required for all aviation, surface, shore and submarine activities per reference 3g and as defined in Glossary G-1 “Conventional Ordnance Deficiency Report. Ammunition Malfunction Reports (AMR) are submitted per reference 3h.

3003. MISHAP RECORDS AND LOGS. Safety records, including mishap records, are required as outlined in references 3i through 3l.

1. Mishap records include work-related injury and illness logs, Safety Investigation Reports (SIREP), Hazard Reports (HAZREP), investigation records, mishap logs, and other files maintained

in any format that summarize mishaps involving injuries or property damage, track safety reports and corrective actions, and provide a single reference for trend analysis.

2. Mishap records must be made available when review is desired or required by the chain of command, and shall be retained, electronically or hard-copy, for a minimum of five years following the end of the fiscal year in which the mishap occurred.

3004. REPORTABLE MISHAPS. The following mishaps must be investigated, recorded, or reported per 3m and 3n, under this manual.

1. Class A, B and C government property damage mishaps. This includes property damage caused by a government evolution, operation or vehicle to other government or non-government property.

2. Class A, B, and C on-duty DoD civilian mishaps and military on/off-duty mishaps.

a. For military fatalities and injuries occurring during Permanent Change of Station (PCS) orders, it is the responsibility of the gaining command to submit the mishap report, per references 3b and 3d.

b. For mishaps occurring to personnel assigned to unified or joint task force commands, Navy and Marine Corps activities will submit mishap reports per this manual and any Memorandums of Agreement.

c. For mishaps associated with the secondary side of naval nuclear propulsion plant or non-nuclear components, report per this manual.

3. Any other work-related illness or injury that involves medical treatment beyond first aid, loss of consciousness, and/or days away from work, as well as light duty or limited duty for on/off-duty military personnel, or days of job transfer or restricted work for on-duty civilians, per references 3i, 3j, 3k, 3l and 3n.

4. Other incidents of interest to the Navy and Marine Corps for mishap prevention purposes, and those addressed by reference 3g, are reportable mishaps:

a. All on-duty military fatalities or permanent total disabilities that are the result of a medical event that commenced within one hour of a command-sponsored Physical Training (PT), Physical Readiness Test (PRT), Physical Fitness Test (PFT), or Physical Fitness Assessment (PFA) (e.g., chest pains, heart attack, coma, etc.)

b. Mishaps occurring as the result of a DoD activity, operation, or evolution that results in the injury or death of a guest or military dependent.

c. All on-duty military training-related fatalities, and any high or moderate risk training mishaps that result in the loss of one training day, rolling back or disenrollment of the student from a course per references 3o and 3p.

d. All explosive mishaps, including all ordnance impacting off range and all live fire mishaps. See Glossary G-1 “Explosive Mishaps.”

e. All on-duty diving cases involving the Central Nervous System (CNS), oxygen toxicity, Pulmonary Over Inflation Syndrome (POIS), or hyperbaric treatment.

f. All afloat cases of grounding, collision and flooding. In the case of collisions involving only U.S. Navy or Military Sealift Command ships or craft, the senior command will submit a consolidated report of the event. In all other collisions (including a vessel running into a stationary object), the report will include an estimate of the damage to the other ship, craft, or object.

g. All fires occurring afloat (all cases except small trash fires in which no personnel were injured and the material property damage was limited to trash.)

h. All Government Motor Vehicle (GMV) or Government Vehicle Other (GVO) mishaps resulting in $5000 or more government vehicle or government property damage, and/or injury/fatality of DoD-personnel; or a mishap caused by a GMV/GVO resulting in $5000 or more total damage including any private vehicle or private property damage, and/or injuries/fatalities to non-DoD personnel.

i. Any mishap involving Helicopter Rope Suspension Technique (HRST), air cargo drop, and/or parachuting, regardless of damage costs or extent of injuries.

j. All reportable work-related injury and illness mishaps involving a contractor, where DoN provided direct supervision of the contractor, the mishap was caused wholly or in part by DoD operations, and DON has the means to affect change to prevent reoccurrence of the mishap. See Glossary G-1, “Contractor Mishaps.”

k. Any medically diagnosed work-related illness and injury, such as cumulative trauma disorder or musculoskeletal disease, whether or not involving further medical treatment or any time away from work.

l. Work-related Significant Threshold Shift (STS) in hearing averaging 10 dB or more at 2000, 3000, and 4000 Hz in one or both ears, and the person’s total hearing level is 25 decibels or more above audiometric zero in the same ears (averaged at 2000, 3000, 4000 Hz) when an audiologist, otologist, or occupational medicine physician confirms the shift is toward deteriorated hearing, is permanent, and is considered to be of occupational origin. Per reference 3i, age corrections shall not be used for calculating reportable hearing loss. That loss shall only be reported once unless an additional reportable loss of hearing is incurred. When a reportable hearing loss occurs from an instantaneous event (e.g., acoustic trauma from a one-time blast or over-pressure) the hearing loss shall be reported as an injury.

m. Any work-related needle stick injury or cut from a sharp object that is contaminated with another person’s blood or other potentially infectious material.

n. Work-related tuberculosis infection, as evidenced by a positive skin test or diagnosis by a physician or other licensed health care professional, after exposure to a known case of active tuberculosis.

o. Any case requiring a military member or civilian employee to be medically removed under the requirements of an OSH health standard, as defined in references 3i, 3j, 3k and 3l.

3005. NON-REPORTABLE MISHAPS. The following mishaps need not be investigated, recorded, or reported per reference 3c, under this manual. However, for DON civilians, if these mishaps are considered to have occurred in the performance of duty under provisions of Federal Employee Compensation Act (FECA), they are considered reportable to the Department of Labor (DOL)/OSHA.

1. Mishaps associated with naval nuclear propulsion plants per references 3a, 3q, 3r, 3s and 3t. However, mishaps associated with the secondary side of naval nuclear propulsion plant or non-nuclear components are reportable per this manual.

2. Mishaps involving nuclear weapons.

3. Damage or injury by direct action of an enemy or hostile force. This does not include suspected cases of friendly fire.

4. Intentional, controlled jettison or release, during flight, of canopies, cargo, doors, drag chutes, hatches, life rafts, auxiliary fuel tanks, missiles, target drones, rockets, conventional munitions, and externally carried equipment not essential to flight, when there is no injury, no reportable damage to the aircraft or other property, and, in the case of missiles, drones, or munitions, when the reason for jettison is not a malfunction of the launch or release system. See references 3g and 3h for malfunction or deficiency reporting. Navy activities holding Marine Corps Class V (W), and Marine Corps activities will submit reports of all missing, lost, stolen or recovered arms, ammunition and explosives (AA&E) per reference 3u.

5. Replacement of component parts due to normal wear and tear, and when any associated damage is confined to the component part. This exemption only applies to items that are normally used until they fail or until predetermined wear limits are reached. Replacement need may not be evident until malfunction or failure of the part.

6. Injuries associated with non-occupational diseases, when the disease, not the injury, is the proximate cause of the lost time, such as diabetes and its resultant complications, such as loss of vision. Complications of the injury (such as the infection of a cut aggravated by a work-related activity) that result in lost time are reportable.

7. Attempted or consummated suicide, homicide, or intentionally self-inflicted injuries; e.g., Russian roulette, hanging, overdose (except alcohol), etc. However, notification of these types of death to COMNAVSAFECEN is required, per paragraphs 1005.7g, 1005.8a and 3002.1. Submission of a mishap report is not required.

8. Injuries resulting from altercations, attack, or assault, unless incurred in the performance of official duties.

9. Injuries sustained before entry into military service or employment by the United States government, unless specifically aggravated by current tenure of service.

10. Hospitalization for treatment where the patient is retained beyond the day of admission solely for administrative reasons.

11. Hospitalization for observation or administrative reasons not related to the immediate injury or occupational illness.

12. Injuries that result from the following:

a. Pre-existing musculoskeletal disorders unless aggravated or accelerated by federal employment, as determined by a medical authority.

b. Minimum stress and strain (simple, natural, and nonviolent body positions or actions, as in dressing, sleeping, coughing, or sneezing), those injuries unrelated to mishap-producing agents or environments normally associated with active participation in daily work or recreation.

13. Injuries or fatalities to persons in the act of escaping from or eluding military or civilian custody or arrest.

14. Death due to natural causes that are unrelated to the work environment.

15. Intentional or expected damage to DoD equipment or property incurred during authorized testing or combat training, including missile and ordnance firing. Review reference 3g for weapons firing reports and other requirements.

16. Foreign object damage to aircraft, air-breathing missiles, or drone/Unmanned Aerial Vehicle (UAV) engines discovered during scheduled engine disassembly.

17. Property damage, death, or injury as a result of vandalism, riots, civil disorders, sabotage, terrorist activities, or criminal acts, such as arson. The exception is for occupationally related death or injury to emergency responders in the performance of their duties.

18. Adverse bodily reactions resulting directly from the use of drugs under the direction of competent medical authority.

19. Death or injury resulting solely from illegal use of drugs or other substances. This shall not preclude reporting motor vehicle mishaps in which the use of alcohol was a contributing factor.

20. Normal residual damage as a result of a missile launch.

21. Contractor mishaps, for contractor’s not under direct DON supervision or caused solely by contractor operations, as defined in Glossary G-1 “Contractor Mishap.”

22. First aid treatment for a work-related injury, as defined in Glossary G-1 “First Aid”.

3006. COMBAT ZONE REPORTING

1. Mishap reporting in a combat zone is extremely important because of the uniqueness of wartime operations and the difficulty in capturing useful information. There is no second chance for timely collection of mishap data in a combat or hostile environment.

2. Initial notification of an incident, casualty, or material damage of DoD or non-DoD property from the CZ shall be reported by the PCR, OPREP-3 or SITREP in accordance with references 3d, 3e, 3i, 3j, 3k and 3l. Additionally, commands are to ensure COMNAVSAFECEN NORFOLK VA//00/02/10/30/40/60/90// is an INFO addressee on the PCR, OPREP-3 or SITREP. COMNAVSAFECEN will review and extract pertinent information for database entry. This provides the means to track an incident or casualty until final deposition.

3. The controlling command shall review PCRs, OPREP-3s and SITREPs to determine whether the incident or casualty was the result of direct enemy action (DEA) or is a mishap, regardless of whether the incident or casualty is reported as hostile or non-hostile. The controlling command shall contact the appropriate subordinate command to establish the requirements for CZ reporting. Upon this notification, the mishap command will have 30 days to submit a CZ report, Figure 5-7. Commands within the area identified as the CZ who submit a CZ report, are not obligated to provide a SIREP unless the unit commander establishes a Safety Investigation Board (SIB).

4. Marine Corps Only. The controlling command will task the forward deployed division level headquarters to enter the CZ report data via electronic reporting as discussed in paragraph 3007.

3007. ELECTRONIC REPORTING. A web-enabled data collection system has been developed to allow submission of all recordable/reportable mishaps by electronic means. Although Chapter 5 provides the naval message format for a SIREP, electronic reporting is to be used as the equivalent of the SIREP to alleviate administrative burden, ease routing, and provide timely access to data reports.

1. Web-Enabled Safety System (WESS). All Navy and Marine Corps recordable/reportable mishaps shall be reported using WESS. WESS provides data fields matching the information required in the SIREP format, for the applicable mishap types.

a. The WESS system will automatically indicate which SIREP data elements are required for entry based on the selected classification, type of mishap, and reporting activity.

b. The WESS system is password protected. To allow for local management of access to WESS mishap reporting and data retrieval, each Navy and Marine Corps command or activity will:

(1) Designate an individual(s) to serve as their Safety Authority (SA). This is typically the safety manager, safety officer, executive officer, regional safety manager, etc., who manages WESS mishap reporting for one or more commands or activities.

(2) Provide the name, rank/rate/grade, and position title of the designated SA, by naval message or on command letterhead,

to COMNAVSAFECEN. The command or activity's SA will then be electronically recorded as having permission to approve WESS account applications for personnel under their cognizance.

c. Any requests for WESS accounts and passwords from a command or activity will go through the SA for approval and then will be forwarded to COMNAVSAFECEN for account creation and password issuance.

d. If a command or activity does not have a designated SA on file, account requests will be reviewed and approved by COMNAVSAFECEN Delegated Administrators (DAs).

e. The command or activity, through their SA, will manage the access, notifications, release authority, routing, and report permissions given to their personnel for WESS use at their activity.

(1) Everyone within a command, activity or chain of command using WESS for initiating entries, report completion, review, endorsement, approval, or editing of records or reports must have their own account to access the system.

(2) WESS has functions allowing reports to be saved, retained in the system, routed within the command or activity, edited or approved by authorized personnel within the submitting command or activity, released or submitted electronically, and provide notification to the chain of command of released reports. Commands and activities are encouraged to establish their own review, approval, release, and notification policies for WESS reports by local directive or notice.

f. WESS entries should be made as frequently as feasible to ensure data are entered and available for retrieval. Where connectivity with internet service is intermittent, WESS has a function to allow partial entries to be entered and saved, then re-accessed, completed, and transmitted to COMNAVSAFECEN at the next opportunity for internet connectivity.

g. For any submarines, ships, and field units that have no consistent or reliable internet connectivity, the off-line data entry WESS disconnected system (WESS-DS) in Microsoft Access 2000 format, is available on CD by mail or can be downloaded from the COMNAVSAFECEN web site.

(1) When requesting a password, users must indicate if WESS-DS is desired. Their account mailing address will be used to distribute updates and revisions.

(2) Since most afloat and field units have at least routine e-mail access, WESS-DS will be used to enter and submit reports, which will then be sent via an e-mail interface when e-mail transmission capability is available.

(3) WESS-DS users may use either the on-line systems when available, with their password, or the off-line system loaded on a military ("dot.mil") computer. Reports submitted by WESS-DS will be available on-line for future retrieval and editing.

(4) WESS-DS logs and reports may be saved for local retention. Once internet connectivity is available, they may download WESS reports and logs on-line from the WESS database.

h. Since all mishap reports must be submitted within 30 days of mishap occurrence, units lacking e-mail and internet access to submit timely reports using WESS or WESS-DS should submit those SIREPs via naval message. COMNAVSAFECEN personnel will enter data from the SIREP message into the WESS database after quality assurance checks.

i. If a submitted report must be changed or amended, WESS provides instructions for searching for a WESS report, using the original locally assigned serial number, date of mishap, and/or involved UIC/RUC/MCC. For information gained after submitting the WESS data, commands and activities shall amend or edit the original record in WESS (retrieving the record using the same serial number).

j. Data from submitted reports is electronically transmitted to COMNAVSAFECEN, where it is reviewed for quality assurance purposes (data is validated and narratives checked to remove personal identifiers) and entered into the consolidated database.

(1) Entered data may be retrieved as data reports and logs directly from WESS on-line and maintained locally either in hard copy format or electronically.

(2) WESS provides a selection of pre-formatted report types for download or printing, as well as a function for creating custom reports. Reports and Injury Logs may also be

retrieved in PDF format prior to submission after drafting in WESS.

k. WESS has a feature to route reports upon submission.

(1) Reports can be routed to specific e-mail addressees or to a Community of Interest (COI). A COI can be the chain of command, to provide a copy of the mishap report, or a larger group who may have particular interest in the lessons learned. The activity or command can select from pre-determined COIs in WESS.

(2) Activities and commands using WESS-DS may add any number of addressees to the outgoing e-mail, which transmits the report upon submission, or send a separate e-mail with the text file attached.

l. Any WESS user with an account and locally granted permission may download non-privileged, pre-formatted or custom mishap data reports, tables, queries, and graphs for any UIC/RUC/MCC. Activities may also download or print logs and OSHA equivalent reports, as discussed in paragraph 3008.

(1) The WESS Help link may be used to request additional data, or tailored reports, if certain data is not available through the pre-formatted or custom reports in WESS.

(2) Activities or commands requiring access to the complete WESS database for ad-hoc queries, including all Privacy Act and privileged data, must request specific permission for that access. Requests for access shall be made to COMNAVSAFECEN as part of the request for a WESS account process.

2. Initial Class A/B Notification reports, as required by section 3002.1, may be made using WESS in lieu of or in addition to phone calls. All applicable sections of the abbreviated Initial Class A/B Notification Report are to be completed and the report submitted immediately to COMNAVSAFECEN.

3. Reports and endorsements prepared as the result of a SIB will be made using WESS or by naval message using the formats in Figures 5-2 through 5-6.

4. Information on requesting a WESS account and the WESS Users' Guide is available on the COMNAVSAFECEN web site at www.safetycenter.navy.mil, under On-Line Mishap Reporting.

3008. LOGS OF WORK-RELATED ILLNESSES AND INJURIES. References 3h, 3i, 3k and 3m require a log (automated or manual) be maintained for on-duty civilian personnel of all work-related illnesses and injuries beyond first aid treatment, as indicated in paragraph 3004. A similar log must be maintained for on- and off-duty military personnel. Reference 3j requires a similar log for military personnel afloat. All log entries will be reported via WESS or WESS-DS, if feasible, so that they can be downloaded, accessed, and/or maintained electronically as the activity's or command's Log of Work-Related Injuries and Illnesses Log.

1. Work-related injuries and occupational illnesses, as defined in paragraph 3004, shall be reported using WESS.

a. WESS entries serve as the activity work-related illness and injury log to meet the requirements of references 3h, 3j and 3m.

b. The report function in WESS allows the required separate civilian on-duty, military on-duty, and military off-duty Log of Work-Related Injuries and Illnesses (OSHA Form 300 or equivalent), and the Summary of Work-Related Injuries and Illnesses (OSHA Form 300A or equivalent), to be downloaded or printed off by the activity as needed. The Injury Log entry may also be printed off in PDF from WESS or as a text file from WESS-DS.

(1) Activity or command designated personnel shall initiate entries into WESS for work-related reportable injuries and illnesses per paragraph 3004. WESS and WESS-DS allows printing or electronic routing of PDF or text log reports, featured in WESS, to notify appropriate personnel within the command.

(2) Ensure that civilian and military entries, on the Log of Work-Related Injuries and Illnesses, are maintained as separate logs when downloading or printing from WESS.

(3) The Injury Log Entry feature in WESS may be used to replace the Afloat Injury Report discussed in reference 3j. WESS and WESS-DS allows printing or electronic routing of data

entered as an injury log to notify the commanding officer and the safety officer of the mishap, and for entry into the Deck Log.

2. Log entries for the work-related injury portion of the WESS or WESS-DS report must be made within six working days of notification of the mishap. Commands and activities have 30 days from the date of the mishap to submit the completed WESS or WESS-DS report or SIREP.

3. If WESS and WESS-DS are not available to maintain an electronic Log of Work-Related Injuries and Illnesses, figure 3-1 lists the minimum required information to create a hard copy log.

3009. ANNUAL SUMMARY OF NAVY AND MARINE CORPS WORK-RELATED INJURIES AND ILLNESSES

1. A Summary of Work-Related Injuries and Illnesses for civilians shall be printed annually for the preceding calendar year, no later than 45 days after the end of that calendar year, and posted in a conspicuous location for 3 months. The requirement, from references 3h and 3m, is applicable to all Marine Corps and Navy commands employing civilian personnel. Summaries for military personnel are optional, but must be separate from civilian summaries.

2. The commander, commanding officer, or officer–in-charge must certify that he or she has examined the Log of Work-Related Injuries and Illnesses and reasonably believes, based on his or her knowledge of the process by which the information was recorded, that the annual summary are correct and complete. The commander, commanding officer, or officer-in-charge must sign and date each annual summary before posting.

3. When posted, ensure the summary is not altered, defaced, or covered by other material. Figure 3-2 lists the minimum required information that is required for the annual Summary of Work-Related Injuries and Illnesses. These summaries may be printed from the pre-formatted reports section of WESS.

3010. FOR OFFICIAL USE ONLY (FOUO). SIREP, work-related illness and injury logs, mishap records, files and summaries are FOUO documents that may contain personal information and shall be handled per reference 3v.

3011. MISHAP RECORDS RETENTION PERIOD

1. All SIREPs, work-related illness and injury logs, mishap records, and files, and summaries shall be retained for at least five years following the end of the calendar year in which they occurred per reference 3m. These records may be retained in electronic or hard copy format. For records readily available through WESS, local electronic or hard copy records retention is optional or as directed by local instruction or order.

2. Whenever possible, such parts of the mishap report held by COMNAVSAFECEN, available in hard-copy format only, should be converted to electronic format before destruction of the hard copies. The entire electronic file shall be maintained by COMNAVSAFECEN for at least 30 years, or until the end of the life cycle of the system involved in the mishap. At that time, the entire file shall be transferred to the Naval Historical Center.

3. Upon completion of the SIREP by an SIB, members shall not retain any notes pertaining to the investigation. All statements, diagrams, photographs, notes, etc., acquired or created by a SIB during the investigation, shall be forwarded to and retained by COMNAVSAFECEN.

4. Upon completion of any safety investigation, activities and commands shall destroy any privileged materials gathered during that investigation.

5. Service and health records shall be handled per references 3w and 3x.

3012. SAFETY RECORDS ACCESS

1. Unrestricted access to SIREPs, occupational illness and injury logs, mishap, records, and files, and summaries extends to:

(a) CMC (SD) and COMNAVSAFECEN personnel.

(b) The command or activity that originated the record.

2. Non-privileged and non-Privacy Act WESS data is accessible to WESS account holders. Ad-hoc query access to the entire WESS

database will be granted to Fleet, SYSCOM, and TYCOM safety staffs, and others as requested by the chain of command.

3. The dissemination of safety information is discussed in Chapter 7.

3013. REFERENCES

3a. OPNAVINST 3100.6G, Special Incident Reporting (OPREP-3, Navy Blue, and UNIT SITREP Procedures)

3b. BUPERSINST 1770.3, Personnel Casualty Procedures Manual

3c. MILPERSMAN 1770010, Navy Military Personnel Manual

3d. MCO P3040.4D, Marine Corps Causality Procedure Manual

3e. MCO 5740.2F, Serious Incident Reports (SIR)

3f. OPNAVINST 5100.27/MCO 5104.1A, Navy Laser Hazards Control Program

3g. OPNAVINST 8000.16B, The Naval Ordnance Maintenance Management Program (NOMMP)

3h. MCO P8025.1D, Class V (W) Malfunction and Defect Reporting

3i. OPNAVINST 5100.23F, Navy Occupational Safety and Health Program Manual

3j. OPNAVINST 5100.19D, Navy Occupational Safety and Health Program Manual for Forces Afloat

3k. MCO P5100.8F, Marine Corps Occupational Safety and Health Program

3l. MCO 6200.1E, Marine Corps Heat Injury Prevention Program

3m. DOD Instruction 6055.7 of 3 Oct 00, Accident investigation, Reporting, and Record Keeping

3n. 29 CFR Part 1960, Subpart I, as amended to adopt elements of 29 CFR Part 1904, Recording and Reporting of Occupational Injury and Illness.

3o. OPNAVINST 1500.75, Safety Policies and Procedures for Conducting High Risk Training.

3p. MCO 1553.2A, Management for Marine Corps Formal Schools and Training Centers.

3q. OPNAVINST 3040.5D, Procedures and Reporting Requirements for Nuclear Reactors and Radiological Accidents.

3r. NAVSEA Manual 389-0152, Water Chemistry Control.

3s. NAVSEA Manual 389-0288, Radiological Controls.

3t. NAVSEA Manual S9213-33-MMA-000/(V), Radiological Controls for Ships.

3u. OPNAVINST 5530.13C, Department of the Navy Physical Security Instruction for Conventional Arms, Ammunition and Explosives (AA&E).

3v. SECNAVINST 5510.36, Department of the Navy Information Security Program Regulation.

3w. MILPERSMAN 5030140 (Enlisted) and 5030141 (Officer), Navy Military Personnel Manual.

3x. MCO P1070.12K, Marine Corps Individual Record/ Administrative Manual.

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FIGURE 3-1

WORK-RELATED INJURY AND ILLNESS LOG
(OSHA FORM 300 EQUIVALENT)

A Work-Related Injury and Illness Log is required for all shore, ground, and afloat activities to track personnel mishaps. Data for all of the following fields are collected by WESS. The log, with the following fields in a pre-formatted report, may be printed out or downloaded from WESS, keeping civilian and military personnel as separate logs.

Civilian/military service
Local Serial, case or file number
Unit identification code (UIC/RUC/MCC)
Activity name

Last name, first name and middle initial
Sex
Age
Job title
Rank/Rate/Grade
Date of mishap
Time of mishap
General location of mishap
Narrative describing mishap without names/personal identifiers
Date of death, if fatality
Total days away from Work (start counting at the first full day after the mishap and include consecutive, calendar days)
Total days of Job Transfer or Restricted from Work (civilian)
Total Days of Light or Limited Duty (military)
Injury type
OSHA Code
Body part
Mishap type
Object involved (Injury source)

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FIGURE 3-2

ANNUAL SUMMARY OF WORK-RELATED INJURIES AND ILLNESSES

Data for all of the following fields, with the exception of the address, are collected by WESS. Upon accessing the pre-formatted WESS report, the address is filled in by the activity. The report, with the following fields, may be printed out from WESS. Separate reports are required for civilian and military personnel (military reports are optional).

UIC/RUC/MCC List all UICs/RUCs/MCCs included on this report with ISIC first)

ADDRESS (Complete mailing address of activity)

ACTIVITY DESCRIPTION:
- Industry or activity Description (depot, shipyard, staff, etc.)
- Annual average number of civilian employees/military personnel, as applicable
- Total hours worked by all civilian/military employees last year.

TOTAL NUMBER OF DEATHS
TOTAL NUMBER OF CASES WITH DAYS AWAY FROM WORK
TOTAL NUMBER OF CASES WITH JOB TRANSFER OR RESTRICTED WORK
TOTAL NUMBER OF OTHER RECORDABLE CASES

TOTAL NUMBER OF DAYS OF JOB TRANSFER OR RESTRICTED WORK
TOTAL NUMBER OF DAYS AWAY FROM WORK
TOTAL NUMBER OF:
- INJURIES
- SKIN DISORDERS
- RESPIRATORY CONDITIONS
- POISONINGS
- ALL OTHER OCCUPATIONAL ILLNESSES

Before posting, the WESS printed version or locally produced version of this report must be signed and dated by the commander, commanding officer, or officer-in-charge.

NOTE: For military personnel, days of light or limited duty are the equivalent of civilian days of job transfer or restricted work.

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CHAPTER 4

HAZARD REPORTS

4000. INFORMATION. A hazard is an unsafe act or condition, such as a flaw in established work procedures; training deficiency, or the design, manufacture, or use of a piece of equipment with the potential to cause injury or damage. Units are strongly encouraged to investigate and submit a HAZREP on significant hazardous conditions or near-mishaps that have the potential to affect other commands but do not warrant submission of a Safety Investigation Report (SIREP). Notifying Commander, Naval Safety Center (COMNAVSAFECEN), Commandant of the Marine Corps, Safety Division (CMC (SD)), and their chain of command of these hazards allows for widespread dissemination.

4001. PURPOSE. This chapter defines a Hazard Report (HAZREP) and provides a means for a unit discovering a hazardous condition or experiencing a near-mishap to alert COMNAVSAFECEN and HQMC (SD), when appropriate. HAZREPs do not replace Hazard Abatement Program requirements per references 4a, 4b, and 4c.

4002. HAZARD IDENTIFICATION AND ASSESSMENT

1. Some methods used in anticipating or identifying hazards before a mishap occurs include: analysis of mishap data, observation and investigation of near mishaps, reports of unsafe acts or hazards by personnel, safety inspections, industrial hygiene surveys and job hazard analysis or the review of procedures and operations.

2. Once the hazard is identified, it is assessed according to mishap probability of occurrence and severity of injury or damage and assigned a Risk Assessment Code (RAC) using Glossary G-4, “Risk Assessment Code.”

4003. REPORTING GUIDELINES

1. A HAZREP is intended to be submitted when the elimination and control of a given hazard has community-wide implication in reducing mishaps. Providing information on problems with widespread relevance will help reduce mishaps.

2. HAZREPs are submitted electronically, using the WESS system or by naval message using Figure 5-2, for the following:

a. A hazard or near-mishap and the recommended remedial or corrective action taken to eliminate the hazard.

b. A previously unrecognized hazard so that another agency may determine appropriate corrective action to eliminate the hazard.

c. A significant, unexpected, or unusual occupational overexposure, as the result of industrial hygiene assessments of industrial processes or operations, to bring that potential exposure to the attention of medical and safety authorities and others.

d. Afloat electrical shock incidents where the mishap did not result in any medical treatment or injury/fatality and where it was determined that the shock was caused by equipment design.

e. Afloat man overboard mishaps while underway where the mishap did not result in a recordable/reportable injury/fatality.

f. Any other unusual hazard discovered during maintenance, repair, inspections, or evolutions where notifying other activities may prevent future mishaps.

3. If a Safety Investigation Board (SIB) discovers a hazard that warrants immediate widespread dissemination, the senior member will prepare and submit a HAZREP.

4. If an SIB discovers a hazard unrelated to the mishap that warrants immediate widespread dissemination, the unit will prepare and submit the HAZREP.

4004. SUBMISSION GUIDELINES

1. Commanders, commanding officers, and officers-in-charge should ensure investigation and submission of a HAZREP on hazardous conditions or near-mishaps that may affect other commands but do not warrant submission of a SIREP. HAZREP does not replace a SIREP for reportable mishaps.

2. HAZREPs are not privileged. Do not give promises of confidentiality. Although the Navy and Marine Corps use HAZREPs

only for safety purposes, the contents may be divulged to outside agencies in response to Freedom of Information Act (FOIA) requests. Avoid the identification of specific individuals.

3. HAZREPs related to aviation are reported per reference 4d.

4. HAZREP is usually unclassified. Omit any portion of the report that warrants classification and substitute the word “CLASSIFIED” in its place and submit a classified supplement. In the unlikely event that a meaningful unclassified hazard report cannot be produced, submit a classified report.

5. HAZREP is For Official Use Only (FOUO) per reference 4e.

6. The HAZREP should be submitted electronically using the Web-Enabled Safety System (WESS), per paragraph 3007, if feasible. If submitting via naval message, the format for submitting a HAZREP is the same as a SIREP, as provided in Figure 5-2. Complete only those portions of the format applicable to the hazard and ensure the subject line indicates it is a HAZREP.

7. Re-addressing and redistributing HAZREPs is at the discretion of COMNAVSAFECEN, CMC (SD), and the originating command’s chain of command.

4005. REFERENCES

4a. OPNAVINST 5100.23F, Navy Occupational Safety and Health Program Manual

4b. OPNAVINST 5100.19D, Navy Occupational Safety and Health Program Manual for Forces Afloat

4c. MCO 5100.8F, Marine Corps Occupational Safety and Health Program

4d. OPNAVINST 3750.6R, Naval Aviation Safety Program

4e. SECINST 5510. 36, Department of the Navy Information Security Program Regulations

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CHAPTER 5

SAFETY REPORTS

5000. INFORMATION. Mishaps that are reportable to Commander, Naval Safety Center (COMNAVSAFECEN) and Commandant of the Marine Corps, Safety Division (CMC (SD)) are discussed in Chapter 3. The Safety Investigation Report (SIREP) identifies the specific information or data elements required for deaths, injuries, or damage occurring in all reportable mishaps, the causes, and recommendations to prevent similar mishaps. Where a formal Safety Investigation Board (SIB) is involved, an expanded SIREP with cause information, recommended corrective actions, and endorsements is required. For near-mishaps and situations where lessons learned should be shared, Hazard Reports (HAZREPs) are appropriate.

5001. PURPOSE. This chapter defines the content of the SIREP, Safety Investigation Report Endorsement (SIRE), and HAZREP.

5002. SAFETY REPORT FORMATS

1. The Report Matrix, Figure 5-1, provides an overview of the types and circumstances under which safety reports are to be prepared and transmitted to COMNAVSAFECEN.

2. All SIREPs are submitted to COMNAVSAFECEN using the Web-Enabled Safety System (WESS). The format required for the type and severity of report is automatically presented by the web-enabled system. If internet connectivity to WESS is inconsistent and unreliable for timely submission of reports, the off-line WESS-DS via e-mail is available. If e-mail capability for WESS-DS is unavailable for timely submission of reports, use Figure 5-2 Part A, via naval message, as your alternate mishap reporting method.

3. An SIB will use WESS for the investigation report and endorsements. Otherwise, figure 5-2, Parts A and B may be used to submit a formal investigation report via message, and COMNAVSAFECEN will enter the data into WESS.

4. If using naval messages instead of WESS, for requesting a SIREP Extension, use message Figure 5-3; for SIREP endorsement message use Figure 5-4; and for the SIREP Inventory of Evidence

message use Figure 5-5. Details on the circumstances and content of these messages are discussed in Chapter 6.

5. Figure 5-6 provides a list of weapons and ordnance Address Indicator Groups (AIG) to use for a SIREP if sent by naval message, involving those materials as defined in Chapter 3. Using WESS, distribution is made by selecting a Community of Interest (COI) just prior to submission. If using WESS-DS, distribution is made by adding to the e-mail address list prior to submission to COMNAVSAFECEN.

6. Guidance for Combat Zone (CZ) reporting is provided in Chapter 3 and uses Figure 5-7 for reporting events. Combat Zone reports are available through WESS and WESS-DS.

7. The non-aviation HAZREP format is the same as the SIREP, provided as Figure 5-2, with only applicable information provided. WESS and WESS-DS may be used for HAZREPs.

8. Glossaries G-5 through G-7 provide lists of codes to be used, where indicated, in the various message reports to enhance standardization and retrieval of data. Similar, more extensive lists are used in WESS as standard selections.

5003. SAFETY INVESTIGATION REPORTS (SIREPs)

1. Submission Criteria. SIREPs are submitted for on- and off-duty mishaps as directed in Chapter 3 and Figure 5-1. Personnel Casualty Reports (PCRs), Serious Incident Reports (SIRs), and Operational Reports (OPREP-3s,) submitted according to references 5a through 5d, do not relieve a command from the requirement to submit a SIREP.

2. Submission Deadlines:

a. SIREPs prepared by a SIB, are to be submitted to the chain of command and COMNAVSAFECEN within 30 days of the mishap date using Figure 5-2. The senior member of the SIB can request an extension if there is a delay in initiating the investigation. If vital information (equipment analysis, autopsy, engineering investigations, etc.) is required for the SIB to complete the investigation, the senior member may request an extension from the controlling authority if there is a delay in obtaining information rather than submit an incomplete SIREP.

b. All other reportable mishaps are to be submitted via WESS, WESS-DS, or naval message, per chapter 3, not to exceed 30 days from the date of the mishap.

c. Log of Occupational Illnesses and Injuries entries must be initiated within six days of notification of the mishap, using WESS or WESS-DS. The additional data required for submission of the WESS report must be completed within 30 days of the mishap date.

d. If vital information (equipment analysis, engineering investigation, police reports, coroner's report, etc.) is required to complete the SIREP or WESS entry, the command shall submit the report on time, and note in the narrative that additional information will be available and when it is expected. Editing the previously submitted WESS report will provide additional information. WESS reports can be accessed through the original local serial number, date of mishap, and any involved UIC/RUC/MCC.

3. Distribution. For reports prepared by an SIB, include all endorsers and action agencies identified in the SIREP recommendations, and Fleet Commanders for afloat mishaps, as addressees, in either WESS routing or the naval message.

a. The Office of the Judge Advocate General (OJAG) and Staff Judge Advocates (SJA) shall not be addressee on any SIREP messages or endorsements nor shall copies be provided to them.

b. For an SIB conducted at non-Navy or non-Marine Corps locations, and if the other service component mishap command was not a member of the SIB or was not included on the SIREP endorsement chain, CNO (N09F) or CMC (SD) (as appropriate) shall release SIREP messages or WESS data to the non-Navy or non-Marine Corps activity via the component service's safety center for appropriate endorsements.

c. Distribution of SIREP messages to individuals is prohibited. See Chapter 7 for specific guidance for proper dissemination or release of mishap information or data.

d. SIREP messages are exempt from MINIMIZE restrictions.

4. Handling of SIREPS:

a. Do not append or include SIREPs in JAG investigations.

b. SIREPs are privileged and require special handling to ensure they are used solely for safety.

c. Recipients must control internal distribution of SIREPs as messages or WESS reports. Limit dissemination to those who require knowledge of the report for safety purposes. Unit-wide dissemination for general awareness is not authorized. Commands must work with message centers to properly configure electronic message dissemination systems to ensure only those requiring knowledge of their content, for safety purposes, are included in the distribution parameters. Commands will not distribute SIREPS to unauthorized commands.

d. Uncontrolled dissemination of SIREPs, which could result in access by those not requiring knowledge of their content for safety purposes, (such as placement in read boards, bulletin boards, etc.), is prohibited.

e. Controlled passing of SIREPS between individuals or within offices while in file folders is appropriate. This should help to ensure the contents are protected and disclosure limited to specific individuals who require knowledge of their contents for safety purposes.

f. SIREPs are For Official Use Only (FOUO) documents and shall be handled according to reference 5e.

g. Forwarding or e-mailing privileged or Privacy Act information outside the command is prohibited. WESS provides for a routing system to personnel with a WESS account to protect sensitive information.

5004. SIREP EXTENSIONS AND ENDORSEMENTS. Extensions and endorsements to SIREP messages shall be requested through WESS or in the formats in Figures 5-4 and 5-5. Detailed preparation of endorsements and determining the endorsement chain is provided in Chapter 6.

5005. REFERENCES

5a. OPNAVINST 3100.6G, Special Incident Reporting (OPREP-3, Navy Blue, and Unit SITREP Procedures)

5b. MILPERSMAN 1770010, Navy Military Personnel Manual

5c. MCO P3040.4D, Marine Corps Casualty Procedures Manual

5d. MCO 5740.2F, Serious Incident Report (SIR)

5e. SECNAVINST 5510.36, Department of the Navy Information Security Program Regulation

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FIGURE 5-1

MISHAP REPORTING MATRIX

1. The following mishaps are to be investigated by a Safety Investigation Board (SIB) and reported via WESS or naval message in the SIREP format, Figure 5-2:

MISHAP SEVERITY	APPLICABLE PERSONNEL	REPORT REQUIRED	DEADLINE
Class A: ➢ Fatality. ➢ PTD - Permanent Total Disability. ➢ Property Damage > $1M. **Other:** ➢ Fatality as result of medical event within 1 hour of PFA/PFT/PRT. ➢ Training-related fatality. ➢ All afloat Class A mishaps involving collision, fire, grounding and flooding. ➢ All Class B and C explosive mishaps, all ordnance impacting off range and all live fire mishaps. ➢ Selected other mishaps.	❖ On-Duty DoD Civilian Employees and Contractors Under DoD Supervision. ❖ On-Duty Military. ❖ On-Base Military.	WESS or SIREP Message	30 Days

2. The following mishaps are to be investigated by the command safety investigator and reported as a SIREP using WESS.

MISHAP SEVERITY	APPLICABLE PERSONNEL	REPORT REQUIRED	DEADLINE
Class B and C: ➢ Permanent Partial Disability. ➢ Hospitalization of 3 or more personnel. ➢ Property Damage > $20K but < $1M. ➢ Days away from work resulting from injury or occupational illness. **Other reportable mishaps:** ➢ Fatality of off-base, off-duty military. ➢ Fatality or permanent partial disability of non-DoD	❖ On-Duty DoD Civilian Employees and Contractors under direct DoD Supervision. ❖ On-/Off-Duty Military on or off base.	WESS, WESS-DS, or SIREP message if no e-mail access.	30 Days (6 days to initiate log entries for work-related injuries

guest or military dependent as result of DoD operation or evolution. ➢ Any parachuting, HRST, or cargo airdrop mishap. ➢ Any diving mishap resulting in hyperbaric treatment, CNS, oxygen toxicity, or POIs. ➢ Any GMV or GOV vehicle mishap causing $5K damage or injury/fatality. ➢ Injury or occupational illness resulting in medical treatment beyond first aid, loss of consciousness, light or limited duty, restricted days away from work, or removal from work due to OSH-related restriction. ➢ Occupational TB exposure. ➢ Work-related needle/sharps stick with suspected infectious material. ➢ Work-related Significant Threshold Shift (STS). ➢ Diagnosed occupational disease such as cumulative trauma disorder. ➢ Loss of 1 training day or rollback in a high-risk course. ➢ All explosive mishaps (as determined by para 1005.5.b. ➢ All other afloat groundings, collisions, fires, and flooding mishaps.	❖ On-Duty DoD Civilian Employees and Contractors under DoD Supervision. ❖ On-/Off-Duty Military on or off base.	WESS, WESS-DS, or SIREP message if no e-mail access.	or illnesses) 30 Days

3. The following hazards, in addition to those to be brought to outside attention, are to be reported as a HAZREP using WESS.

MISHAP SEVERITY	APPLICABLE PERSONNEL	REPORT REQUIRED	DEADLINE
➢ Electrical shock afloat from a design deficiency (no injury). ➢ Man-overboard mishaps underway	❖ On-Duty Military and Civilian Employees	HAZREP using WESS, WESS-DS	None

with no injury. ➢ * All identified hazards where information is valuable if shared with community of interest or all Navy/Marine Corps.		or HAZREP message in no e-mail access	

FIGURE 5-2
SAFETY INVESTIGATION REPORT (SIREP) AND HAZARD REPORT (HAZREP)
MASTER MESSAGE FORMAT

This consolidated sample message format was developed to collect pertinent data on Navy/Marine Corps reportable and lessons learned incidents and hazards. The specific data elements that are required for the various incidents are indicated at the beginning of each format section – choose and complete all that apply.

Submit all available information and follow-up with supplementary reports, as necessary, to supply missing information, as it becomes available.

IF THE REQUESTED DATA DOES NOT APPLY, IS NOT RELEVANT TO THE INCIDENT, OR IS UNKNOWN, INSERT ***"NOT APPLICABLE" - "N/A" -*** *OR* ***"UNKNOWN" - "UNK,"*** *AS APPROPRIATE.*

A Part A SIREP is required for all Navy/Marine Corps reportable mishaps, as detailed in Chapter 3. Reporting via WESS satisfies all requirements for Parts A and B of this SIREP message.

This message format may be used by any Navy or Marine Corps activity that is unable to use WESS electronic reporting, per Chapter 3, or are unable to use the off-line (WESS-DS) reporting system due to a lack of e-mail access for timely reporting.

The HAZREP is to be used for all non-aviation Navy/Marine Corps reportable hazards, as detailed in Chapter 4. Complete all applicable portions of this same format for the HAZREP.

Glossaries G-1 and G-2 provide definitions and explanations for terms and acronyms found in the SIREP. Glossaries G-3 through G-7 provide lists of standard values for annotated fields.

Safety Investigation Boards (SIBs) will use WESS, or complete both parts A and B of the SIREP and submit it and all endorsements by naval message.

THE FIRST SECTION OF THIS REPORT REQUESTS
GENERAL INFORMATION AND IS TO BE COMPLETED
FOR THE OVERALL MISHAP EVENT OR HAZARD.
INDICATE N/A FOR ANY ITEM NOT APPLICABLE TO THE EVENT.

(Precedence - normally routine)

FM *(Reporting Activity)*
TO COMNAVSAFECEN NORFOLK VA//00/04/30/40/50/60/90//
INFO *(As desired, directed, or requested by higher authority)*
CNO WASHINGTON DC//N09// *(LCAC only)*
CMC WASHINGTON DC//SD// *(USMC only)*
(AND FLEET COMMANDER FOR AFLOAT MISHAPS)
(AND USE APPROPRIATE ORDNANCE AIG, SEE FIGURE 5-6)
(FOR SIB ENDORSEMENTS INCLUDE:
CG MARCORSYSCOM AMMO (USMC explosive mishaps only)
NAVORDSAFSECACT MD//00/09/N7// (ALL EXPLOSIVE MISHAPS))
UNCLAS FOUO //N05102//
MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//
SUBJ/SAFETY INVESTIGATION REPORT/REPORT SYMBOL 5102-7//
OR
SUBJ/HAZARD REPORT/REPORT SYMBOL 5102-8//
REF/A/ *(Reference any unit SITREP, CASREP, OPREP 3, PCR, associated SIREP or HAZREP concerning the incident) //*
USE GENADMIN FORMAT PROCEDURES
NARR/REF/A IS ____. REF B IS OPNAVINST 5102.1D/MCO P5102.1B.

//
THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A PRIVILEGED, LIMITED USE CONTROLLED DISTRIBUTION, SAFETY INVESTIGATION REPORT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT BY MILITARY PERSONNEL IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT BY CIVILIAN PERSONNEL WILL SUBJECT THEM TO DISCIPLINARY ACTION UNDER CIVILIAN PERSONNEL INSTRUCTION 752.
//

POC/NAME/RANK,RATE,GRADE/UIC/PRIMARY PHONE/SECONDARY PHONE/DSN PREFIX/EMAIL//
RMKS/PART A NON-PRIVILEGED GENERAL INFORMATION
A. GENERAL INFORMATION:
1. REPORTING ACTIVITY UIC/RUC/MCC:
2. SERIAL NUMBER ASSIGNED BY THE REPORTING COMMAND: The report serial number is locally assigned for explosive mishaps or ordnance deficiencies and is comprised of the UIC or MCC/RUC-YEAR-sequential number. For aviation, the report serial number is obtained from the activities quality assurance workshop. The report serial number is

locally assigned for personnel injury and all other mishaps.)

3. LOCAL TIME OF MISHAP: *(Example: 1630)*

4. DAY AND DATE OF MISHAP: *(Example: Tuesday, 24 March 2003)*

5. TYPE OR CATEGORY OF MISHAP EVENT: (Example: fire, flooding, collision, exposure to chemicals, heat stress, cold injury, electrical shock, etc.)

6. LOCATION OF MISHAP EVENT:

7. MISHAP NARRATIVE/LESSONS LEARNED/RECOMMENDATIONS: *(Complete explanation of the mishap answering who, what, when and where questions. Do not include personal identifiers or Privacy Act protected information. If applicable, provide lessons learned and any recommendations for prevention).*

8. JAG INVESTIGATION STATUS: *REQUESTED, PENDING OR COMPLETE?*

9. ENGINEERING INVESTIGATION STATUS: *REQUESTED, PENDING, COMPLETE OR N/A? (summarize EI findings)*

10. CLASSIFIED SUPPLEMENT SUBMITTED: *YES/NO/NA*

11. MISHAP EVENT CAUSE CODE APPLICABLE TO THE OVERALL MISHAP: *(See Glossary G-7, choose one that applies to the mishap overall. Other cause codes will be requested for each item of damaged equipment and each person involved, as applicable.)*

12. TRAINING COURSE IDENTIFICATION NUMBER/COURSE IDENTIFICATION: *(CIN/CID) (if the mishap occurred during formal training)*

13. TYPE OF VESSEL/HULL NUMBER: *(surface ship, sub, small craft, sailboat, canoe, rowboat, etc.)*

14. VESSEL UIC:

15. SHIP/SUB/CRAFT STATUS: *(underway, moored, anchored, submerged, or dry docked)*

16. ON OR OFF GOVERNMENT VESSEL, BASE OR DOD INSTALLATION:

17. UIC/RUC/MCC WHERE MISHAP OCCURRED, IF ON GOV'T PROPERTY:

18. SHIP/SUB OR CRAFT: *(N/A all if occurred ashore)*

- **(A) TYPE OF MISHAP:** *(collision, aground, fire, etc.)*
- **(B) PORT:**
- **(C) AREA NAME/BODY OF WATER:** *(Example: JAX OPS, Cherry Point OPS, North Atlantic, Panama, New York City, etc. If operating area is classified, indicate an unclassified general area description.)*
- **(D) LATITUDE:**
- **(E) LONGITUDE:**
- **(F) RESTRICTED WATERS:** *(Yes/No)*.

19. UNIT EMPLOYMENT: *(Complete all that apply)*

(A) PROVIDE EXERCISE OR OPERATION NAME, IF APPLICABLE: *(Do not disclose classified data.)*

(B) DATE LEFT HOME PORT AND/OR DATE LEFT LAST PORT:

(C) GENERAL STATUS: *(Include as applicable: underway, moored, anchored, submerged, dry-docked, training, refit, support activity, etc and provide exercise or operation name.)*

(D) SPECIFIC UNIT EVOLUTION: *(Example: surfacing, force-on-force training, beach approach, vertical or underway replenishment, refueling, weapons exercise and type, surface supplied diving, scuba ops, BECCES, drills, mooring, getting underway, on-cushion approach to beach, tores load, in-flight, taxiing, parked, in hanger, etc.)*

(E) PAYLOAD (LCAC OR LANDING CRAFT):

(1) TYPE CARGO: *(Example: Fuel, ammunition, dry goods, hazardous materials, etc.)*

(2) LOAD WEIGHT: (In tons)

(F) SMALL CRAFT TYPE: *(Example: RHIB, gig, sail boat, etc.)*

(1) SIZE OF BOAT (FT):

(2) HORSEPOWER:

(3) BOAT MANUFACTURER, MAKE AND MODEL:

(4) LOAD CAPACITY (LBS):

20. UNIT CHAIN OF COMMAND AS ASSIGNED DURING MISHAP:

(A) WAS THE UNIT DEPLOYED: *(YES/NO)*

(B) USN UNIT ECHELON 2 OR MAJOR CLAIMANT:

(C) USN UNIT ECHELON 3 OR TYCOM:

(D) USMC:

(1) COMPONENT COMMAND:

(2) MAJOR COMMAND:

(3) PARENT COMMAND:

(4) UNIT COMMAND:

(5) COMPANY OR DEPARTMENT:

21. MISHAP ENVIRONMENT: *(Complete all that apply)*

(A) SEA STATE AND DIRECTION: *(Use Beaufort scale.)*

(B) WIND DIRECTION AND SPEED: *(In knots)*

(C) AIR TEMPERATURE: *(Fahrenheit)*

(D) WATER TEMPERATURE: *(Fahrenheit)*

(E) VISIBILITY: *(Unrestricted/restricted in distance, feet, yards, miles)*

(F) VISIBILITY REDUCED BY: *(Fog, smoke, sandstorm, rain, snow, sleet, etc.)*

(G) LIGHTNING: *(Yes/No)*

(H) CUMULATIVE PRECIPITATION: *(24 hours prior)*

(I) LIGHTING CONDITIONS/AVAILABILITY AT SITE OF MISHAP: *(Adequate or inadequate)*

(J) NOISE LEVEL A FACTOR: *YES/NO/NA*

(K) SOURCE OF FIRE/COMBUSTION:

(L) WET BULB GLOBE TEMPERATURE (WBGT) READING IN DEGREES FAHRENHEIT: *(for heat stress injuries only)*

(M) WAS A CARBON MONOXIDE A FACTOR: *YES/NO (pertains to USN/MC housing).*

(1) CO ALARM MANUFACTURER:

(2) CO ALARM MAKE AND MODEL:

(3) CO ALARM LAST TESTED ON (DATE):

(4) LAST CO ALARM INSPECTION ON MAINTENANCE SCHEDULE:

22. SAFETY SPECIALIST INFORMATION: *(USMC ONLY)*

(A) LIST COURSE AND DATE SAFETY OFFICER/MANAGER ATTENDED SAFETY TRAINING: *(Example (MMDDYYYY): Marine Corps ground safety course - 04012003, aviation safety officer course – 05102002, etc.)*

(B) RANK/RATE/GS RATING OF SAFETY OFFICER/MANAGER:

(C) DATE OF LAST INSPECTION: *(MMDDYYYY)*

(D) TYPE OF LAST INSPECTION*: (Example: IG, INSURV, ISIC, ESI, etc.)*

COMPLETE ALL THE ADDITIONAL SECTIONS THAT APPLY AND RENUMBER THE MESSAGE PARAGRAPHS ACCORDINGLY:

IF THE MISHAP INVOLVED ANY PERSONNEL, GO TO PERS SECTION AND COMPLETE.

IF THE MISHAP INVOLVED MATERIAL DAMAGE, GO TO DAMAGE SECTION AND COMPLETE.

IF THE MISHAP INVOLVED A MOTOR VEHICLE, GO TO MV SECTION AND COMPLETE.

IF THE MISHAP INVOLVED DIVING, GO TO DIVE SECTION AND COMPLETE.

IF THE MISHAP INVOLVED PARACHUTING, GO TO PARA SECTION AND COMPLETE.

IF THE MISHAP INVOLVED HELICOPTER ROPE SUSPENSION TECHNIQUES, GO TO HRST SECTION AND COMPLETE.

IF THE MISHAP INVOLVED A CARGO AIR DROP, GO TO CARGO SECTION AND COMPLETE.

IF THE MISHAP INVOLVED EXPLOSIVES, WEAPONS OR ORDNANCE, GO TO ORD SECTION AND COMPLETE.

For example, if a person was injured during a diving evolution, on-duty, from a dive boat, the SIREP must include the Ship/Sub/Craft Location and Unit Employment data, injured PERS section, and the DIVE section.

IF THE MISHAP WAS A CLASS A OR OTHER SELECTED MISHAP, WHERE A SAFETY INVESTIGATION BOARD (SIB) WAS RESPONSIBLE FOR COMPLETING THIS REPORT, THE PART B – PRIVILEGED INFORMATION SECTION MUST ALSO BE COMPLETED BY THE BOARD.

INVOLVED PERS SECTION

IF ANY PERSON WAS INVOLVED IN THE MISHAP, THEN COMPLETE ALL ITEMS IN THIS SECTION.

*(PARA LETTER)*__**PERSONNEL INVOLVED INFORMATION:** *(Repeat this section and number EACH person if there were multiple people involved. Select all that apply and renumber paragraphs, as applicable)*

1. NAME: *(Last name, first name, middle initial)*
2. SOCIAL SECURITY NUMBER: *(ONLY IF INJURED)*
3. DATE OF BIRTH:
4. SEX:
5. HEIGHT:
6. WEIGHT:
7. MARITAL STATUS: *(M/S/D) MILITARY ONLY*
(A) NUMBER OF DEPENDENTS, IF MILITARY IN MV MISHAP:
8. BADGE NUMBER: *(civilians only)*
9. WORK SHIFT: *(civilians only)*
10. SERVICE *(Example: USN, USMC, US Army, USAF, USCG, DLA, DMA, other Gov't Agency).*
11. SERVICE STATUS: *(Example: Active, Reserve-Active, Reserve-ready, foreign civilian, foreign mil, U.S. appropriated civilian, non-appropriated civilian, and non-DoD personnel)*
12. DUTY STATUS: *(On or off-duty)*
13. PAY GRADE: *(Example: O-4, E-3, GS-12, WG-06, etc.)*
14. RATING: *(If applicable, example: ASM, BM, MM, GM, YN, etc.)*
15. DESIGNATOR/NOBC/PRIMARY NEC (AND NEC AS RELATES TO EVENT)/MOS/CIVILIAN JOB SERIES: *(Example: 1120, HM-8404, 9956, GS-0018, etc.)*
16. FIRST LINE SUPERVISOR'S RANK/RATE/GRADE, NAME AND BADGE NUMBER:
17. SECOND LINE SUPERVISOR'S RANK/RATE/GRADE, NAME AND BADGE NUMBER:
18. PARENT UIC/MCC/RUC:
19. PROTECTIVE EQUIPMENT: *(Choose all that apply)*
(A) INDICATE TYPE PE THAT WAS APPLICABLE TO THE MISHAP: *(Example: boots, coveralls, machine guards, eyewash stations, deceleration device, eye protection, gloves, hard hat, helmet, jacket, lanyard, lifeline, long trousers, reflective vest, respirator, safety harness, safety belts, etc.)*
(1) WAS THAT PE USED: *(Yes/No for each item)*

(2) APPROVING AUTHORITY: *(ANSI, DOT, Etc.)*

(3) WAS THAT PE WORN PROPERLY: *(Yes/No, for each item, if NO provide explanation, for example: shoulder harness under arm or behind back, goggles on forehead, etc.)*

(4) DID THAT PE FUNCTION PROPERLY: *(Yes/No for each item, if NO provide explanation)*

20. ALCOHOL USE/BAC: *(Yes/No, Provide BAC if Yes and known).*

21. DRUG USE: *(Yes/No), if yes, give brand name and type, including performance enhancing drugs).*

22. CIVILIAN JOB TITLE:

23. JOB, SKILL OR ACTIVITY INDIVIDUAL ENGAGED IN AT TIME OF MISHAP: *(Example: billet MOS, boat crew, classroom training, fire watch, hang gliding, horseplay, line handling, maintenance, nozzle man, ordnance handler, parachuting, passenger, patient care, rigger, snow skiing, swimming, welding, WHE operator, etc.)*

24. QUALIFICATIONS FOR JOB ACTIVITY: *(Choose all that apply)*

(A) NUMBER OF YEARS, MONTHS, OR DAYS EXPERIENCE AT THE SPECIFIC ACTIVITY/SKILL/JOB ENGAGED IN AT TIME OF MISHAP: *(Example: 03/11/21)*

(B) QUALIFICATIONS, DESIGNATIONS, LICENSES AND/OR CERTIFICATIONS LEVELS HELD FOR THE SPECIFIC ACTIVITY/SKILL/JOB ENGAGED IN AT TIME OF MISHAP: *(Example: DoD-personnel: driver's license (operator, commercial, motorcycle), explosive, forklift, pest control, etc)*

(C) LIST RESTRICTIONS TO LICENSE OR REASON FOR REVOKING CERTIFICATION:

(D) EXPIRATION DATE: *(If applicable MMDDYYYY)*

(E) LIST SAFETY COURSES ATTENDED AND DATES COMPLETED AS RELATED TO THE MISHAP: *(Example (MMDDYYYY): motorcycle safety course (MRC-RSSs)- 04012003, driver improvement (AAA-DIP)- 05052002, EVOC - 06032001, hazmat - 09102002, afloat safety petty officer - 07202002, swimming - 041502003, firefighting - 08112002, damage control - 01072003, heavy equipment/crane operator - 11012003, boating, etc.)*

25. MISHAP LOCATION:

(A) SHORE/GROUND LOCATION: *(give specific location and bldg/shop/room number, as applicable)*

(B) SHIP/SUB/CRAFT LOCATION: *(give compartment name and number)*

26. CHAIN OF COMMAND AS ASSIGNED DURING MISHAP:

(A) WAS THE UNIT DEPLOYED: *(YES/NO)*

(B) USN UNIT ECHELON 2 OR MAJOR CLAIMANT:

(C) USN UNIT ECHELON 3 OR TYCOM:

(D) USMC:
(1) COMPONENT COMMAND:
(2) MAJOR COMMAND:
(3) PARENT COMMAND:
(4) UNIT COMMAND:
(5) COMPANY OR DEPARTMENT:

27. WHAT WAS THE RELATIONSHIP OF THIS INVOLVED PERSON WITH THE MISHAP EVENT?

28. MISHAP CAUSE CODE(S) APPLICABLE TO THE INVOLVED PERSONS: (See Glossary G-7, choose all that apply)

29. CAUSE CODE NARRATIVE:

30. IF OPERATING A MOTOR VEHICLE: *(only add this section if MV mishap)*

(A) WHAT POSITION DID THIS PERSON OCCUPY: *(Example: operator, passenger, pedestrians, bicyclists, jogger, etc.) (Identify actual position in motor vehicle.)*

(B) EJECTED: *(Yes/No)*

(C) COMMUTING TO OR FROM WORK: *(Yes/No)*

(D) MILITARY GEOGRAPHICAL BACHELOR: *(Yes/No)*

(E) TYPE OF OPERATOR ERROR OR ACTION THAT CONTRIBUTED TO THE MISHAP: *(Example: fell asleep, distractive behavior, failed to yield, improper turn, failed to see vehicle/pedestrian/ bicycle, etc.)*

(F) MOTOR VEHICLE OPERATOR PROFILE:

(1) HOURS CONTINUOUS AWAKE PRIOR TO THE MISHAP: *(Time in hours/minutes)*

(2) HOURS CONTINUOUS DUTY PRIOR TO THE MISHAP: *(Time in hours/ minutes)*

(3) HOURS BETWEEN LAST MEAL AND MISHAP: *(Time in hours/ minutes)*

(4) HOURS SLEPT IN LAST 24 HOURS: *(Time in hours/ minutes)*

(5) HOURS SLEPT IN LAST 48 HOURS: *(Time in hours/ minutes)*

(6) HOURS SLEPT IN LAST 72 HOURS: *(Time in hours/ minutes)*

(7) HOURS WORKED IN LAST 24 HOURS: *(Time in hours/ minutes)*

(8) HOURS WORKED IN LAST 48 HOURS: *(Time in hours/ minutes)*

(9) HOURS WORKED IN LAST 72 HOURS: *(Time in hours/ minutes)*

(10) DURATION OF LAST SLEEP PERIOD: *(Time in hours/ minutes)*

(11) TYPE OF LAST SLEEP: *(Broken or continuous)*

(12) DISTANCE IN MILES DRIVEN:

(13) DURATION OF TIME DRIVING IN HOURS:

(G) IF MULTIPLE PEOPLE AND VEHICLES, INDICATE IN WHICH VEHICLE WAS THIS PERSON INVOLVED:

IF THE INVOLVED PERSON WAS ALSO INJURED OR SUFFERED AN OCCUPATIONAL ILLNESS, COMPLETE THE FOLLOWING SECTION AND NUMBER PARAGRAPHS ACCORDINGLY.

____. **INJURY/ OCCUPATIONAL ILLNESS INFORMATION**: *(Complete all that apply)*

1. CAUSE AND DATE OF DEATH, IF FATALITY:

2. INJURY FORM SOURCE CODE: *(CIV ONLY)*

3. OSHA INJURY/ILLNESS CODE *(SEE GLOSSARY G-5)*

4. PART OF BODY AFFECTED CODE *(SEE GLOSSARY G-6)*

5. NATURE OF INJURY OR OCCUPATIONAL ILLNESS CODE *(SEE GLOSSARY G-6)*

6. SOURCE OF INJURY OR OCCUPATIONAL ILLNESS CODE *(SEE GLOSSARY G-6)*

7. EVENT OR EXPOSURE CAUSING INJURY/OCCUPATIONAL ILLNESS *(SEE GLOSSARY G-6)*

8. SHARPS ITEM TYPE AND BRAND, IF INVOLVED IN MISHAP:

9. TYPE CHEMICAL/TOXIC MATERIAL, IF INVOLVED IN MISHAP:

(A) CHEMICAL NAME: *(Example: acids, solvents, fiber glass, resins, asbestos, beryllium, cadmium, paints, halon, missile fuels, carbon dioxide, hydraulic fluid, marine organism, etc.)*

(B) MSDS NUMBER: *(If available)*

10. INITIAL MEDICAL TREATMENT PROVIDED ON-SITE: *(Yes/No), if yes, give location (clinic, sick-bay, hospital, etc.)*

11. WAS OFF-SITE MEDICAL TREATMENT AUTHORIZED: *(Yes/No)*

12. IF PERMANENT LOSS TO COMMAND, PROVIDE TRANSFER UIC/MCC/RUC:

13. LIGHT OR LIMITED DUTY, OR JOB RESTRICTION OR TRANSFER START DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

14. LIGHT OR LIMITED DUTY, OR JOB RESTRICTION OR TRANSFER END DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

15. DAYS AWAY FROM WORK START DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

16. DAYS AWAY FROM WORK END DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

17. HOSPITALIZATION START DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

18. HOSPITALIZATION END DATE AND TIME (MMDDYYYY/LOCAL): *(Example: 03102003/1625)*

If the individual was injured while diving or suffered diving-related symptoms, or was treated in a hyperbaric chamber, also complete the applicable items in this section, and then go to the **DIVE SECTION** for the remaining diving questions.

____. **INJURY/OCCUPATIONAL ILLNESS OCCURRED WHILE DIVING:**

1. **SYMPTOM ONSET TIME (MMDDYYYY/LOCAL TIME/DEPTH):** *(Example: 03102003/1525/0025. If onset occurs on the surface state "0"* (zero) *in depth column.)*
2. **INITIAL AND FINAL DIAGNOSIS:** *(Example: arterial gas embolism, DCS I or II. In addition, list who made the initial diagnosis. A typical entry would read: AGE by MDV.)*
3. **DIAGNOSIS MADE BY:** *(MEDICAL OFFICER, CORPSMAN, ETC.)*
4. **RECOMPRESSION STARTED (MMDDYYYY/LOCAL TIME):** *(Example: 03102003/1545).*
5. **REACHED MAX TREATMENT DEPTH (MMDDYYYY/LOCAL TIME/DEPTH):** *(Example: 03102003/1548/0060)*
6. **TIME OF COMPLETE RELIEF (MMDDYYYY/LOCAL TIME):** *(Example: 03102003/1557)*
7. **NUMBER OF EXTENSIONS USED/DEPTH:** *(Example: 0, 1/60, 2/30, etc.)*
8. **COMPLETION OF TREATMENT (MMDDYYYY/TIME/PPO2):**
9. **RECURRENCE NUMBER:** *(Example, 0 indicates no recurrence and 1 indicates first recurrence.)*
10. **TREATMENT TABLE USED:**
11. **OXYGEN PARTIAL PRESSURE USED IN TREATMENT IN TENTHS OF ATMOSPHERES:** *(Numerically in two digits)*
12. **TREATMENT OUTCOME:** *(For recurrence provide the DTG of original mishap.)*
13. **TREATMENT OUTCOME NARRATIVE:**

If the individual was injured by heat or cold stress, complete the following section:

____. **HEAT OR COLD STRESS INJURY:**

1. **FINAL DIAGNOSIS:** *(heat stroke, frostbite, heat exhaustion, chilblain, dehydration, etc.)*
2. **BODY CORE TEMPERATURE IN DEGREES FAHRENHEIT:**
3. **NEUROLOGICAL SIGNS:** *(loss of consciousness, dizziness, altered mental status, etc.)*
4. **USE OF STIMULANT-CONTAINING DIETARY SUPPLEMENTS**: YES/NO

INVOLVED DAMAGE SECTION

COMPLETE AND ADD THIS SECTION TO THE SIREP IF THERE WAS PROPERTY DAMAGE MEETING THE FOLLOWING REPORTABLE REQUIREMENTS:

$20,000 OR MORE IN GOVERNMENT OWNED OR NON-GOVERNMENT OWNED PROPERTY DAMAGE, $5,000 OR MORE IN GOVT MOTOR VEHICLE DAMAGE, AS A RESULT OF GOVERNMENT EVOLUTION/OPERATIONS. THIS SECTION IS FOR TOTAL DAMAGE COSTS FOR THE EVENT.

(INSERT PARA LETTER) **PROPERTY DAMAGE** *(Select all that apply and renumber paragraphs, as applicable)*

1. PROPERTY DAMAGE IN U.S. DOLLARS: *(Provide the total dollar value for the event. The cost includes $18 for each hour of organizational or intermediate-level labor or $60 for each hour of depot-level labor plus the cost of material and equipment. Cost associated with an explosive mishap or ordnance deficiency applies to property or equipment damaged as a result from an explosion or incident.)*

(A) US. GOVT. OWNED:

(B) NON-U.S. GOVT. OWNED:

2. NUMBER OF MISSION DAYS LOST:

3. ITEM # *(IF MULTIPLES)* **- PROPERTY/EQUIPMENT DAMAGED OR DESTROYED BY THE MISHAP:**

(A) U.S. GOVT. OWNED: *(Including gov't leases and rentals - This includes flying club aircraft and MWR campers, etc.):*

(1) NAME:
(2) DESCRIPTION:
(3) MAKE:
(4) MODEL AND SERIES:
(5) YEAR:
(6) TAMS NUMBER (USMC ONLY):
(7) SERIAL NUMBER:
(8) EIC/NSN:
(9) UIC/RUC/MCC OF UNIT OWNING EQUIP:
(10) UIC/RUC/MCC OF UNIT OPERATING EQUIPMENT:
(11) PROPERTY/EQUIPMENT OWNER:
(12) PROPERTY/EQUIPMENT USER IF DIFFERENT THAN OWNER: *(If different than above)*

(If applicable, repeat format used above for each additional item)

(13) MISHAP LOCATION:

(1) SHORE/GROUND LOCATION: *(give specific location and bldg/shop/room number, as applicable)*

(2) SHIP/SUB/CRAFT LOCATION: *(give compartment name and number)*

(14) CHAIN OF COMMAND AS ASSIGNED DURING MISHAP:

(A) WAS THE UNIT DEPLOYED: *(YES/NO)*

(B) USN UNIT ECHELON 2 OR MAJOR CLAIMANT:

(C) USN UNIT ECHELON 3 OR TYCOM:

(D) USMC COMPONENT COMMAND:

(E) USMC MAJOR COMMAND:

(F) USMC PARENT COMMAND:

(G) USMC UNIT COMMAND:

(H) USMC COMPANY OR DEPARTMENT:

(B) NON-U.S. GOVT. OWNED: *(Including leases and rentals*

(1) NAME:

(2) DESCRIPTION:

(3) MAKE:

(4) MODEL AND SERIES:

(5) YEAR:

(6) SERIAL NUMBER:

(7) PROPERTY/EQUIPMENT OWNER:

(8) PROPERTY/EQUIPMENT USER IF DIFFERENT THAN OWNER: *(If different than above)*

(If applicable, repeat format used above for each additional item)

(9) MISHAP LOCATION:

(1) SHORE/GROUND LOCATION: *(give specific location and bldg/shop/room number, as applicable)*

(2) SHIP/SUB/CRAFT LOCATION: *(give compartment name and number)*

(10) CHAIN OF COMMAND AS ASSIGNED DURING MISHAP:

(A) WAS THE UNIT DEPLOYED: *(YES/NO)*

(B) USN UNIT ECHELON 2 OR MAJOR CLAIMANT:

(C) USN UNIT ECHELON 3 OR TYCOM:

(D) USMC COMPONENT COMMAND:

(E) USMC MAJOR COMMAND:

(F) USMC PARENT COMMAND:

(G) USMC UNIT COMMAND:

(H) USMC COMPANY OR DEPARTMENT

4. MISHAP CAUSE CODE(S) APPLICABLE TO THE MATERIAL DAMAGE: (See Glossary G-7, choose all that apply)

5. CAUSE CODE NARRATIVE:

MV (MOTOR VEHICLE) SECTION

COMPLETE AND ADD THIS SECTION TO THE SIREP IF THE MISHAP INVOLVED A MOTOR VEHICLE AND MET THE FOLLOWING REQUIREMENTS:

- THERE WAS $5000 OR GREATER DAMAGE CAUSED BY A GOVERNMENT MOTOR VEHICLE OR GOVERNMENT MOTOR VEHICLE OPERATOR, INCLUDING TACTICAL (TO THE VEHICLE AND/OR ANY OTHER PROPERTY), OR NON-DOD PERSON INJURED OR KILLED BY A GOV'T VEHICLE.

AND/OR

- ANY ON/OFF-DUTY MILITARY OR ON-DUTY DOD CIVILIAN SUSTAINED AN INJURY, REQUIRING MEDICAL TREATMENT, IN A MOTOR VEHICLE MISHAP. THIS SECTION CONTAINS MOTOR VEHICLE SPECIFIC QUESTIONS IN ADDITION TO THE PERS SECTION WITH INJURY OR INVOLVED PERSON INFORMATION, AND THE MATERIAL DAMAGE SECTION FOR OVERALL EVENT GOV'T AND NON-GOV'T DAMAGE.

(INSERT PARA LETTER) **MOTOR VEHICLE INFORMATION:** (Select all that apply and renumber paragraphs, as applicable)

1. MISHAP LOCATION:

(A) COUNTY:

(B) TOWNSHIP:

(C) CITY:

(D) STATE:

(E) COUNTRY:

(F) ROAD/STREET/INTERSTATE/ROUTE DESIGNATION:

2. ENVIRONMENTAL CONDITIONS:

(A) DESCRIBE FIELD/ROAD SURFACE TYPE: *(Example: blacktop, gravel, concrete, dirt, etc.)*

(B) DESCRIBE FIELD/ROAD SURFACE CONDITION: *(Example: dry, wet, snow, oily, covered with debris and type, etc.)*

(C) LIST ANY SURFACE DEFECTS: *(Example: ruts, construction, repair, sink holes, stumps, etc.)*

(D) DESCRIBE CONTOUR/DESIGN: *(Example: straight-level, straight-hill, curved, incline-curved, etc.)*

(E) DESCRIBE ON ROADWAY LOCATION: *(Example: on or off ramp, cul-de-sac, emergency lane, over or underpass, crosswalk, rail crossing, tunnel, bridge, etc.)*

(F) DESCRIBE OFF ROADWAY LOCATION: *(Example: shoulder, median, parking lot, alley, driveway, sidewalk, trail, pier, etc. or urban/suburban/rural.)*

(G) MISHAP'S LOCATION IN RELATION TO ROADWAY: *(Give GPS or GIS, if known)*

3. TRAFFIC CONTROLS:

(A) LIST TRAFFIC CONTROL DEVICE TYPES PRESENT: *(if a*

mishap factor)

(B) TRAFFIC CONTROL DEVICES FUNCTIONING PROPERLY, IMPROPERLY, OR NOT FUNCTIONING AT ALL:

(C) TRAFFIC DEVICES CLEARLY VISIBLE: *(Yes/No)*

(D) POSTED SPEED LIMIT AT THE SITE OF THE MISHAP: *(MPH or KMPH)*

4. MOTOR/TACTICAL VEHICLE DATA: *(indicate if information is unknown or unavailable)*

(A) VEHICLE A:

(1) YEAR:

(2) MAKE:

(3) MODEL:

(4) MODEL SERIES:

(5) STATE WHETHER VEHICLE IS GOVERNMENT OWNED, LEASED BY THE GOV'T, OR PRIVATELY OWNED/LEASED: *(If government owned, was vehicle leased (GSA, etc.) or rented.)*

(6) VEHICLE BODY TYPE: *(Example: sedan 2-dr, motorcycle, moped, (includes all motorized scooter); truck - describe type; sport utility vehicle; van (mini, 15-passenger, etc.); tactical (9MK48/14, MK19, M813, M998, M1042, LAVM, ETC.).*

(7) INDICATE IF A VEHICLE OR TRAILER WAS BEING TOWED:

(8) INDICATE THE STATUS OF OPERATION OF VEHICLE: (Example: moving, speeding, stopped, legally or illegally parked, going wrong way, following too close, lost control, ran off road, reckless driving, etc.)

(9) INDICATE TYPE OF OPERATOR ERROR INVOLVED, IF APPLICABLE:

(10) STATE DIRECTION OF VEHICLE TRAVEL AT TIME OF MISHAP: *(Example: north, south, east, west, etc.)*

(11) STATE ANY MECHANICAL FAILURE THAT MAY HAVE CONTRIBUTED TO THE MISHAP: *(Example: failed brakes, tire blowout/bald, stalled engine, no headlights, no taillights, loss steering, etc.)*

(12) IDENTIFY FIRST IMPACT POINT: *(Example: left driver door, right rear bumper, right motorcycle handle bar, etc.)*

(13) LIST SAFETY EQUIPMENT INSTALLED IN OR ON THIS VEHICLE: *(Example: safety belts, airbags (location of airbags, operator, passenger, side, anti-lock brakes, reflective tape on vehicle/helmet/bicycle (describe how tape was displayed), etc.)*

(14) LIST SAFETY EQUIPMENT THAT FAILED: *(Example: air bags, safety belts, etc. Explain why.)*

(15) DID MOTORCYCLE HAVE A FAIRING OR WINDSHIELD ATTACHED: *(Yes/No)*

(16) WAS MOTORCYCLE REGISTERED (MILITARY DECAL) ON A MILITARY INSTALLATION: *(Yes/No)*

(B) FOR ADDITIONAL VEHICLES: *(Repeat items above as applicable for each vehicle or state no additional vehicles were involved.)*

5. MISHAP CAUSE CODE(S) APPLICABLE TO THE MOTOR VEHICLE MISHAP: (See Glossary G-7, choose all that apply)

6. CAUSE CODE NARRATIVE:

DIVE SECTION

COMPLETE AND ADD THIS SECTION FOR ALL ON-DUTY DIVING CASES INVOLVING CENTRAL NERVOUS SYSTEM (CNS) OXYGEN TOXICITY, PULMONARY OVER INFLATION SYNDROME (POIS), OR HYPERBARIC TREATMENT.

(INSERT PARA LETTER). **DIVING** *(Select all that apply and renumber paragraphs, as applicable, for each diver)*

1. **DIVE LOCATION:** *(open water, chamber, training tank or Pool, ETC.)*
2. **DIVING SYSTEM AND APPARATUS USED:** *(Include type of diving system employed (example: UBA, Scuba, LAR-5, etc.) and description of equipment malfunction, if applicable.)*
3. **SOURCE OF GAS SUPPLY:** (compressor, air banks, gas banks, bottles man-carried, etc.)
4. **BREATHING GAS COMPOSITION OR PPO2:**
   - **(A) PERCENT OXYGEN:**
   - **(B) PERCENT NITROGEN:**
   - **(C) PERCENT HELIUM:**
   - **(D) PARTIAL PRESSURE:**
5. **LOCAL MILITARY DATE AND TIME LEFT SURFACE (MMDDYYYY/LOCAL TIME):**
6. **MAXIMUM DEPTH OF DIVE IN FEET SALT WATER:** *(FSW)*
7. **BOTTOM TIME:** *(Days, Hours, Minutes)*
8. **TABLE USED:**
9. **SCHEDULE USED:**
10. **TIME REACHED SURFACE (MMDDYYYY/LOCAL TIME):** *(Example: 03102003/1745)*
11. **TOTAL DECOMPRESSSION TIME OF DIVE:** *(Days, Hours, Minutes)*
12. **DECOMPRESSION LOCATION:** *(Chamber, Open Water)*
13. **PURPOSE OF DIVE:**
14. **DIVE PLATFORM:**
15. **SURFACE INTERVAL:** *(Hours, Minutes, limited to between 10 minutes and 12 hours after surface)*
16. **SATURATION DIVE DATA:** *(Compression rates to depths as feet per minute (FPM) to (FSW) for example, for a 700 FSW dive: 30 FPM to 100 FSW/20 FPM to 250 FSW/3 FPM to 700 FSW.)*
    - **(A) STORAGE ATMOSPHERE IN FSW:**
    - **(B) CHAMBER ATMOSPHERE IN OXYGEN PARTIAL PRESSURE:** *(Provide minimum and maximum.)*
    - **(C) MINIMUM EXCURSION DEPTH ATTAINED IN FSW:**
    - **(D) MAXIMUM EXCURSION DEPTH ATTAINED IN FSW:**
17. **MISHAP CAUSE CODE(S) APPLICABLE TO THE DIVING MISHAP:**

(See Glossary G-7, choose all that apply)

18. CAUSE CODE NARRATIVE:

PARA SECTION

COMPLETE AND ADD THIS SECTION TO THE SIREP IF THE MISHAP INVOLVED PARACHUTING AND MET THE FOLLOWING REQUIREMENTS:

- ANY ON-DUTY MISHAP INVOLVING AN INJURY, FATALITY OR MATERIAL DAMAGE (ANY AMOUNT) INVOLVING A PARACHUTE.
- OFF-DUTY, RECREATIONAL PARACHUTING WHERE THE MILITARY MEMBER WAS INJURED AND REQUIRED MEDICAL TREATMENT. COMPLETE ONLY APPLICABLE SECTIONS.

(INSERT PARA LETTER). **PARACHUTING INFORMATION** (Select all that apply and renumber paragraphs, as applicable)

1. AIRCRAFT INFORMATION

(A) AIRCRAFT TYPE:

(B) BUREAU NUMBER:

(C) OPERATIONAL UNIT DESIGNATOR, SQUADRON, COMMAND NAME, OR ORGANIZATION THAT OWNS AIRCRAFT PROVIDING AIRLIFT:

(D) AIRCRAFT SPEED: *(KIAS)*

(E) AIRCRAFT ALTITUDE: *(Feet AGL)*

(F) AIRCRAFT LOAD CONFIGURATION: *(Identify loads per station, MER or TER, type arming wire and routing, arming solenoids use, etc.)*

2. PARACHUTE INFORMATION *(INDICATE WHICH INVOLVED PERSON IS THE JUMPER ASSOCIATED WITH THIS INFORMATION)*

(A) TYPE OF PARACHUTE JUMP: *(MFF, Ram Air SL, Round SL, Tandem personnel, tandem bundle)*

(B) PARACHUTE OPENING OR PULL ALTITUDE: *(Feet AGL)***A**

(C) DROP ZONE ELEVATION: *(Feet MSL)*

(D) TYPE OF HARNESS/CONTAINER SYSTEM:

(E) TYPE OF MAIN PARACHUTE:

(1) MAIN PARACHUTE DATE PLACED IN SERVICE: *(MMDDYYYY)*

(2) MAIN PARACHUTE DATE OF MANUFACTURER: *(MMDDYYYY)*

(3) MAIN PARACHUTE LAST PACK DATE: *(MMDDYYYY)*

(4) MAIN PARACHUTE SERIAL NUMBER:

(5) MAIN PARACHUTE NUMBER OF JUMPS: *(Estimate)*

(F) TYPE OF RESERVE PARACHUTE:

(1) RESERVE PARACHUTE DEPLOYED DURING MISHAP: *(Yes/No)*

(2) RESERVE FUNCTIONED PROPERLY: *(Yes/No, explain if No)*

(3) RESERVE PARACHUTE DATE PLACED IN SERVICE: *(MMDDYYYY)*

(4) RESERVE PARACHUTE DATE OF MANUFACTURER: *(MMDDYYYY)*

(5) RESERVE PARACHUTE LAST PACK DATE: *(MMDDYYYY)*

(6) RESERVE PARACHUTE SERIAL NUMBER:

(7) RESERVE PARACHUTE NUMBER OF ACTIVATIONS: *(Estimate)*

(G) AUTOMATIC ACTIVATING DEVICE (AAD) TYPE:
(H) AUTOMATIC ACTIVATING DEVICE (AAD) SETTING: *(feet, meters, up, down)*
(I) TYPE OF MALFUNCTION OR INCIDENT:

3. JUMPER INFORMATION
(A) JUMPERS EQUIPMENT WORN: *(Include combat pack)*
(B) TYPE OF HELMET:
(C) TYPE OF EYE PROTECTION:
(D) JUMPERS ALL-UP WEIGHT:
(E) JUMPERS POSITION: *(Example: pass, stick, position, etc.)*
(F) NUMBER OF JUMPS ROUND STATIC LINE:
(G) DATE OF LAST STATIC LINE JUMP: *(MMDDYYYY)*
(H) NUMBER OF JUMPS RAM AIR STATIC LINE:
(I) DATE OF LAST RAM AIR STATIC LINE JUMP: *(MMDDYYYY)*
(J) NUMBER OF JUMPS MILITARY FREE FALL:
(K) DATE OF LAST MILITARY FREE FALL JUMP: *(MMDDYYYY)*
(L) NUMBER OF JUMPS TANDEM (BUNDLE AND PERSONNEL):
(M) DATE OF LAST TANDEM JUMP(BUNDLE AND PERSONNEL):: *(MMDDYYYY)*

4. MISHAP CAUSE CODE(S) APPLICABLE TO THE PARACHUTING MISHAP: (See Glossary G-7, choose all that apply)

5. CAUSE CODE NARRATIVE:

HRST SECTION

COMPLETE AND ADD THIS SECTION TO THE SIREP IF THE MISHAP INVOLVED ON-DUTY HELICOPTER ROPE SUSPENSION TECHNIQUE MISHAP.

(INSERT PARA LETTER) **HRST INFORMATION**
(Select all that apply and renumber paragraphs, as applicable)

1. TYPE OF EVENT: *(Example: rappel, fast rope, special Patrol insertion/extraction (SPIE), jacob's ladder, etc.)*

2. AIRCRAFT INFORMATION

(A) AIRCRAFT TYPE:

(B) BUREAU NUMBER:

(C) OPERATIONAL UNIT DESIGNATOR, SQUADRON OR COMMAND NAME PROVIDING AIRLIFT:

(D) AIRCRAFT SPEED (KIAS):

(E) AIRCRAFT ALTITUDE (FEET AGL):

(F) WERE ROPERS INSERTED INTO OR EXTRACTED FROM WATER: *(Yes/No/NA)*

3. TECHNIQUE INFORMATION *(Answer all that apply)*

(A) ELEVATION OF LANDING ZONE: *(Feet MSL)*

(B) WATER DEPTH: *(Feet)*

(C) INTENDED HEIGHT OF DESCENT: *(Feet)*

(D) ARE TOWER ANCHOR POINTS CERTIFIED/DATE: *(Yes/No)*

(E) AIRCRAFT/TOWER PROPERLY RIGGED IAW: *(List directive and if correctly rigged)*

(F) LIST EQUIPMENT CONTRIBUTING TO THE MISHAP: *(if none, so state)*

(1) NAME/NOMENCLATURE/NSN:

(2) NAME OF MANUFACTURER:

(3) DATE OF MANUFACTURE (MMDDYYYY):

(4) DATE PLACED IN SERVICE (MMDDYYYY):

(5) DATE OF LAST INSPECTION (MMDDYYYY):

(6) PART NUMBER:

(7) LOT NUMBER:

(8) LENGTH IF ROPE OR LADDER (FT):

(9) DIAMETER OF ROPE USED (INCHES OR MILLIMETERS):

(10) TOTAL NUMBER OF DESCENTS (BY TYPE) ON ROPE USED: *(example: 15 combat equipped, 23 helo, 42 slick)*

(G) WEIGHT OF EQUIPMENT WORN (INCLUDE COMBAT PACK): *(lbs)*

4. TYPE OF INCIDENT: *(Example: rope breaks, snap link bends/break, individual falls off rope, rope is fouled, rope becomes prematurely disconnected, rope is cut, improper landing (individual), other)*

(A) WAS A BRIEF CONDUCTED WITH ALL PARTICIPANTS INVOLVED IN THE OPERATION: *(Yes/No)*

(1) DATE BRIEF GIVEN: *(MMDDYYYY)*
(2) TIME BRIEF GIVEN:
(B) WERE HAND AND ARM SIGNALS GIVEN IN THE AIRCRAFT: *(Yes/No)*
(C) WERE HAND AND ARM SIGNALS VISIBLE TO THE PARTICIPANTS: *(Yes/No)*
(D) WAS SAFETY INSERT OFFICER (SIO) PRESENT: *(Yes/No)*
(E) LOCATION OF SIO: *(Example: in aircraft, on ground)*
(F) HOW MANY INDIVIDUALS WERE ON THE ROPE, FRIES OR SPIE: *(Example: 1, 2, 5, 10, etc.)*

5. MISHAP CAUSE CODE(S) APPLICABLE TO THE HRST MISHAP: (See Glossary G-7, choose all that apply)
6. CAUSE CODE NARRATIVE:

CARGO SECTION

COMPLETE AND ADD THIS SECTION TO THE SIREP IF THE MISHAP INVOLVED A CARGO AIR DROP.

__(INSERT PARA LETTER) **CARGO AIR DROP INFORMATION**(Select all that apply and renumber paragraphs, as applicable)

1. AIRCRAFT INFORMATION

(A) AIRCRAFT TYPE:

(B) BUREAU NUMBER:

(C) OPERATIONAL UNIT DESIGNATOR, SQUADRON OR COMMAND NAME PROVIDING AIRLIFT:

(D) AIRCRAFT SPEED: *(KIAS)*

(E) AIRCRAFT ALTITUDE: *(Feet AGL)*

2. AIRDROP INFORMATION

(A) TYPE OF AIRDROP: *(Example: LV, HV, free drop, guided parafoil, CDS, LAPES, CRRC, RHIB)*

(B) AIRDROP PHASE THE MALFUNCTION OR INCIDENT OCCURRED: *(For example: extraction, deployment/recovery, release)*

(C) PARACHUTE OPENING ALTITUDE: *(Feet AGL)*

(D) DROP ZONE ELEVATION: *(Feet MSL)*

(E) TYPE OF MALFUNCTION OR INCIDENT:

(F) TYPE OF CARGO PARACHUTES:

(G) NUMBER OF CARGO PARACHUTES:

(H) TYPE OF EXTRACTION/DROGUE PARACHUTE:

(I) NUMBER OF EXTRACTION/DROGUE PARACHUTES:

(J) CARGO PARACHUTES DATE OF MANUFACTURER: *(MMDDYYYY)*

(K) CARGO PARACHUTES LAST PACK DATE: *(MMDDYYYY)*

(L) CARGO PARACHUTES SERIAL NUMBER:

(M) CARGO PARACHUTES NUMBER OF DROPS: *(Estimate)*

3. CARGO RELEASE INFORMATION

(A) AERIAL DELIVERY SYSTEM USED:

(B) AIRDROP LOAD TOTAL RIGGED WEIGHT:

(C) LOAD RIGGED IAW FM/TO/NAVSEA:

(D) TYPE OF PLATFORM:

(E) SIZE OF PLATFORM: *(Dimensions)*

(F) EXTRACTION FORCE TRANSFER COUPLER CABLE LENGTH (EFTC):

(G) EXTRACTION LINE LENGTH:

(H) POSITION OF LOAD IN AIRCRAFT: *(Example: Right 12)*

4. MISHAP CAUSE CODE(S) APPLICABLE TO THE AIR CARGO DROP MISHAP: (See Glossary G-7, choose all that apply)

5. CAUSE CODE NARRATIVE:

ORD SECTION

COMPLETE THIS SECTION OF THE SIREP:

➢ - ALL EXPLOSIVE MISHAPS ALL ORDNANCE IMPACTING OFF-RANGE AND ALL LIVE FIRE MISHAPS.

.

- IF THERE WAS PROPERTY DAMAGE, ALSO COMPLETE THE MATERIAL DAMAGE SECTION OF THE SIREP.

NOTE:
A SAFETY INVESTIGATION SHALL BE CONDUCTED
PER CHAPTER 3 PARA 3004.3.D.

- DODI 6055.7 REQUIRES EACH DOD COMPONENT TO SUBMIT REPORTS TO DEPARTMENT OF DEFENSE EXPLOSIVES SAFETY BOARD (DDESB) FOR MISHAPS INVOLVING AMMUNITION, EXPLOSIVES, AND CHEMICAL AGENTS AND SYSTEMS.

(INSERT PARA LETTER) **WEAPONS/ORDNANCE INFORMATION** *(Select all that apply and renumber paragraphs, as applicable)*

1. INDICATE WHAT SYSTEM INVOLVED IN THE MISHAP: *(Example: bombs, air launch, missiles, small arms, rockets, surface launcher/firing device, guns greater than 5 inches, guns smaller than 5 inches)*

2. MISHAP TYPE: *(Example: detonation, malfunction, observed defect, induced defect, abnormal occurrence, negligent/unintentional discharge, other.)*

IF AMMUNITION MISHAP, COMPLETE FOLLOWING AS PARAGRAPH 3.

___. **AMMUNITION MISHAP** *(number paragraphs accordingly)*

(A) AMMUNITION TYPE *(batch production, bulk production, NALC item).*

(B) WEAPONS SYSTEM/AMMUNITION INVOLVED:

(1) NOMENCLATURE: *(MK, MOD, Model, etc.)*

(2) EIC:

(3) WUC:

(4) NALC:

(5) SERIAL NUMBER:

(6) LOT NUMBER:
(7) STATE NUMBER OF ITEMS REMAINING IN SAME LOT:
(8) TOTAL ROUNDS FIRED FROM LOT:
(9) NUMBER OF ROUNDS THAT MALFUNCTIONED FROM LOT:

IF LAUNCHER MISHAP, COMPLETE FOLLOWING AS PARAGRAPH 3.

___. **LAUNCH OR FIRING DEVICES:** (number paragraphs accordingly) Repeat for all devices involved.)
(A) EIC:
(B) WUC:
(C) LOCATION: *(Example: mount, launcher, site ord area.)*
(D) SERIAL NUMBER:

IF EXPLOSIVE BULK OR BATCH MATERIAL MISHAP, COMPLETE FOLLOWING AS PARAGRAPH 3.

___. EXPLOSIVE BULK OR BATCH MATERIAL INVOLVED: (number paragraphs accordingly)(Normally applies to quantities of material not specifically identifiable by weapon system.)
(A) EXPLOSIVE NAME:
(B) NET EXPLOSIVE WEIGHT:

IF PRODUCTION BASE ONLY MISHAP, COMPLETE FOLLOWING AS PARAGRAPH 3.

___. **PRODUCTION BASE ONLY:** (number paragraphs accordingly)
(A) EFFECTS:
(B) EXPOSURE TO SIGNIFICANT CONDITIONS: *(Example, electrostatic, temperature, relative humidity, etc.)*

4. DISPOSITION OF MATERIAL: *(Indicate the holding activity and time to be held by that activity or if transferred to another activity, e.g., holding for disposition instructions, turned into ammo supply point (ASP), etc.). If transferred to another activity, provide documentation number.)*

5. MISHAP CAUSE CODE(S) APPLICABLE TO THE WEAPONS, EXPLOSIVES, OR ORDNANCE MISHAP: (See Glossary G-7, choose all that apply)

6. CAUSE CODE NARRATIVE:

Complete the following section only if the mishap involved fireworks or recreational firearms.

__. RECREATIONAL MATERIALS: (number paragraphs accordingly)

(A) TYPE OF FIREWORKS:

(B) TYPE WEAPON:

(1) CALIBER:

(2) GAUGE:

(3) MANUFACTURER:

(4) MAKE AND MODEL:

Complete the following section only if the weapons, ordnance, or explosives mishap involved an aircraft.

__. AIRCRAFT INFORMATION: *(number paragraphs accordingly)*

(A) AIRCRAFT TYPE:

(B) BUREAU NUMBER:

(C) OPERATIONAL UNIT DESIGNATOR, SQUADRON OR COMMAND NAME PROVIDING AIRLIFT:

(D) LOCATION OF AIRCRAFT AT THE TIME OF INCIDENT: *(Example: in-flight, flight-line flight-deck, etc.)*

(E) AIRCRAFT SPEED: *(KIAS)*

(F) AIRCRAFT ALTITUDE: *(Feet AGL)*

(G) DELIVERY DATA:

(H) THINGS FALLING OFF AIRCRAFT (TFOA): *(Yes/No)*

(I) ORDNANCE CONFIGURATION:

SAFETY INVESTIGATION BOARD FINDINGS SECTION

THIS SECTION IS RESERVED FOR THE USE OF THE SAFETY INVESTIGATION BOARD (SIB), WHEN INVESTIGATING ON-DUTY CLASS A, OR OTHER MISHAPS AS DIRECTED. PART B IS USED TO LIST EVIDENCE, DETAILED FINDINGS, CAUSES DETERMINED BY A DELIBERATIVE PROCESS, AND RECOMMENDATIONS FOR SPECIFIC CORRECTIVE ACTION. ALL APPLICABLE SECTIONS OF THE PART A OF THE SIREP SHOULD BE COMPLETED BY THE SIB IN ADDITION TO THE PART B PRIVILEGED INFORMATION.

PART B PRIVILEGED INFORMATION

1. DOCUMENTARY EVIDENCE: *(If a separate message was sent, provide DATE TIME GROUP. (See Appendix E Tab 3.) If a separate message was not sent, identify all documents used by the SIB that form the basis for analysis and will be referred to as evidence. Identify privileged information in this paragraph as shown in the example below (See paragraph 10007.2 and 3) by using the symbol "(P)" prior to each document (see paragraph 9003.2). Identify non-privileged evidence in paragraph B and what evidence is available to all by listing in paragraph C shown in the example below. All evidence that is available to the endorsers may not have been forwarded to COMNAVSAFECEN. All physical evidence should be held by the owner of the mishap. If any evidence is classified, it must be clearly identified in paragraph A, B or C. For example:*

A. PRIVILEGED EVIDENCE
1. (P) Statement of Petty Officer of the Watch
2. (P) Statement Of SGT of the Guard
B. NON-PRIVILEGED EVIDENCE
1. Deck Log (CONFIDENTIAL)
2. Police Report
C. EVIDENCE AVAILABLE TO ALL
1. SSORM
2. OPNAVINST
3. MCO

2. CHRONOLOGICAL SEQUENCE OF EVENTS LEADING UP TO AND THROUGH THE INCIDENT: *(Following each event listed, provide the paragraph number of the evidence identified in paragraph 1 above or the separate evidence message which supports that event. If the event is based upon the deliberative process of the board include "SIB opinion" following the statement when no evidence exists or there is conflicting information. Insert “(P)” prior*

to each event in the timeline when citing information taken from privileged evidence or when using SIB opinion as the source. For example:

26 FEB 86: AT AGE 13, MISHAP VICTIM HAD ELEVATED BLOOD PRESSURE AND A HEART MURMUR.(ALPHA 1B(2))

(P) 29 OCT 01: MISHAP VICTIM TOLD DIVISION OFFICER OF CHEST WALL PAIN (ALPHA 1A(5))

(P) 01 MAY 02: CARDIOLOGIST ERRONEOUSLY CLEARS MISHAP VICTIM TO PARTICIPATE IN SEMIANNUAL SPRING PRT. (SIB OPINION)

20 MAY 02:
(P) 1005 MISHAP VICTIM STOPS RUNNING AND STARTS COUGHING. (ALPHA 1A(1))

1020 DISPATCHED AMBULANCE ARRIVES ON SCENE AND ASSISTS VENTILATION, BEGINS EKG MONITORING, ADMINISTERS VARIOUS MEDICATIONS, AND ATTEMPTS CARDIOPULMONARY RESUSCITATION. (ALPHA 1B(4))

3. OPINIONS OF THE SAFETY INVESTIGATION BOARD: *(Choose all that apply, otherwise response with "N/A".)*

A. THE ADEQUACY AND USE OF APPROVED PROCEDURES:
B. THE QUALIFICATIONS OF THE PEOPLE INVOLVED:
C. THE STATE OF TRAINING OF THE PEOPLE INVOLVED AND OF THE CREW IN COMBATING THE MISHAP:
D. THE EFFECTIVENESS OF SUPERVISION:
E. THE EFFECTIVENESS OF THE QUALITY ASSURANCE PROGRAM, WHERE APPLICABLE:
F. THE EFFECTIVENESS OF THE DAMAGE CONTROL EFFORTS:
G. THE ROLE OF PREVENTIVE AND CORRECTIVE MAINTENANCE PLAYED IN THE MISHAP:
H. ANY EXISTING MATERIAL DEFICIENCIES OR SHORTCOMINGS, WHICH MAY HAVE CONTRIBUTED TO THE MISHAP:
I. ANY OTHER OPINION:

4. ANALYSIS OF FINDINGS: *(SEE GLOSSARY G-7 FOR CAUSE CODES)*

A. HUMAN FACTORS: *(State each cause with less than 100 characters rationale, identifying the who, what and why)*

(1) UNSAFE ACTS:

(A) ERRORS: *(Mistakes or unintentional acts)*
(B) VIOLATIONS: *(Deliberate behavior that breaks established rules)*

(2) SUPERVISION:
(A) ADEQUATE SUPERVISION (YES/NO): *(Unintentional mistakes or failures by the supervisor)*
(B) SUPERVISORY VIOLATIONS: *(Deliberate rule breaking or disregard of authority by a supervisor)*

(3) PRECONDITIONS FOR UNSAFE ACTS
(A) ADVERSE MENTAL STATES: *(Takes into account those mental conditions that affect performance. Principle among these is the loss of situational awareness, task fixation, distraction, and mental fatigue due to sleep loss or other stresses. Also included in this category are personality traits and attitudes such as over-confidence, complacency, and misplaced motivation.*)
(B) ADVERSE PHYSIOLOGICAL STATES AND PHYSICAL LIMITATIONS: (*When the individual's physiological or physical limitations adversely impact his/her abilities to complete the task. These limiting conditions can include disorientation, physical fatigue, illness, dehydration, intoxication, obesity, height, and physical strength.*)
(C) TEAM OR CREW RESOURCE MANAGEMENT: (*Occurrences of poor coordination among team members and other personnel associated with the safe conduct of the task. An example may be poor team coordination and ineffective internal and/or external communications between Combat Information Center and an amphibious assault element.*)
(D) ORGANIZATIONAL INFLUENCES:
(1) EXTERNAL: *(Factors controlled by outside the command)*
(2) INTERNAL: *(Factors controlled by the activity commander or below such as the watch bill or duty roster assignments)*

(4) PROCEDURAL DOCUMENTS: (*Consider the possible effect of regulations, operations and processes from all levels in the chain of command. Remember, a person not following written procedures is an unsafe act, not a procedural factor. Indicate if the documents were too complex, not available, incorrect,*

(5) 72 HOUR INFORMATION:
(A) HOURS CONTINUOUS AWAKE PRIOR TO THE MISHAP: *(Time in hours/minutes)*

(B) HOURS CONTINUOUS DUTY PRIOR TO THE MISHAP: *(Time in hours/ minutes)*

(C) HOURS BETWEEN LAST MEAL AND MISHAP: *(Time in hours/ minutes)*

(D) HOURS SLEPT IN LAST 24 HOURS: *(Time in hours/ minutes)*

(E) HOURS SLEPT IN LAST 48 HOURS: *(Time in hours/ minutes)*

(F) HOURS SLEPT IN LAST 72 HOURS: *(Time in hours/ minutes)*

(G) HOURS WORKED IN LAST 24 HOURS: *(Time in hours/ minutes)*

(H) HOURS WORKED IN LAST 48 HOURS: *(Time in hours/ minutes)*

(I) HOURS WORKED IN LAST 72 HOURS: *(Time in hours/ minutes)*

(J) DURATION OF LAST SLEEP PERIOD: *(Time in hours/ minutes)*

(K) TYPE OF LAST SLEEP: *(Broken or continuous)*

B. MATERIAL FACTORS: *(Consider all material failures despite whether the failure occurred through normal or abnormal means)*

(1) UNAUTHORIZED: *(Example: alterations made to the ship or equipment without authority.)*

(2) SAFETIES OR GUARDS FAILED: *(were safeties or guards installed, were they required, did they function properly, etc.)*

(3) CONDITION: (*Example: rust or corrosion.*)

(4) CONDITION OF PROTECTIVE EQUIPMENT AND PPE:

(5) INAPPROPRIATE FOR USE: *(Example: off-the-shelf purchases that are not meant for that process or function.*)

(6) INSTALLATION OR REPAIR FAULTY:

(7) DEFECTIVE:

(8) NORMAL WEAR AND TEAR: (*Normally, wear and tear is not a reportable mishap. However, the investigation may lead to this cause and is worth reporting.*)

(9) DESIGN: *(Consider whether material design defect caused the mishap. See paragraph 9007.8)*

(A) HAZARD TO PERSONNEL:

(B) HAZARD TO EQUIPMENT:

(C) MAINTAINABILITY: (*Example, design makes it so difficult to accomplish the maintenance that it is not completed or service member/civilian is injured while performing the maintenance.)*

5. CONCLUSIONS: *(The SIB may conclude, in its best judgment, the most likely reasons for the mishap.)*

6. OTHER CAUSES CONSIDERED BUT REJECTED: *(State each possible cause of damage and injury rejected by the SIB with a short rationale. Example: pre-existing conditions for unsafe acts, adverse physiologic state: fatigue was not deemed to be a cause as all watch standers indicated during the interview that they had adequate rest.)*

7. RECOMMENDATIONS: (*SIREPs require some corrective action to be taken throughout the chain of command. Each accepted casual factor identified must have at least one recommendation. Express each recommendation in a complete, self-explanatory statement. They must stand-alone. Recommendations are often separated from their parent report. As a minimum, each recommendation shall state who should do what. Sometimes, how, where and when are also appropriate. Designation of an appropriate action agency should be included in the report.*)

8. SENIOR MEMBER COMMENTS: *(If desired)*

BT

FIGURE 5-3

SIREP EXTENSION REQUEST
SAMPLE MESSAGE FORMAT

PRIORITY
(DTG)
FM *SIB*
TO *APPOINTING AUTHORITY/CONTROLLING COMMAND (Type Commander, COMMARFOR, or CMC (SD))*
INFO *(Mishap Unit)*
(Include all members of the endorsing chain of command)
COMNAVSAFECEN NORFOLK VA//30/40/90//
CMC WASHINGTON DC//SD// *(If applicable)*
FlEET COMMANDERS FOR AFLOAT MISHAPS
UNCLAS //N05102//
MSGID/GENADMIN/ //
SUBJ/SAFETY INVESTIGATION REPORT (ENDORSEMENT) EXTENSION REQUEST//
REF/A/ SIB APPOINTING MSG DTG//
REF/B/ *(Select OPNAVINST 5102.1D/MCO P-5102.1B) //*
NARR/REF A IS .
REF B IS DIRECTION TO APPOINT AN SIB.
POC/NAME/RANK/LOCATION/PRIMARY EMAIL/PRIMARY TEL: (DSN:)//
RMKS/1. IRT REF A, AND IAW REF B, REQUEST A __ DAY EXTENSION OF SUBJ SIREP (ENDORSEMENT) DEADLINE ICO. THIS WILL ALLOW FOR INCLUSION OF *(Final Engineering Investigation findings, autopsy, etc.)* **WHICH SHOULD FACILITATE A MORE COMPLETE AND ACCURATE SIREP. FINDINGS DUE NLT** *(Date)*.
2. REQUEST RESPONSE VIA NAVAL MESSAGE//

BT

FIGURE 5-4

SAFETY INVESTIGATION REPORT ENDORSEMENT
SAMPLE MESSAGE FORMAT

Use the format and content below for endorsing the safety investigation report (SIREP). Send the endorsement as a naval message.

BT
(Precedence - normally ROUTINE)
(DGT)
FM *(Endorsing command)*
TO (*Subsequent endorsers based on appointing message and SIREP addressees)*
COMNAVSAFECEN NORFOLK VA//30/40/054//
INFO CNO WASHINGTON DC// / /N45//
CMC WASHINGTON DC//SD// *(If applicable)*
FlEET COMMANDERS FOR AFLOAT MISHAPS
(List all previous endorsers and other addresses from the appointing message and SIREP (or previous endorsements))
FOUO //N05102// *(Distribute only to the commander or office code(s) following each addressee.)*
MSGID/GENADMIN/MSG ORIG/SER NO./MONTH//
SUBJ/PRIVILEGED FIRST/SECOND ENDORSEMENT ON (*name of command involved in mishap*) **SAFETY INVESTIGATION REPORT (SIREP)(REPORT SYMBOL OPNAV 5102-7A)//**
REF/A/ *(Include the original SIREP and all previous endorsements.)//*
REF/B/DOC/CNO/OPNAVINST 5102.1D/MCO P5102.1B
NARR/REF B IS OPNAVINST 5102.1D/MCO P5102.1B MISHAP AND SAFETY INVESTIGATION REPORTING MANUAL.
//
THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A PRIVILEGED, LIMITED USE CONTROLLED DISTRIBUTION, SAFETY INVESTIGATION REPORT ENDORSEMENT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS ENDORSEMENT BY MILITARY PERSONNEL IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT BY CIVILIAN PERSONNEL WILL SUBJECT THEM TO DISCIPLINARY ACTION UNDER CIVILIAN PERSONNEL INSTRUCTION 752.
//
POC/NAME/RANK/COMMAND/LOC:/TEL:/EMAIL//
RMKS/1. *(Brief description of the mishap based on the SIREP and previous endorsements. Include a general statement on the SIREP findings and previous endorsements.)*
2. (*List each probable cause, rejected probable cause, and recommendation from the SIREP and previous endorsements, and your agreement or disagreement*

with the SIB for each one. For each point of disagreement, identify alternative recommendations or actions and recommended action agency.

3. *For each recommendation under your cognizance report the status and/or your plan of action and milestones for accomplishment.)*

4. *(Provide any amplifying information, additional comments, causes, recommendations, the actions taken or intended by the endorser concerning the mishap.)*

BT

FIGURE 5-5

SIREP INVENTORY OF EVIDENCE
SAMPLE MESSAGE FORMAT

ROUTINE
(DTG)
FM: SIB
TO: COMNAVSAFECEN NORFOLK VA//30//40//054//
CMC WASHINGTON DC//SD// *(If Marine unit)*
(Controlling Command)
INFO: FlEET COMMANDERS FOR AFLOAT MISHAPS
UNCLAS FOUO//N05102/00//
MSGID/GENADMIN/RELEASING COMMAND//
SUBJ/SAFETY INVESTIGATION REPORT (SIREP) INVENTORY OF EVIDENCE (REPORT SYMBOL OPNAV 5102-7B)//
REF/A/DOC/CNO/05OCT02
REF/B/GENADMIN/RELEASING CMD/DTG OF SIREP//
NARR/REF A IS OPNAVINST 5102.1D/MCO P-5102.1B NAVY AND MARINE CORPS
REF A IS NAVY AND MARINE CORPS MISHAP AND SAFETY INVESTIGATION, REPORTING, AND RECORD KEEPING MANUAL. REF B IS SAFETY INVESTIGATION REPORT//
POC/NAME/RANK/COMMAND/LOCATION/TELEPHONE NUMBER/EMAIL//
RMKS// 1. ACCORDING TO REF A, THE SAFETY INVESTIGATION BOARD MET ON (DATE) AND COMPLETED ITS DELIBRATIONS ON (DATE)
2. THE BOARD CONSIDERED THE EVIDENCE IN PARA 3 AND (NAME OF NAVSAFECEN ADVISOR), SIB NAVSAFECEN ADVISOR HAND CARRIED EVIDENCE TO THE NAVAL SAFETY CENTER ON (DATE), OR THE EVIDENCE WAS MAILED TO THE NAVAL SAFETY CENTER ON *(date and registered mail number)*.
3. THE EVIDENCE THE SAFETY INVESTIGATION CONSIDERED INCLUDED:
(If a separate message was sent, provide DTG. (See Appendix E Tab 3.) If a separate message was not sent, identify all documents used by the SIB that form the basis for analysis and will be referred to as evidence. Identify privileged information in this paragraph as shown in the example below (See paragraph 10007.2 and 3) by using the symbol "(P)" prior to each document (see paragraph 9003.2). Identify non-privileged evidence in paragraph B and what evidence is available to all by listing in paragraph C shown in the example below. If any evidence is classified, it must be clearly identified in paragraph A, B or C.

A. PRIVILEGED EVIDENCE: *(For example:*
1.(P) Statement of John Doe
2.(P) Statement Of Jane Doe
3.(P) Memorandum for the record
4.(P) Summary of interview of Ship's Safety Officer DTD

B. NON-PRIVILEGED EVIDENCE: *(For example:)*
1. Deck Log (CONFIDENTIAL)

2. Police Report

C. EVIDENCE AVAILABLE TO ALL: *(For example:*

1. SSORM
2. OPNAVINST
3. MCO

BT

FIGURE 5-6

WEAPONS/ORDNANCE AIG LISTING

USE THESE AIG'S FOR THE SIREP IF USING THE MESSAGE FORMAT. IF ENTERED INTO WESS OR WESS-DS, THE COMMUNITY OF INTEREST (COI) DISTRIBUTION CAN BE SELECTED BY THE ORIGINATOR.

AIG	PURPOSE
458	Air launched rockets
9281	Surface launched rockets less ASROC
11113	Gun ammunition smaller than 76mm
11116	Pyrotechnics and chemicals
11124	Gun ammunition 76mm and larger
11167	Airborne expendables
11233	Mines and projector charges
11345	Demolition, grenade and bulk explosives
11352	Subsurface launched missiles
11369	Air launched missiles
11382	Cartridge and propulsion devices
11383	Small arms
11384	Freefall weapons
11388	Torpedoes, sonobouys and ASROC
11393	Surface launched missiles
11412	Tomahawk missiles
11449	Research, development or production base
11450	NAVAIR weapons system equipment and associated hardware
11452	NAVSEA weapons system equipment and associated hardware
11477	Weapon shipping containers and handling

FIGURE 5-7

COMBAT ZONE MISHAP REPORT
SAMPLE MESSAGE FORMAT

ROUTINE
(DTG)
FM *(Reporting Activity)*
TO CMC WASHINGTON DC//SD//*(USMC only) AND/OR*
COMNAVSAFECEN NORFOLK VA//00/02/10/30/40/60/90//
INFO JOINT STAFF J3 READINESS DIV
FlEET COMMANDERS FOR AFLOAT MISHAPS
(Reporting Activity appropriate chain of command)
UNCLAS FOUO //N05102//
MSGID/GENADMIN/MSG ORIG/SER NO/MONTH//
SUBJ/COMBAT ZONE MISHAP (REPORT SYMBOL 5102.7C)//
REF/A/DOC/CNO/OPNAVINST 5102.1D/MCO P5102.1B
REF/B/MSG/ *(REQUIRED FIELD)*(Reference activity PCR, OPREP-3 or SITREP and DTG)
NARR/REF A IS THE NAVY AND MARINE CORPS MISHAP AND SAFETY INVESTIGATION, REPORTING, AND RECORD KEEPING MANUAL.//
REF B IS THE ACTIVITY MESSAGE REPORT CONCERNING THE MISHAP//
SUBJ: COMBAT ZONE MISHAP REPORT - REPORT SYMBOL 5102-7C//
//
THIS REPORT IS FOR OFFICIAL USE ONLY. THIS IS A PRIVILEGED, LIMITED USE CONTROLLED DISTRIBUTION, MISHAP REPORT. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT BY MILITARY PERSONNEL IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. UNAUTHORIZED DISCLOSURE OF THE INFORMATION IN THIS REPORT BY CIVILIAN PERSONNEL WILL SUBJECT THEM TO DISCIPLINARY ACTION UNDER CIVILIAN PERSONNEL INSTRUCTION 752.
//
RMKS/1. MISHAP SUMMARY/RECOMMENDATIONS/CORRECTIVE ACITONS:
2. MISHAP DATA:
A. REPORTING ACTIVITY UIC/RUC/MCC:
B. UIC/MCC/RUC OF MISHAP UNIT:
C. MISHAP EVENT LOCATION:
D. PARENT COMMAND UIC/RUC/MCC: *(List the OPCON command. Battalion, squadron, MEF, MAGTF, FSSG, DIV, MAW, Base, station, or parent activity of the organization or unit having the mishap.)*
E. LOCAL TIME, DAY, AND DATE OF MISHAP: *(Example: 0134, Tuesday, 24 March 2003)*
F. UNIT EMPLOYMENT: *(Describe what operation, evolution or procedure was ongoing at time of mishap.)*

G. PERSONNEL INFORMATION:

(A) NAME OF INVOLVED PERSONNEL: *(Provide a list of non-injured and injured personnel who were directly involved in the operation, evolution or procedure. (Last name, first name, middle initial) (repeat as applicable for each involved person and number as person 1, 2, 3, etc.)*

(B) DATE OF BIRTH:

(C) PAY GRADE: (Example:*(0-4, E-3, GS-12, WG-06, etc.)*

(D) DESIGNATOR/NOBC/PRIMARY NEC/MOS (NEC/MOS AS RELATEDS TO EVENT)/CIVILIAN JOB SERIES: *(If Known. Example: 1120, HM-8404, 9956,3502, GS-0018, etc.)*

(E) TASK (JOB) AT THE TIME OF THE MISHAP: *(Describe the specific job this—individual had in relationship to the operation, evolution or procedure.)*

(F) PERSONAL PROTECTIVE EQUIPMENT: *(List any PPE that was required, whether or not it was used, and whether or not it was effective.)*

(G) INJURY TYPE: (*List most significant injury. For injured personnel, provide the appropriate lost time data below, otherwise, indicated N/A.)*

(1) LIGHT OR LIMITED DUTY, OR RESTRICTED WORK START DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

(2) LIGHT OR LIMITED DUTY, OR RESTRICTED WORK END DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

(3) DAYS AWAY FROM WORK DAY START DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

(4) DAYS AWAY FROM WORK END DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

(5) HOSPITALIZATION START DATE AND TIME (MMDDYYYY/LOCAL TIME): *(Example: 03102003/1625)*

(6) HOSPITALIZATION END DATE AND TIME (MMDDYYYY/LOCAL): *(Example: 03102003/1625)*

(H) IF PERMANENT LOSS TO COMMAND, PROVIDE UIC/MCC/RUC OF COMMAND TRANSFERRED TO:

(I) PROPERTY DAMAGE AND COST: *(List property involved in the mishap, whether damaged or not in items (1) and (2) below. Example 5 ton truck, 60mm mortar, forklift, vending machine, 120 feet of 6-foot chain-link fence)*

(1) DOD PROPERTY: *(Described each piece of property damaged and cost. Describe property damage, itemized cost, and include hours to repair and by whom. If property was destroyed, so state.)*

(2) NON-DOD PROPERTY: *(List each piece of property damaged and cost. If property was destroyed, so state.)*

(J) CHAIN OF COMMAND AS ASSIGNED DURING MISHAP:

(1) WAS THE UNIT DEPLOYED: *(YES/NO)*

(2) USN UNIT ECHELON 2 OR MAJOR CLAIMANT:
(3) USN UNIT ECHELON 3 OR TYCOM:
(4) USMC COMPONENT COMMAND:
(5) USMC MAJOR COMMAND:
(6) USMC PARENT COMMAND:
(7) USMC UNIT COMMAND:
(8) USMC COMPANY OR DEPARTMENT

(K) MISHAP ENVIRONMENTAL FACTORS: *(Describe weather or other conditions that may have contributed to the mishap.)*

3. CAUSE CODES AND CAUSE NARRATIVE FOR THE EVENT: (SELECT ALL THAT APPLY FROM GLOSSARY G-7)

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

CHAPTER 6

SAFETY INVESTIGATION BOARD (SIB) REQUIREMENTS

6000. INFORMATION. Safety Investigation Board (SIB) is appointed to identify hazards and causal factors in serious incidents. Their report is an essential tool to identify causes to prevent recurrence.

6001. PURPOSE. Provide guidance on when and by whom an SIB is appointed, identify the members of the board and their responsibilities, and discuss the purpose of assistants. Also included are the establishment of standing boards and provisions for joint investigation boards.

6002. REQUIRED SAFETY INVESTIGATION BOARD (SIB). The following mishaps require an SIB investigation.

1. All on-duty Class A mishaps on or off a government installation (while performing official duties); in commissioned and pre-commissioned U.S. Navy ships after delivery; United States Naval Ships (USNS) with federal civilian mariner crews in the Military Sealift Command (MSC); Navy-owned experimental and small craft; and the ship's embarked equipment, boats, and landing craft, or leased boats. See Glossary G-1 “Class A Mishap.”

2. Military death that occurs during or as the result of a medical event that occurs within one hour after completion of any command directed remedial physical training (PT), physical readiness test (PRT), physical fitness testing (PFT), physical fitness assessment (PFA) or command sponsored activity during normal working hours regardless of any pre-existing medical condition.

3. On-duty injury where death or permanent total disability is likely to occur, or where damage estimates may be expected to exceed one million dollars.

4. Hospitalization, beyond observation, of three or more personnel, at least one of who is a DoD civilian, involved in a single mishap.

5. All explosives mishaps, all ordnance impacting off range and all live fire mishaps resulting in an injury.

6. Any mishap that a controlling command (as defined in paragraph 1005.6) determines requires a more thorough investigation and report, beyond that provided by a command's safety investigator.

6003. APPOINTMENT OF THE SAFETY INVESTIGATION BOARD. Upon notification of a possible Class A mishap, COMNAVSAFECEN or Commandant of the Marine Corps, Safety Division (CMC (SD)) shall remind the controlling command of the investigative and reporting requirements and the availability of an advisor. The controlling command shall direct a safety investigation requiring an SIB via naval message (see Figure 6-1) and assign the initial recommended endorsing chain. The Marine Corps controlling command will assign a mishap file number.

1. Appointing Authority. Commanders responsible for safety investigation and reporting shall appoint SIBs to investigate mishaps.

a. For Marine Corps mishaps, the appointing authority is the first general officer in the chain of command. For mishaps involving individuals or units that are under operational control (OPCON) to other organizations, the first general officer in the OPCON chain of command is the appointing authority.

b. For afloat Navy mishaps, the type commander of the command involved in the mishap normally is the appointing authority. For mishaps involving commands under different type commanders, the fleet commander is the appointing authority. For mishaps involving commands under different fleet commanders, CNO (N09F) is the appointing authority. For MSC, the appointing authority is Commander, Military Sealift Command, (PM1 for Naval Fleet Auxiliary Force (NFAF) civilian mariner manned ships, PM2 for special mission civilian mariner manned ships, and PM3 for USNS Kaiser).

c. For shore Navy mishaps, the appointing authority is the appropriate controlling command of the command involved in the mishap.

2. Members must be appointed in writing by the appointing authority. A sample of an appointment letter is provided as

Figure 6-2. Activities of the SIB become the primary duty of all members until completion and release of the Safety Investigation Report (SIREP) via naval message by the senior member. Personnel appointed to an SIB may not be appointed to, nor serve on, any other investigative board associated with the same mishap. Members of the SIB should not participate in drafting any endorsement related to that mishap.

3. Commander, Naval Safety Center (COMNAVSAFECEN) shall provide the senior member a message or letter outlining the advisor's duties and responsibilities.

6004. COMPOSITION OF A SAFETY INVESTIGATION BOARD

1. Minimum composition of an SIB is three members; however, five is preferred.

2. The appointing authority and senior member of the board can confer and agree on board appointees based on the type and severity of the mishap.

3. For afloat mishaps, all members must be commissioned officers. If the mishap involves more than one naval command, a Navy, Marine, or MSC representative as appropriate, shall be a member of the SIB.

4. The senior member appointed to the SIB shall not be from mishap command. All SIBs shall consist of:

a. A senior member, who shall be a commissioned officer (05 or above), a senior civilian (GS-13 or higher), or a senior official in MSC as appropriate.

(1) A military senior member of a Navy SIB shall be senior to the commanding officer of the command or unit involved in the mishap.

(2) The senior member of a Marine Corps SIB shall be a Marine Corps officer or a senior civilian (GS-13 or higher), and shall be equal to or senior in grade to the commander of the mishap unit.

(3) In cases where the senior member requirement cannot be met, the appointing authority shall request a waiver from the appropriate controlling command.

b. At least two additional members (one of whom could be a subject matter expert (SME) on equipment, systems or procedures).

5. Marine Corps SIBs shall include a safety representative who has completed the Ground Mishap Investigation (A-493-0078) or equivalent course approved by their respective MARFOR or CMC (SD).

6. The exercise of command influence to edit, modify or in any way censor the content of a SIREP prepared by an SIB is contrary to the direction of this manual and is prohibited. For this reason, the senior member of the SIB shall not consult with the commander of the mishap command, mishap command's chain of command or the senior member's chain of command regarding the content of the SIREP prior to its release. This shall not prevent the senior member or other board member from interviewing the commander as a witness to the mishap.

6005. SENIOR MEMBER RESPONSIBILITIES. The senior member of the SIB is responsible for the investigation and reporting of the mishap. The senior member shall:

1. Visit the mishap site immediately upon appointment and actively participate in the safety investigation.

2. Request technical assistance for the safety investigation from the appointing authority or controlling command, when required.

3. Prohibit board members from divulging the results of the investigation and the contents of the SIREP outside the SIB except for communications with COMNAVSAFECEN or CMC (SD). Board members or COMNAVSAFECEN advisor present during an engineering investigation (EI) may not discuss privileged information in the presence of non-board members.

4. Extend to the COMNAVSAFECEN advisor unrestricted access to all evidence, summaries of witness' statements, and proceedings (including access to all witness interviews). Allow the advisor to keep COMNAVSAFECEN or CMC (SD) as appropriate, apprised of the status of the safety investigation.

5. Ensure all witnesses understand and sign one of the two, Advice to Witness statements, either Figure C-1 or C-2.

6. Determine, which witnesses will be offered the opportunity to make a statement under the concept of privilege. If a witness refuses to make a statement, the senior member or designee may offer the promise of confidentiality. See Appendix C.

7. When necessary, recommend to the appointing authority modification to the composition of the board.

8. Direct the preparation and release of a Hazard Report (HAZREP) for any hazard (related to the mishap) with the potential for widespread applicability discovered during the investigation. Refer to Chapter 4.

9. Recommend the mishap unit immediately release a HAZREP for any hazard (not related to the mishap) with the potential for widespread applicability discovered during the investigation. Refer to Chapter 4.

10. Refer requests for physical evidence, summaries of witness' statements, logbooks, photographs, negatives, or tape recordings to COMNAVSAFECEN.

11. If, during the investigation, one of the non-reportable provisions of paragraph 3004 appears to apply, contact the controlling command for permission to terminate the safety investigation.

12. If an autopsy report indicates the death may not have been the result of a mishap, the senior member shall notify the controlling command who will confer with CNO (N09F) or CMC (SD) in conjunction COMNAVSAFECEN to reach an agreement on whether to continue or terminate the safety investigation. If the safety investigation is terminated, submit a SIREP with the information gathered to date. The SIREP will be sent directly to COMNAVSAFECEN, INFO copy to the endorsing chain. No endorsements are necessary unless otherwise directed by either the controlling command, CNO (N09F) or CMC (SD).

13. Direct the preparation and release of the SIREP within 30 calendar days of convening the board. If necessary, request an extension from the controlling command by naval message with the reasons. Include CNO (N09F) or CMC (SD) as appropriate, fleet commanders for afloat mishaps, controlling commands, all endorsers, and COMNAVSAFECEN as info addressees.

14. Transfer custody of all relevant documentary evidence, board members' personal notes, original copies of summaries of all statements, photographs and negatives, and tape recordings to COMNAVSAFECEN. No copy shall remain at the unit level or in the possession of board members. Send a copy of the inventory to CNO (N09F) or CMC (SD) as appropriate, and all endorsers (see Figure 5-5). For Marine Corps units, a copy of the supporting evidence is sent to the appropriate MARFOR.

6006. SAFETY INVESTIGATION BOARD ASSISTANTS. To ensure a thorough safety investigation the SIB may require assistance. The individuals requested by the board will proceed to the mishap site or other location determined by the senior member.

1. COMNAVSAFECEN shall appoint a trained safety investigation advisor for all Class A mishaps, all Class B and C explosive mishaps, all ordnance impacting off range and all live fire mishaps resulting in an injury and may provide an advisor for other mishaps when it would be beneficial to the investigation. The advisor should be present at the convening of the board, when logistically feasible. The safety advisor normally will not be a member of the SIB, but will serve to assist and advise the board in safety investigation and reporting procedures. The advisor may depart before the completion of the investigation if the senior member and COMNAVSAFECEN agree. When agreed to by COMNAVSAFECEN and the controlling command, the COMNAVSAFECEN advisor may be appointed as a member of the SIB.

2. Subject Matter Expert (SME). Individuals who by experience or training are knowledgeable in the specialty area related to the mishap (e.g., policy, procedures, explosives, weapons, combat vehicles, motor transport, construction, vehicle or building maintenance) can provide valuable information to the board. The SME should be involved at the mishap site as early as possible for preliminary inspection of the wreckage and discussion with any personnel involved in the mishap or recovery operation. Use of SMEs is strongly recommended. All SMEs will provide written reports to the board on their findings.

3. Competent Medical Authority. A qualified medical officer (e.g., cardiologist, neurologist, pathologist) may provide valuable information, assist the board in coordinating the analysis of medical evidence, address medical issues on the specifics of the injuries or occupational illnesses, advise board members on the use of medical evidence, and help identify human factors. The concern of the medical expert is medical,

physiological, psychological, social, and behavioral factors, which may reveal human causal factors of the mishap.

6007. STANDING BOARDS. Standing boards may be required as directed at the chain of command level below the controlling command (See paragraph 1005.6 for controlling command list). A standing board is designed to enable rapid investigative response to mishaps and consists of a minimum of two personnel: the senior member and a safety-knowledgeable representative. Subordinate commanders may appoint and convene their own SIBs to investigate mishaps when not specifically directed by higher authority.

1. A standing board is assigned in writing. Copies of the appointing letters are maintained at the command or unit's safety office. Commanders may rotate standing board members as desired and should maintain a pool of qualified senior members.

2. Members of standing boards may assist or augment a board appointed by a subordinate commander; or a standing board may be convened in support of a subordinate commander to conduct an investigation and submit the SIREP. While subordinate commanders have the authority to appoint their own board, there may be times when neither assets nor expertise exist to conduct a thorough safety investigation. Under such circumstances, the commander should request assistance via the chain of command.

3. Names of standing board members shall be made available to the staff duty officer and any other duty roster guidance. Ensure at least one standing board member is notified if a mishap occurs.

4. Standing board members shall be made familiar with the requirements of this manual and be provided indoctrination into any mishap plans applicable to their command.

6008. JOINT INVESTIGATION BOARDS

1. Mishaps involving two or more service components are covered by a Memorandum of Understanding (MOU) between the U.S. Naval, U.S. Army, U.S. Air Force Safety Centers, and the U.S. Coast Guard per Appendix E.

2. For maritime incidents involving units or personnel of two or more North Atlantic Treaty Organization (NATO) nations, the

provisions of NATO Standardization Agreement (STANAG) 1179, Combined Investigation of Maritime Incidents, become effective.

6009. NATIONAL TRANSPORTATION SAFETY BOARD (NTSB) INVESTIGATIONS. NTSB will investigate Naval Introductory Flight Screening (IFS) Program student and military flying club mishaps.

a. Naval participation is as a party, appointed by the NTSB, as arranged by the Commander, Naval Education and Training Command (NETC) for IFS mishaps per reference 6a. CNO (N09F) will arrange naval participation as a party in agreement with NTSB for military flying club mishaps. The naval party will not serve on any other concurrent mishap board while appointed to the NTSB accident investigation. This does not preclude a separate and concurrent safety investigation from being conducted by COMNAVSAFECEN as directed by CNO (N09F) or CMC (SD), as long as it does not interfere with the NTSB investigation.

b. A separate safety investigation may be conducted for military flying club mishaps. The sponsoring flying club facility’s aviation safety officer (ASO) or the ground safety officer (GSO), if no ASO is available, will conduct the separate safety investigation and complete a SIREP report through WESS or by naval message, Figure 5-2 to COMNAVSAFECEN NORFOLK VA//00/40/60//.

6010. SAFETY INVESTIGATION GUIDANCE. Appendices A through C provide guidance on conducting an investigation, witnesses, planning, evidence, mishap reconstruction, and interview procedures.

6011. SAFETY INVESTIGATION REPORTS AND ENDORSEMENTS. The formats for WESS or message reports, extensions, endorsements and evidence messages are provided in Chapter 5. SIREPs and endorsements submitted by an SIB are to be made via WESS. If in naval message format, WESS entries from the report will be made by COMNAVSAFECEN. In handling SIB generated reports:

1. The senior member of the SIB may request extensions using WESS or by naval message to the appropriate controlling command. Include all members of the endorsing chain of command, Fleet Commanders for afloat mishaps, CNO (N09F) or CMC (SD) as appropriate and COMNAVSAFECEN (Code 30/40) as information addressees. Provide specific reasons for delay and point of

contact (POC) with phone numbers and e-mail address (if available). Responses shall be by WESS or naval message and include the same addressees as requesting message. Individuals conducting a command safety investigation may request extensions from the appointing authority and include COMNAVSAFECEN and fleet commanders for afloat mishaps as info addressees.

2. SIREPS shall not refer to disciplinary or administrative action in connection with the mishap. A complete package of the investigation conducted by an SIB consists of two parts - the SIREP and the evidence documents. The SIREP using WESS or the naval message system facilitates timely dissemination of mishap prevention information and special handling of privileged information.

3. SIREP shall not include witness statements from the Judge Advocate General Manual (JAGMAN) or Naval Criminal Investigative Service (NCIS) investigation. The SIB can summarize the witness statements for inclusion with the SIREP.

a. All documentary evidence gathered by command investigators or SIBs will be listed in the SIREP, as indicated in the format.

b. A list of evidence collected by an SIB (board members' personal notes, original copies of summaries of all witness statements, graphic illustrations, physical evidence, medical evidence, background information, and technical information), during the investigation may be included in the SIREP. Otherwise, the SIB may submit a separate message if the list is extensive. The SIREP or this separate message will be sent to all endorsers and included in the package of evidence sent to the COMNAVSAFECEN via registered mail. For USMC reports, a copy of this package also will be sent to the controlling command or CMC (SD) along with the message listing the evidence.

c. Excerpts from service and health records of missing or killed personnel pertaining to the investigation should be included in the documentary evidence package. Original service records shall be handled in accordance with references 6b or 6c. Original health records shall be handled per reference 6d.

d. All physical evidence shall be retained until the senior member of the SIB releases such evidence to the unit commander of the mishap for disposition. No physical evidence shall be forwarded to the COMNAVSAFECEN or the MARFORs and CMC (SD).

e. Copies of the evidence package held by the MARFOR and CMC (SD) shall be destroyed following the completion of the CMC (SD) endorsement.

6012. SAFETY INVESTIGATION BOARD REPORT DISTRIBUTION. If an endorsement will be required by an activity external to the Navy and Marine Corps, the SIB will coordinate with COMNAVSAFECEN or CMC (SD) prior to the release of the SIREP. The SIREP suing WESS or via message is distributed as follows:

1. For all Marine Corps mishaps for which a SIREP is prepared, include CMC (SD), the applicable MARFOR, and the endorsing chain as action addressees. Include COMNAVSAFECEN and all action agencies identified in the SIREP recommendations as info addressees.

2. For Navy mishaps investigated by an SIB include COMNAVSAFECEN and all endorsers as action addressees. Include CNO (N09F), fleet commanders for afloat mishaps, and all action agencies identified in the SIREP recommendations as info addressees.

6013. SUBMISSION CRITERIA. Endorsements are required for all reports as the result of a mishaps investigated by an SIB. Any endorser who finds an investigation incomplete or SIREP inadequate must request the appointing authority to reopen the investigation via naval message. The appointing authority may:

1. Reconvene the SIB and direct it to address the specific areas of concern.

2. Appoint a new safety investigation board to investigate the mishap by starting over or using the original board's evidence and witness statements.

3. Require the endorser, who considered the investigation incomplete, to document their concerns in their endorsement for action by higher authority.

6014. ENDORSING CHAIN. The endorsing chain is generally the same as the operational chain of command up to the controlling command. Individual members of SIBs shall not endorse any investigation in which they participated. If commands identify additional required endorsers during the endorsing process, such as a SYSCOM to address a specific procedure mentioned in another

endorsement, notify the controlling command, CNO (N09F) or CMC (SD) as appropriate.

1. Marine Corps Mishaps. The next endorser is to be listed as “action addressee” and all other commands, endorsers and agencies in the endorsing chain message will be included as "info addressees" on the SIREP endorsement. The controlling command, Marine Corps System Command (MARCORSYSCOM), Naval Ordnance Safety and Security Activity (NOSSSA) and commanding officer of the event shall be included as an endorser for all explosive mishaps. CMC (SD), as part of their final endorsement, will validate and assign action items to appropriate agencies or commands outside of the normal operational chain of command, for those who are identified as having corrective actions in the SIREP or subsequent endorsements at any point in the endorsement process. COMNAVSAFECEN will draft the final endorsement and forward to CMC (SD) for review and release.

2. Navy Mishaps. The next endorser will be listed as “action addressee” and all other commands, endorsers and agencies in the endorsing chain message will be included as "info addressees" on each SIREP endorsement. The controlling command, Naval Ordnance Safety and Security Activity (NOSSSA) and commanding officer of the event shall be included as an endorser for all explosive mishaps. COMNAVSAFECEN, as part of their endorsement, will validate and assign items to all agencies or commands outside of the endorsing chain. System commanders tasked with corrective action are invited to submit message comments to all endorsers of the SIREP for consideration at any point in the endorsement process. COMNAVSAFECEN shall draft the final endorsement for internal review and release.

3. Any endorser who needs to review copies of specific documents (evidence) to prepare their endorsement, may request them from CMC (SD), controlling command, or COMNAVSAFECEN as appropriate. The endorser will destroy the copies of the SIREP supporting documents upon completion of their endorsement.

4. Special Endorsers:

a. When a ship’s commanding officer is assigned corrective action, the commanding officer (and superiors in the chain of command) will be included as part of the endorsing chain for any mishap involving death, injury, or property damage to embarked Marine units.

b. If the commanding officer involved in a mishap detaches from the command before writing the endorsement, the controlling command may provide him or her with a copy of the SIREP and give him or her the opportunity to provide a statement. The detached commanding officer shall send the statement by naval message to the controlling command within 14 calendar days of receiving the SIREP. Based on the contents of the statement, they will:

(1) Readdress the statement to all endorsers of the SIREP for their consideration, or

(2) Provide the statement to COMNAVSAFECEN only for inclusion with the mishap file.

5. Action Agencies. All agencies and commands having SIB corrective action will be included as "action addressees" in the final endorsement which provides the assigned agency or command and due date. Upon receipt, action agencies must send a naval message to the controlling command and CNO (N09F) or CMC (SD), and include all SIREP endorsers as information addressees acknowledging their assigned action. The message should describe their plan to accomplish the corrective action, indicate the start or completion date, and provide the name and the phone number of their point of contact.

6015. SUBMISSION DEADLINES. Endorsement deadlines are as follows:

1. The first endorsement is due within 14 calendar days of receipt of the SIREP.

2. Subsequent endorsements are due sequentially within 14 calendar days of receipt of the preceding endorsement.

3. Action agencies must notify the controlling command and CNO (N09F) or CMC (SD), with a status report of their assigned corrective action items or recommendation action items every 90 days until either it’s been approved, disapproved or modified for closure purposes.

4. CNO (N09F) and CMC (SD) will redact and release the Navy or Marine Corps SIB SIREP report as a lesson learned document for safety awareness purposes to prevent similar mishaps from occurring. Distribution to the appropriate community of

interest shall be within 10 working days after the SIB releases the SIREP.

6016. EXTENSIONS. Endorsers shall request an extension from the controlling command via message with CNO (N09F) or CMC (SD), as appropriate, and endorsing chain of command as information addressees.

6017. CONTENT. Endorsers shall review the SIREP and previous endorsements to make a determination on whether they agree or disagree with the causes, recommendations, and risk assessment codes (RACs) of the SIB. If the SIREP, or previous endorser, recommended action by the current endorser, state the action taken to date on that recommendation.

1. If an endorser agrees with all causes, recommendation, and RACs in the SIREP and any added by endorsers, then a brief statement of concurrence is sufficient.

2. If the endorser disagrees with some causes, recommendations, or RACs in the original SIREP, state, "AGREE WITH THE CAUSES, RECOMMENDATIONS, AND RACS IN THE SIREP EXCEPT FOR THE FOLLOWING" and then restate the original cause, recommendation, or RAC with which the endorser disagrees and type "DO NOT CONCUR." Provide the reason for disagreement.

3. If the endorser also disagrees with some causes, recommendations, or RACs added by a previous endorser, state, "AGREE WITH THE CAUSES, RECOMMENDATIONS, AND RACS ADDED IN (refer to the appropriate endorsement) "EXCEPT FOR THE FOLLOWING." Then, restate the added cause, recommendation, or RAC with which the endorser disagrees and type, "DO NOT CONCUR." Provide the reason for disagreement.

4. If desired, each endorser may provide comments on the mishap.

6018. FINAL ENDORSEMENT. CNO (N09F) or CMC (SD) (as appropriate) is the final SIREP endorser. If not previously assigned, CNO (N09F) or CMC (SD) will designate action agencies for agreed upon recommendations or action items. This endorsement signifies the final step in the investigative and endorsing process. Upon receipt of the final endorsement, MARFORs will destroy their copies of documentary evidence. The original evidence will be maintained at the COMNAVSAFECEN for

CNO (N09F) and CMC (SD). COMNAVSAFECEN and CMC (SD) will track all recommendation or action items.

6019. ENDORSEMENT DISTRIBUTION

1. Endorsements for Marine Corps mishaps shall include CMC (SD) and the applicable controlling command as action addressees. Include COMNAVSAFECEN, the endorsing chain, and all action agencies identified in the SIREP recommendations and any added action agencies as info addressees. When necessary, CMC (SD) will readdress previous message traffic to commands added during the endorsing process.

2. Endorsements for Navy mishaps shall include COMNAVSAFECEN and all endorsers as action addressees. Include CNO (N09F) and all action agencies identified in the SIREP recommendations and any added action agencies as info addressees. When necessary, COMNAVSAFECEN will readdress previous message traffic to action agencies added during the endorsing process.

3. The Office of the Judge Advocate General (JAG) and Staff Judge Advocates (SJAs) shall not be addressees on any SIREP endorsements nor shall copies be provided to them.

4. Distribution of SIREP messages to individuals or commands not per this manual is prohibited.

5. SIREP endorsement messages normally are unclassified. Omit information on reports that warrant classification, replace it with the word "classified," and submit a classified supplement or addendum.

6. SIREP endorsement messages are exempt from MINIMIZE provisions of naval messages.

6020. HANDLING ENDORSEMENTS. SIREP endorsements become part of the SIREP and are afforded the same protection.

1. SIREP endorsements are privileged and require special handling to ensure their use is solely for safety.

a. Recipients must control internal distribution of SIREP endorsements. Limit dissemination to those who require knowledge of the report for safety purposes. Unit-wide dissemination for general awareness is not authorized. Configure electronic message dissemination systems to ensure

only those requiring knowledge of their content, for safety purposes, are included in the distribution parameters. Commands will not distribute SIREPS to unauthorized commands.

b. Uncontrolled dissemination of endorsements which could result in access by those not requiring knowledge of their content for safety (such as placement in read boards, bulletin boards, etc.) is prohibited.

c. Controlled passing of SIREP and endorsements between individuals or within offices while in file folders is appropriate. It ensures their contents are protected and disclosure limited to specific individuals who require knowledge of their contents for safety purposes.

d. Endorsements are For Official Use Only (FOUO) documents and shall be handled in accordance with reference 6e.

2. Do not append or include SIREP endorsements in JAG investigations. SIREP endorsements shall not refer to disciplinary or administrative action in connection with the mishap.

3. When COMNAVSAFECEN releases the redacted SIB SIREP message, COMNAVSAFECEN has the exclusive authority to direct specific addressees to readdress the message to their subordinate commands that may have responsibilities applicable to specific parts of the mishap report or were specifically implicated in the mishap. The readdressed authority cannot be assumed or expanded by commands in the SIB SIREP endorsement chain or other addresses.

6021. REFERENCES

6a. OPNAVINST 3750.16C, Participation in a Military or Civil Aircraft Accident Safety Investigation

6b. MILPERSMAN 5030140 (Enlisted) and 5030141 (Officer), Navy Military Personnel Manual

6c. MCO P1070.12, Marine Corps Individual Record/ Administrative Manual

6d. NAVMEDCOMINST 6512.2, Manual of the Medical Department

6e. SECNAVINST 5510.36, Department of the Navy Information Security Program Regulation

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FIGURE 6-1

SAFETY INVESTIGATION BOARD (SIB) APPOINTMENT SAMPLE MESSAGE FORMAT

The controlling command will be one of the following: CNO (N09F); CMC (SD); CG, MCCDC; COMMARCORSYSCOM; COMMARCORLOGCOM, CG, MCRC; COMMARFORPAC; COMMARFORLANT; COMMARFORRES; BUMED; BUPERS; NETC; CNI, COMNAVAIRSYSCOM; COMNAVFACENGCOM; COMNAVRESFOR; COMNAVSEASYSCOM; COMNAVSECGRU; COMSPAWARSYCOM; COMNAVSPECWARCOM; COMNAVSUPSYSCOM; COMSC; COMLANTFLT; COMPACFLT; and afloat type commanders, *shall send a message to the appointing authority* (e.g., ISIC, f*leet/type commander or first general officer) directing them to establish a Safety Investigation Board (SIB), define the Safety Investigation Report (SIREP) initial recommended endorsement chain, and assign due dates as described in this manual via naval message.*

FM *(Controlling Command)*
TO *(Appointing Authority)*
INFO *(All initial SIREP endorsers)*
(Mishap units)
(Mishap unit chain of command)
(For SIB endorsements include:
CG MARCORSYSCOM AMMO (USMC explosive mishaps only)
NAVORDSAFSECACT MD//00/09/N7// (All explosive mishaps))
COMNAVSAFECEN NORFOLK VA//30/40//
CMC WASHINGTON DC//SD//
(Other appropriate commands)
UNCLAS //N05102//
MSGID/GENADMIN/ (Originator) **//**
SUBJ/APPOINTING A SAFETY INVESTIGATION BOARD//
REF/A/OPREP-3/ *(Mishap unit)* **/** *(DTG)* **//**
REF/B/DOC/CNO/ *(Date)* **//**
NARR/REF B IS OPNAVINST 5102.1D/MCO P5102.1B, NAVY AND MARINE CORPS MISHAP AND SAFETY INVESTIGATION REPORTING MANUAL//
POC/NAME/RANK/COMMAND/LOCATION/TELEPHONE NUMBER/EMAIL//
RMKS/1. REF A REPORTED A (POSSIBLE) CLASS A MISHAP. AN SIB IS REQUIRED IF THE MISHAP MEETS THE CRITERIA FOR A CLASS A MISHAP. THIS INCLUDES:
A. *(A death, or)*
B. *(An injury resulting in permanent total disability, or)*
C. *(The total cost of reportable damage is $1,000,000 or more.)*
D. *(Class B or C explosive mishap, all ordnance impacting off range and all live fire mishaps.)*
2. IF YOU DETERMINE THE MISHAP MEETS CLASS A SEVERITY OR EXPLOSIVE MISHAP, ACCORDING TO REF B YOU MUST APPOINT AN SIB.

MEMBERS OF THE SIB CANNOT BE ASSIGNED TO ANY OTHER INVESTIGATION (JAGMAN, BOARD OF INQUIRY) INTO THE MISHAP. MEMBERS OF THE MISHAP UNIT SHALL NOT BE APPOINTED TO THE SIB.

3. COMNAVSAFECEN IS STANDING BY TO SEND AN ADVISOR TO ASSIST THE SIB IN THE INVESTIGATION. THEY NEED TO KNOW WHEN AND WHERE THE SIB WILL CONVENE. HAVE YOUR SAFETY OFFICER CONTACT THEM BY PHONE OR EMAIL.

4. IF THE BOARD NEEDS TECHNICAL ASSISTANCE, THE SENIOR MEMBER MUST REQUEST ASSISTANCE EITHER THROUGH THE CONTROLLING COMMAND, CNO (N09F) OR CMC (SD), AS APPROPRIATE.

5. UPON COMPLETION OF THE INVESTIGATION, THE SENIOR MEMBER SHOULD SEND THE SIREP TO THE FOLLOWING MINIMUM ENDORSERS:

A. MISHAP UNIT
B. CONTROLLING COMMAND
C. ACTION AGENCIES
D. CNO (N09F) OR CMC (SD) AS APPROPRIATE
E. COMNAVSAFECEN

6. CONTROLLING COMMAND: ASSIGN A FILE NUMBER FOR ALL CORRESPONDENCE RELATING TO THIS MISHAP.//

BT

FIGURE 6-2

APPOINTMENT LETTER FOR SIB MEMBERS
SAMPLE FORMAT

5102
(Code)
(Date)

From: (Appointing Authority (e.g., COMPHIBGRU; Commanding General, Marine Corps Recruit Depot; Commanding Officer, etc.)
To: (Rank, Name, SSN, Service)
Via: (Command of the appointed member, if different from the appointing authority)

Subj: APPOINTMENT AS MEMBER OF (ORGANIZATION) SAFETY INVESTIGATION BOARD

Ref: (a) OPNAVINST 5102.1D/MCO P5102.1B, Navy and Marine Corps Mishap and Safety Investigation Reporting Manual
(b) OPREP 3/PCR/SIR/OPREP-3 (message DTG)

1. Per reference (a), and based on your professional experience and knowledge, I appoint you as (the senior member) (a member) of the (organization) safety investigation board for the mishap initially reported in reference (b). For senior member only: You shall comply with the responsibilities described in reference (a) paragraph 6005.

2. I direct your attention to the provisions of reference (a) concerning privileged information. You shall properly safeguard all privileged information available to you as a member of the board.

3. When investigating and reporting a mishap, your duties as a member of the board shall take precedence over all other duties. You will not be assigned to do a Judge Advocate General Manual (JAGMAN) or other investigation of the same mishap.

4. The responsibility inherent in the appointment extends beyond any loyalties you may hold to the command. The Navy and Marine Corps safety program depends on the efforts of safety investigators to analyze mishaps to identify and remove potential causes of injury and damage. The sole objective of

the board is mishap prevention. Therefore, your efforts should include complete, open, and forthright expressions of your views. Rest assured, the Safety Investigation Report (SIREP) shall be used within the Department of the Navy, for safety purposes only.

5. Should any circumstances arise which would preclude the proper performance of your duties as (the senior member) (a member) of this SIB, notify (Name the POC, provide e-mail address, and telephone numbers) the authority issuing this appointment.

6. Contact the Naval Safety Center if you experience any difficulties in properly conducting the investigation.

//Signed//

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CHAPTER 7

PROTECTION OF SAFETY INFORMATION

7000. INFORMATION. Commander, Naval Safety Center (COMNAVSAFECEN) is the Department of the Navy's (DoN) sole release authority for privileged safety investigation information. This ensures commanders and safety officials can obtain accurate mishap information to promote safety and readiness. Obtaining safety information is dependent upon protecting privileged information against use for other than safety purposes. Violations of this trust will destroy the credibility of the safety programs that have based their success on the ability to protect privileged information.

7001. PURPOSE. Provides information on the concept of privilege pertaining to safety information, the authority for the dissemination of safety information, and procedures for obtaining it.

7002. CONCEPT OF PRIVILEGE. Military and federal courts grant protection under executive privilege to the analysis, conclusions and recommendations of command safety investigators, members of Safety Investigation Boards (SIB), and Safety Investigation Report (SIREP) endorsers. Additionally, information given by witnesses under promise of confidentiality to safety investigation boards is privileged. The concept of privilege:

1. Encourages safety investigators and the endorsers of safety investigation report SIREPs to provide complete, open, and forthright information, opinions, causes, and recommendations about a mishap. Rationale for designating safety investigation information as privileged is more important than the rationale for encouraging witnesses. Every investigation involves SIB members, endorsers or command safety investigators. Not every mishap has witnesses who would require an assurance of privilege as encouragement to make a statement.

2. Overcomes any reluctance of an individual to reveal complete and candid information to an investigator about the events surrounding a mishap. They may believe the information could be embarrassing or detrimental to themselves, fellow service members, their command, employer, or others. They may also elect to withhold information by exercising their constitutional

right to avoid self-incrimination. Individual members of the armed forces must be assured they may confide with the investigator for the mutual benefit of fellow service members without incurring personal jeopardy in the process.

3. Protection of Privileged information. To continue the revelation, development, and submission of privileged information in SIREPs and endorsements, everyone in naval safety must keep faith with the promises we make while gathering it. Violations of this trust will destroy the credibility of safety programs that have depended for their success on the ability to protect privileged information. The following safeguards will help protect privileged information:

a. Evidence. Photographs, drawings, maps, charts, videos, etc., a safety investigator stages or annotates are privileged. Information directly calculated by a safety investigator, or developed at the specific request of the safety investigator, is privileged when that information would reveal the process leading to the development of conclusions, causes, and recommendations.

b. Investigators. Command safety investigators and members of an SIB shall not, nor may they be requested to, divulge their opinion or any information gathered during the investigation.

c. Witness Statements. Witness statements to an SIB shall not be provided to any activity, except as authorized in this Manual. Once the witness makes a statement to the SIB, the contents of the statement become part of the SIB's evidence.

d. Safety Investigation Reports (SIREP). The preparation of the SIREP requires the command safety investigator or SIB to analyze the information gathered which leads to the development of conclusions, causes, and recommendations. Therefore, those parts of the SIREP are privileged. The dissemination of privilege information is discussed in paragraph 7003.

4. Unauthorized uses of privileged information. Privileged information shall not be used:

a. In making any determination affecting the interest of an individual making a statement under assurances of confidentiality or involved in a mishap.

b. As evidence or to obtain evidence in determining the misconduct or line-of-duty status.

c. As evidence to determine the responsibility of personnel for disciplinary or administrative action.

d. As evidence to assert affirmative claims on behalf of the government.

e. As evidence to determine the liability of the government for property damage caused by the mishap.

f. As evidence before administrative bodies, such as officer or enlisted separation boards, judge advocate general manual investigations or inquiries, naval aviator or naval flight officer evaluation boards (USN) and field performance boards (USMC).

g. In any other punitive or administrative action taken by the Department of Navy.

h. In any other investigation or report of the mishap.

7003. DISSEMINATION OF INFORMATION. Unauthorized disclosure of safety information by military personnel is a criminal offense punishable under article 92, Uniform Code of Military Justice (UCMJ). Unauthorized disclosure of safety information by civilian personnel will subject them to disciplinary action under civilian personnel instruction 752. Disclosure of safety information is authorized as described below:

1. Department of the Navy (DoN):

a. When appropriate, COMNAVSAFECEN or CMC (SD) may extract safety information and issue lessons learned based on reports of safety investigations submitted. The distribution of the lessons learned depends on the subject. The privileged status of a SIREP or endorsement shall not restrict the dissemination of essential safety information by COMNAVSAFECEN or CMC (SD). When a SIREP contains essential safety information based on privileged or personal information, and the information has not been adequately distributed to those in need of the information, COMNAVSAFECEN or CMC (SD) may readdress, redact, or extract critical safety information for dissemination to appropriate agencies or commands.

(1) Readdress. Readdress the entire safety investigation report (COMNAVSAFECEN or CMC (SD)). COMNAVSAFECEN or CMC (SD) shall take this action immediately upon receipt of a SIREP to ensure all appropriate senior Navy and Marine Corps commanders are aware of the safety investigation board's analysis of the mishap.

(2) Redact. Scrub or sanitize identifying information from the SIREP that could link the report with an individual, organization, or mishap, and disseminate the essential safety information remaining in the report. COMNAVSAFECEN or CMC (SD) shall take this action as soon as practical upon receipt of a SIREP to ensure appropriate DoD, DoN, Navy or Marine Corps commands are aware of the details of the mishap. (COMNAVSAFECEN and CMC (SD) only)

(3) Extract. COMNAVSAFECEN or CMC (SD) shall extract the essential safety information from the report and disseminate the information or lessons learned.

b. Commands requesting data or information for other than safety purposes with which they are appropriately concerned shall forward requests for safety information or SIREPs from Marine Corps, Navy and other DoN activities to COMNAVSAFECEN, Attn: Code 60.

NOTE:
Safety data retrieved directly from the WESS consolidated database via the report function of the Web-Enabled Safety System (WESS) is controlled through Information Systems Security Program password protection criteria. Data available through the WESS consolidated database does not include privacy or privileged information, unless permission is specifically granted by COMNAVSAFECEN for ad-hoc data search capability. Example: SIREP Part A reports covering an Explosive Mishap Report (EMR), contained within the WESS consolidated database, may permit each Navy and Marine Corps command receiving EMR notification to disseminate the data to appropriate commands and personnel.

c. Office of the Judge Advocate General (OJAG): Commands receiving requests from OJAG shall forward the request immediately to COMNAVSAFECEN, Attn: Code 03.

2. Department of Defense (DoD):

a. Safety Centers: Requests from other DoD safety centers shall be forwarded to COMNAVSAFECEN, Attn: Code 60.

b. Office of the Secretary of Defense (OSD): Commands receiving requests from OSD shall forward the request immediately to COMNAVSAFECEN, Attn: Code 02.

c. Other DoD Commands: All requests from other non-DoN commands shall be referred to their service-specific safety center, who will forward the request on to COMNAVSAFECEN in accordance with the inter-service MOU.

d. Department of Defense Law Enforcement Components. Commands receiving requests from DoD law enforcement components shall forward the request immediately to COMNAVSAFECEN, Attn: Code 03.

3. Department of Justice (DOJ). Commands receiving requests from OJAG shall be forward the request immediately to COMNAVSAFECEN, Attn: Code 03.

4. Other Federal Executive Agencies:

a. Safety Officers and Centers: Requests from federal personnel in safety positions, billets, or duty assignments or National Transportation Safety Board (NTSB) and Occupational Safety Health Administration (OSHA) shall be forwarded to COMNAVSAFECEN, Attn: Code 60.

b. All Others: Requests from all other federal executive agencies requesting data or information for other than safety purposes with which they are appropriately concerned shall be forwarded to COMNAVSAFECEN, Attn: Code 60.

5. Congress. Commands receiving requests from congress, congressional committees, sub-committees or staff members including the General Accounting Office (GAO), shall forward the request immediately to COMNAVSAFECEN, Attn: Code 03.

6. Courts. Commands receiving requests or subpoenas of information from courts, whether federal, state, courts-martial, or foreign shall forward the request immediately to COMNAVSAFECEN, Attn: Code 03. All such requests shall be coordinated with Chief of Naval Operations (CNO) or CMC, OJAG,

and DOJ, as appropriate. COMNAVSAFECEN is authorized to assert the safety privilege to all court requests and orders for safety-privileged information per reference 7a.

7. State and Local Governments:

a. Safety Officers: Requests from state and local governments in safety positions, billets, or duties shall be forwarded to COMNAVSAFECEN, Attn: Code 30 (afloat) or Code 40 (USMC or Navy shore).

b. All Others: All other requests shall be considered a FOIA request and forward to COMNAVSAFECEN, Code 03.

8. North Atlantic Treaty Organization (NATO) and Allied Nations. Requests from member nations of NATO and allied nations shall be forwarded to COMNAVSAFECEN, Attn: Code 30 (afloat) or Code 40 (USMC ground or Navy shore).

9. Non-allied Nations. Unless otherwise directed by COMNAVSAFECEN, all such requests shall be considered a FOIA request and forward to COMNAVSAFECEN, Code 03.

10. Contractors:

a. Direct Support of DoD Contracts:

(1) When information is requested by a contractor for direct use in a contract that they currently hold with DoD, the contractor shall be referred to their DoD sponsor to forward the written request to COMNAVSAFECEN, Attn: Code 30 (afloat) or Code 40 (USMC ground or Navy shore).

(2) All forwarded requests shall be replied to via the sponsoring agency. A uniformed point-of-contact shall be required. Requests forwarded on behalf of contractors are required to be in writing, regardless of the sponsor.

(3) Under no circumstances shall information or data be released directly to a contractor, including upon the request of the DoD sponsor. All replies shall be written responses and routed via the sponsor.

b. All Others: All other requests shall be considered a FOIA request and forward to COMNAVSAFECEN, Code 03.

11. News Media. Commands receiving requests from members of the news media shall forward the request immediately to COMNAVSAFECEN, Attn: Code 08, in accordance with reference 7b.

12. Releases by an Individual Having Knowledge of Mishap Information. It is forbidden for anyone with knowledge of the contents of SIREP or safety information to release this information, except as this manual permits. If an individual having knowledge of privileged safety information or SIREP contents receives a request for information, they should forward the request to their commanding officer, who shall refer the requestor to COMNAVSAFECEN, Attn; Code 03.

13. National Transportation Safety Board (NTSB) Flow and Dissemination of Information. Naval parties to an NTSB investigation may relay to their respective organizations information necessary for purposes of prevention or remedial action. However, no information concerning the mishap or incident may be released to any person not a party representative to the investigation (including non-party representative employees of the party organization), before initial release by the NTSB without prior consultation and approval of the investigator-in-charge per reference 7c.

14. Requesters Not Otherwise Specified:

a. All other requesters shall be evaluated to determine whether their request is in support of a legitimate safety purpose.

b. Unless compelling reasons are found by COMNAVSAFECEN to consider the requester to be in support of a legitimate safety purpose, the request shall be considered to be a FOIA request.

15. Release based on the Freedom of Information Act (FOIA). DoN commands will forward all FOIA requests (or similar requests for information not mentioning FOIA) for safety information they receive to COMNAVSAFECEN, Attn: Code 03, per reference 7d, for action and direct response to the requester.

7004. <u>REFERENCES</u>

7a. DODI 6055.7 of 3 Oct 00, Accident Investigation, Reporting and Record Keeping

7b. SECNAVINST 5720.44A, Department of the Navy Public Affairs Regulations

7c. 49 CFR 831, Sub-Part C, Exemption for the Leasing Regulation

7d. SECNAVINST 5720.42F, Department of the Navy Freedom of Information Act (FOIA) Program

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APPENDIX A

INVESTIGATION TECHNIQUES

1. TYPES OF INVESTIGATIONS

a. Safety Investigations. There are three types of safety investigations.

(1) Unit/Command Safety Investigations. Class B, C, and other reportable mishaps that do not require a safety investigation board (SIB) are investigated at the unit level.

(2) Safety Investigation Boards (SIB). On-duty and off-duty on base Class A mishaps require investigation by an SIB. For information on SIBs, see Chapter 6.

(3) Directed Safety Investigations. In special cases, Chief of Naval Operations (CNO (N09F)) or Commandant of the Marine Corps, Safety Division (CMC (SD)) may direct an independent safety investigation. These independent investigations do not relieve commanders of their responsibilities for safety investigation and reporting as required by this manual.

b. Judge Advocate General Manual (JAGMAN) Investigations. A mishap involving naval activities may require an investigation pursuant to the JAGMAN in addition to the safety investigation. JAGMAN investigations are conducted for legal or administrative action, when the potential exists for claims against the government, possible negligence, culpable performance of duty, etc. Nothing in this Manual prevents JAGMAN investigators from access to the same non-privileged factual material or witnesses available to the safety investigators and vice versa. Safety investigation reports (SIREP) shall not be included in any JAGMAN investigations.

c. Criminal and Security Investigations. Any death occurring on a Navy or Marine Corps activity must be investigated by Naval Criminal Investigative Service (NCIS) per reference A-1. NCIS will investigate the circumstances of the death until criminal acts, diseases, or natural causes reasonably can be excluded. The Memorandum of Understanding (MOU), Appendix D, between NCIS and Commander, Naval Safety

Center COMNAVSAFECEN explains the working relationship between the criminal and safety investigations. Refer all questions to COMNAVSAFECEN (Code 03) should difficulties arise between NCIS and safety investigators.

d. Investigation by Other Agencies. Mishaps occurring on- or off-base may result in investigations by National Transportation Safety Board (NTSB), the Occupational Safety and Health Administration (OSHA), emergency medical service (EMS), civilian or federal fire departments, civilian or federal law enforcement, etc. In this case, an extensive safety investigation may not be needed to obtain some of the pertinent information required by this manual.

(1) Refer all questions to COMNAVSAFECEN (Appendix F) should difficulties arise between these agencies and safety investigators.

(2) The NTSB investigator-in-charge designates parties to participate in the investigation. Parties shall be limited to those persons, government agencies, companies, and associations whose employees; functions, activities, or products were involved in the incident and who can provide suitable qualified technical personnel actively to assist in the investigation, per reference A-2.

e. Inter-Service Safety Investigation Requirements. Procedures for joint investigation and reporting is covered by the MOU among the Naval, U.S. Army, and U.S. Air Force Safety Centers and the U.S. Coast Guard (See Appendix E).

f. If a maritime incident involves units or personnel of two or more North Atlantic Treaty Organization (NATO) nations, the provisions of NATO Standardization Agreement (STANAG) 1179 (NOTAL), Combined Investigation of Maritime Incidents, become effective. Under the provisions of STANAG 1179, NATO nations agree to conduct either a combined court of inquiry, a national inquiry attended by witnesses and/or observers from other nations, or an independent national inquiry coordinated by the presidents of the inquiries.

g. Relationships. Safety investigations must be separate and distinct from all other investigations. To ensure the independence of the safety investigation, the following applies:

(1) Personnel assigned to conduct safety investigations, assigned as a member or advisor to an SIB are excluded from assignment to a JAGMAN investigation of the same incident.

(2) Personnel assigned as the primary duty safety officer, shall neither assist nor be assigned to conduct any JAGMAN investigation.

(3) SIREP and privileged information shall not be made available, shared or included in any JAGMAN investigation. However, the safety investigator may review information gathered during the JAGMAN investigation.

h. Criminal Activity. If during the course of the investigation, any investigator discovers a criminal act, the senior member of the SIB or the command's safety investigator immediately shall notify the appointing authority for guidance to determine the need to continue or terminate the investigation. The appointing authority will then confer with COMNAVSAFECEN SJA and advise NCIS or CMC (SD) (as appropriate).

(1) Some evidence gathered during the safety investigation may be releasable to other investigators. The safety investigator shall not release information revealing the source of any physical evidence obtained because of privileged information, nor any statements given.

(2) The safety investigator shall give non-privileged physical evidence to the senior NCIS agent.

(3) Valuable safety information may result from investigating a Navy or Marine Corps mishap that occurred after the criminal act. The safety investigation may be continued if directed by the appointing authority after consulting with COMNAVSAFECEN (Staff Judge Advocate).

For example: In an arson case, safety investigators would notify the NCIS. But, if during the fire fighting, two oxygen breathing apparatus (OBA) or self-contained breathing apparatus (SCBA) failed and caused two fatalities, we may wish to continue the safety investigation. We can learn important information on the reliability of OBAs or SCBAs or other fire fighting equipment from the safety investigation.

i. Sharing of Investigative Information. To preserve the integrity of the safety investigation process, safety investigators may share only factual (non-privilege) items as specifically requested by other investigators.

2. EVIDENCE GATHERING

a. A complete and comprehensive safety investigation is an essential tool for identifying mishap causes to prevent recurrence. The circumstances surrounding mishaps are diverse. It is not possible to describe every circumstance under which specific kinds of evidence are collected during a safety investigation. Great reliance is placed on the single investigator or the members of the SIB. The first step in a safety investigation is to determine the facts or "what happened." Identifying all the relevant facts through the investigative process enables the investigator to satisfy this requirement. As facts are gathered and reviewed, first impressions should not influence the investigation; rather, they should review the totality of the mishap's circumstances to ensure that all information is considered in determining what occurred. Information should be reviewed for relevance and accuracy, and then validated. Not all information can be established as factual with complete certainty. The sooner an investigation starts the better the result. All safety investigations are conducted solely for safety purposes.

b. Criminal Evidence. If during the course of the safety investigation, evidence of a criminal act is discovered.

c. Evidence Pertinent to a Safety Investigation

(1) Official personnel, medical, pay, and training records; maintenance history; and property and material related to the mishap.

(2) All files on government owned computers and individual logs required by other directives (e.g., dive and jump logs).

(3) All previously gathered evidence, videos, photographs, witnesses' names, statements, and other reports.

(4) Appendices D and E explain the relationship between the safety investigator and NCIS agents and other service's safety centers.

d. Collection of Evidence. When a reportable mishap occurs, an attempt should be made to preserve the site. Physical evidence may include wreckage or damaged equipment or any other physical proof of a mishap in the area directly affected by or surrounding the scene of the mishap. Operational requirements or damage control measures may require disturbing the scene of the mishap before the safety investigator arrives. Assigned safety investigators must contact those activities for a list of witnesses and any evidence collected before the clean up. If the site has not been disturbed, the safety investigator should gather graphic illustrations, collect physical and medical evidence, and background and technical information. List everyone in the area of the mishap including people at the scene before, during, or after the mishap, and people involved in the rescue and cleanup. Encourage them to develop personal notes concerning the mishap to refer to during interviews. Witnesses should write down their own observations and should not discuss the mishap with other witnesses.

(1) Graphic Illustration. Make a permanent record of the mishap scene:

(a) Make plots, diagrams, or sketches of the scene and equipment, before moving or removing any wreckage. Identify the position of people, equipment, material and debris to facilitate the analysis.

(b) Take photographs or videotape recordings of the wreckage, its distribution, and the surrounding area. Photographs are helpful in preserving items of evidence, which would be destroyed by time or elements. They eliminate lengthy narrative descriptions and provide reviewing officials and units with a clearer understanding of the mishap sequence and the environment. Photograph the mishap site surrounding the site and all items of evidence prior to removal, when possible.

(2) Physical Evidence. Investigators must handle all evidence carefully, including pieces and parts of equipment or material, to make sure they don't alter or destroy it. Wear gloves or avoid handling the evidence with your hands.

(a) Put all evidence in sealed plastic bags, if possible.

(b) Tag each item with a full description and its relationship to the mishap. Use masking tape, index cards, or self-adhesive labels to identify each item of evidence. Include:

1. When it was collected and by whom.

2. Location, including its relationship to other items.

3. Identification, such as NSN, model number, military specification (MILSPEC), and manufacturer.

4. Store all moved parts, wreckage, and debris in a secure area and safeguard them until released.

5. Physical evidence is not privileged. Other investigators may request the physical evidence. Don't include any privileged information on the label or inside the bags. If necessary, use a numbering, lettering, or other coding system to identify evidence. If you send evidence to a laboratory for analysis, package it carefully.

(3) Medical Evidence. The collection of any time-sensitive medical evidence, such as blood and urine samples pertinent to the safety investigation should be collected as soon as possible after the incident. The collection and analysis of medical and human factors evidence must be coordinated with all other aspects of the investigation.

(a) Medical Evaluation and Treatment. The competent medical authority assigned to assist in the investigation shall consult the record of medical treatment of the involved personnel. Provide a signed copy of Figure A-1 should the health care provider deny safety investigators access to the medical records of the mishap victims per the Health Insurance Portability and Accountability Act (HIPPA), which provides an exception for safety investigations.

(b) Pathological Studies. An autopsy should be ordered whenever a fatality occurs as a result of a mishap. The Armed Forces Medical Examiner (AFME) has the authority to order autopsies in some cases involving the death of a service member

per references A-3 and A-4. If a state, local, or other government agency that performed the autopsy and the report has not been provided, or a preliminary report is required, contact the Armed Forces Institute of Pathology (AFIP) for assistance in obtaining a copy, by calling 1-80-944-7912.

1. The medical representative plays a critical role in jurisdiction issues. The Navy and Marine Corps has jurisdiction when the mishap occurs on property that is under exclusive federal jurisdiction (see paragraph b below). However, most bases have concurrent jurisdiction. The medical representative should establish a working relationship (based on formal pre-mishap agreement) with the local authorities and explore the options.

a. If the jurisdiction is concurrent or exclusively civilian, then the local coroner or medical examiner will have jurisdiction. He may:

(1) Retain jurisdiction and perform the autopsy.

(2) Retain jurisdiction and request that representatives of the AFME perform the autopsy under his jurisdiction.

(3) Waive jurisdiction to the Navy or Marine Corps, thereby making jurisdiction essentially federal (paragraph 2 below), in which case the AFME will order the autopsy.

(4) Retain jurisdiction but not perform the autopsy. Instead, he will release the body to the next of kin, who in turn may authorize the autopsy by a military pathologist (requiring an SF 523 - - Authorization for Autopsy form, from the next of kin).

b. For exclusively federal jurisdiction, the AFME has the authority to order the autopsy. The commanding officer may sign the authorization form (SF 523) as the agent of the AFME.

2. If a state, local, or other government agency performed autopsy has not been provided or a preliminary report is required, contact Armed Forces Institute of Pathology (AFIP) for assistance in obtaining a copy, by calling 1-800-944-7912.

(c) Autopsy Report. If an autopsy report indicates the death may not have been the result of the mishap, the senior member shall notify the controlling command who will confer with COMNAVSAFECEN command surgeon, Code 14, and reach agreement on continuing or terminating the investigation. If an investigation is terminated, submit a SIREP with the information gathered to date. The SIREP will be sent directly to COMNAVSAFECEN, INFO copy to the endorsing chain. No endorsements are necessary unless otherwise directed by the controlling command.

(4) Background Information. Various forms of documents and personal information will provide background knowledge of events leading up to the incident. The SIB may collect or assemble information from:

(a) Official personnel, medical, pay, and training records.

(b) Files on government-owned computers, messages and official correspondence.

(c) Individual logs required by other directives (e.g., dive and jump logs).

(d) The qualification of the people involved.

(e) The state of training of the people involved.

(f) The effectiveness of damage control efforts.

(g) A 72-hour profile traces the chronological actions and activities of individuals directly involved in the mishap or had an influence on the incident. Including the profile is optional; however, the information may be valuable to the investigators. The following information is important in the development of the profile:

1. Leave and liberty status.

2. Work schedule and work performed.

3. Periods of rest and sleep.

4. Medications prescribed.

5. Alcohol and other drugs ingested (prescription, nonprescription, and illegal).

6. Distances and times for travel.

7. Behavior changes (general physical condition, including illnesses, viral infections, physical anomalies, recent chronic fatigue, hypertension, diabetes, elevated cholesterol, or other medical problems).

8. Individual's mental, emotional, and physical state including perceived stress and behavior changes based on supervisor, co-workers, and friends.

9. Other comments the supervisor, next-of-kin, co-workers, and friends wish to make related to the individual's condition or pre-mishap activities.

10. Other factors prior to the mishap that could have affected the mishap occurrence or its outcome.

11. Any adverse administrative or punitive action or any other behavior infractions for the past three years.

12. For personnel involved in a Physical Training (PT), Physical Readiness Test (PRT), Physical Fitness Test (PFT) or Physical Fitness Assessment (PFA) related mishaps include the following:

a. Height, weight, and percent body fat.

b. Time from start or end of activity to onset of first symptom(s).

c. Have any physical conditions or on any physical conditioning program prior to death.

d. Meal times, food, and liquids, type of and quantity consumed, two hours prior to the mishap.

e. Smoking or drinking habits (alcohol) if any.

f. Weather conditions.

g. Wet Bulb Globe Temperature (WBGT) readings for heat-related casualties.

e. Technical Information. The condition of equipment involved in the incident may provide value data on the cause. The SIB may collect or assemble information from:

(1) Activity logs, standing orders, 3M, maintenance records, and material deficiencies to provide historical information on the equipment.

(2) A review of existing material deficiencies and the adequacy of approved procedures.

(3) When prepared in written form, all estimates of damage shall conspicuously state: "This estimate is prepared solely for safety purposes. It is not intended to reflect, in any way, the extent of any party's damages or liability for purposes of administrative claims or litigation."

(4) An engineering investigation (EI) can provide an in-depth analysis of equipment function or malfunction. When the investigator desires an EI, submit a request to the appointing authority. EIs are to be conducted at the local installation whenever possible or contact the COMNAVSAFECEN for the closest appropriate facility. The investigator or representative may accompany the part(s) in question and may be present during all examinations. The request will include the material for the EI, description of the physical circumstances of the mishap, and description of the parts as found in the wreckage or damaged configuration. Do not include privileged information. Do not tamper with, adjust, remove parts from, or clean the material subject to the EI. EIs are an important source of factual information not only for the SIREP but other reports as well and maybe required by other directives.

f. Witnesses. Witness accounts provide some of the most important clues to mishap causes. Witnesses include those involved in the mishap, those who saw it, and those with training and experience to qualify them as Subject Matter Experts (SMEs). When witnesses appear before a single investigator or the SIB, they will neither testify under oath nor make a sworn statement. Witnesses shall not be limited in their statements to matters to which they could testify in court, but may be invited to express personal opinions and

speculate on possible causal factors of the mishap. The circumstances and facts the investigators find at the mishap scene dictate the order and questions to ask witnesses or other people. For further information on conducting witness interviews see Appendix C.

3. MISHAP RECONSTRUCTION

a. Reconstruction should identify the chronological sequence of events that occurred before, during and after the mishap. The investigator may have to evaluate conflicting data to determine the most probable scenario. This may be the most difficult part of the investigative process, but is crucial to determining the causes.

b. Reconstruction Process. There are an infinite number of mishap situations and reconstruction methods. Consequently, it would not be prudent to suggest a certain method for given types of mishaps. A general process that may guide the reconstruction includes:

(1) Collecting the pertinent evidence available. Examine the results of the initial evidence collection to determine what is required.

(2) Establishing what additional information is needed, what facts about how the mishap occurred are unknown, and outline a plan for gathering additional evidence.

(3) Developing a time line may be accomplished by working backward. Look at each piece of evidence - the people, positions, parts and documents to determine:

(a) What happened last?

(b) What happened next to last?

(c) How did this sequence start?

c. It may be necessary to calculate pressures, distances, speeds, etc. to complete the sequence of events. Identify what assumptions made and whether they follow logically in the sequence of events.

d. Brainstorm and evaluate facts or theories that seem contrary to the sequence of events. Look for places where

conclusions were used as starting points or were reached prematurely.

e. Significant new information can be gained from re-enactment if the sequence of events of the mishap cannot be developed in any other way. The re-enactment can provide a key to prevent recurrence or verify the theories and opinions of the investigator. Re-enactment is not advisable if the participants are emotionally upset, nervous, tense, or agitated. When re-enacting mishap:

(1) Ensure qualified supervisory personnel monitor the progress of the re-enactment.

(2) Warn the participants not to repeat the act or unsafe practice that caused the mishap. Be prepared to stop the re-enactment if the participants are about to take an unnecessary risk.

(3) Ask the participants to demonstrate their actions slowly and deliberately, explaining as they demonstrate.

(4) Before starting the re-enactment, brief the participant to proceed up to the point of the mishap. Beyond that point, use a talk-and-walk method of re-enactment.

NOTE:
Investigators observing the re-enactment should take notes, photographs, or videotape for further review and analysis.

4. ANALYSIS OF EVIDENCE

a. Analyzing facts provides another key element of information for the investigation - "how the mishap happened." Analysis focuses on the facts connected to the mishap and the conditions leading up to the mishap, and also identifies the causal factors that allowed the mishap to occur. The SIB thoroughly documents the methodology it uses to arrive at its understanding of the facts, conditions, and circumstances. Analyzing the relationship between causes and events can help investigators reach conclusions about the causal factors.

b. Deliberations Outline

(1) After collecting mishap data, the entire SIB should meet at a central location to collectively review the data and finalize the analysis. The facility used for the meetings should be secure and free from distractions and allow for privacy. The senior member will chair the meetings and guide the proceeding. The board members should present the factors they believe caused the mishap, contributed to injuries, or had other significance. In presenting this information, the events directly involving each factor should be identified. This will help to place each factor in its proper perspective and relation to the other events.

(2) List the chronological sequence of events leading up to and through the mishap.

(3) Causal factors are made up of elements describing how the personnel, equipment, actions, events, and reasons contributed to the mishap. Factors associated with an event usually will fall into one of five categories.

(a) Factors that definitely contributed to the mishap.

(b) Factors suspected to have contributed to the mishap.

(c) Factors that did not contribute to the mishap but contributed to the severity of the injuries.

(d) Factors that did not contribute to the mishap but caused injuries or could adversely affect the safety of continued operations if left uncorrected.

(e) Factors that in no way contributed to the mishap but identify local conditions or practices that should be corrected. These factors should not be addressed in the analysis or listed in the findings and recommendations part of the investigation report of the mishap. The board should notify the command to submit the proper documentation.

(4) It may become apparent during the deliberations, that evidence is conflicting. In such cases, the SIB may gather additional evidence or re-interview witnesses. If this does not resolve the conflict, the SIB should carefully weigh the evidence and decide what is most credible.

(5) When the SIB has reached a consensus on each significant factor involved in the mishap, list each factor and specify whether or not it was a cause of the mishap and place it in the proper category (i.e., human or material).

(6) Each accepted cause must have at least one recommendation. Express each recommendation in a complete, self-explanatory statement. As a minimum, each recommendation shall state who is responsible for what action. Sometimes, how, where and when are also appropriate.

(7) For significant hazardous conditions related to the mishap discovered during the investigation, the SIB shall submit a hazard report (HAZREP). Hazardous conditions not related to the mishap shall be reported to the command for correction or submission of a HAZREP. See Chapter 5 for reporting procedures.

c. Chronological Sequence of Events. List the chronological sequence of events (time line) leading up to and through the mishap. The time line may start many years before the mishap. Examples may include ship alternation (SHIPALT) or modification to equipment installed improperly; did operational tempo (OPTEMO) have an impact?

(1) Keep this information detailed, but concise. Do not include recommendations. Do not use names and social security numbers. Use general identifiers such as tank driver, Ops Officer, BM3, etc.

(2) Following each event listed, provide the paragraph number of the evidence identified in the SIREP (paragraph Part B ALPHA 1) or the separate evidence message, which supports that event. If an event is based upon the deliberative process of the board, when no evidence exists, or there is conflicting information, include "SIB opinion" following the statement. Insert “(P)” prior to each event in the timeline when citing information taken from privileged evidence or when using SIB opinion as the source.

d. Opinions of the Safety Investigation Board: Provides the SIB an opportunity to express opinions as related to the safety investigation. The following specific statements are offered as guidance to the SIB in providing opinions. Complete all that apply, otherwise respond with "N/A".

(1) The adequacy and use of approved procedures:

(2) The qualifications of the people involved:

(3) The state of training of the people involved and of the crew in combating the mishap:

(4) The effectiveness of supervision:

(5) The effectiveness of the quality assurance program, where applicable:

(6) The effectiveness of the damage control efforts:

(7) The role of preventive and corrective maintenance played in the mishap:

(8) Any existing material deficiencies or shortcomings, which may have contributed to the mishap:

(9) Any other opinion:

e. Analysis of Findings. In performing the analysis, the SIB should first consider all scenarios that could have led to the mishap and assign a Risk Assessment Code (RAC) to each cause (See Glossary G-4). Those that are too remote in probability are rejected without further analysis, but those considered reasonable are analyzed to determine the likelihood of their contribution to the mishap and included in the report. In doing so, the SIB must decide which remaining scenarios, are supported by the evidences, and which are not. The evaluations by the SIB shall be based on all available information and are deductions as to which hazards caused the death, injury, or property damage. Experience has shown that human factors play a role in most mishaps while other causes may be material failures.

5. MISHAP CAUSES. Mishap causes are provided in Glossary G-7.

a. Human Factors. What actions did personnel contributed to the mishap? Determining human factors requires identification of the elements of who, what, and why to fully describe the occurrence. Merely stating "personnel error" provides insufficient information because it fails to explain why the event occurred. Determining how people contribute to mishaps is of obvious importance. To describe fully and to understand human factors requires us to identify the elements: WHO, WHAT, and WHY in each occurrence.

NOTE

WHO - lends itself to quick identification: Identify the job or function being performed as opposed to a specific individual (the driver or the officer of the deck (OOD)). Includes personnel involved in the mishap, their actions that contributed to the mishap, and personnel involved in production, servicing, and repair of equipment. Includes people in command and operations-related support up and down the chain of command. Supervisors overseeing operations and training personnel should be considered. This includes supervisory functions pertinent to maintenance related activities such as training (qualification and licensing), administration, and quality assurance when directly related to production, service, or repair.

WHAT - Normally, there are few questions about WHAT occurred; usually it is self-evident: The HMMWV rolled, or the ship went aground is just that.

WHY - From the standpoint of prevention, the most significant element is the WHY. This is the element that lends itself to remedial action. The SIB should properly assess human factors.

For each causal factor, there can only be one WHO and WHAT combination. If there is another WHO and WHAT, there must be another causal factor, which must be stated in its entirety. For each WHO and WHAT combination there may be many WHYs. The SIB should list all WHYs applicable to each WHO and WHAT combination.

For each causal factor assign a RAC (See Appendix G).

(1) Unsafe Acts. Unsafe acts committed by personnel take on two forms, errors and violations. The first, errors, is not surprising given the fact that human beings by their very nature make errors. Consequently, personnel errors are seen in

most mishaps, often as the final event before a mishap occurs. Violations, on the other hand, are less frequent and represent a willful disregard for the rules. Not all unsafe acts (both errors and violations) are alike.

(a) Errors. Skill-based errors occur without significant conscious thought. For example: delaying response, failing to prioritize attention, improperly checking equipment, and omitting steps in procedure. Decision errors are intentional behaviors that prove to be inappropriate or inadequate for the situation and often are called "honest mistakes. For example: using an improper procedure, responding incorrectly to an emergency, exceeding ability, and making an inappropriate maneuver. Perceptual errors occur when sensory inputs are degraded (poor weather conditions or darkness) and the person makes an incorrect "best guess." For example: misjudging distance or speed.

(b) Violations. Routine violations are the willful departure from authority where infractions tend to be routine or habitual by nature. For example: failing to follow the plan and the violation of authorized procedures. Exceptional violations are the isolated departure from authority, not necessarily indicative of an individual's typical behavior pattern or condoned by management. For example: a one-time violation of procedures.

(2) Unsafe Supervision. There are two major categories of unsafe supervision: inadequate supervision and supervisory violations.

(a) Inadequate Supervision. Inadequate supervision accounts for those times when the leadership is inappropriate, improper, or may not occur at all. Occasionally, the operational tempo or schedule is planned such that individuals are put at unacceptable risk, crew rest is jeopardized, and ultimately performance is adversely affected. For example, failing to provide training, track qualifications, provide guidance and oversight, and track performance. Planned inappropriate operations, though arguably unavoidable during emergency situations, are not acceptable during normal operations. For example: permitting an unnecessary hazard such as failing to provide correct data or adequate crew rest or accepting a mission outside of the equipment capability. The failure to correct a known problem refers to those instances when deficiencies among individuals, equipment, training or

other related safety areas are "known" to the supervisor, yet are allowed to continue uncorrected. The failure to consistently correct or discipline inappropriate behavior fosters an unsafe atmosphere. For example: failing to correct or document an error, identify an at-risk worker, initiate corrective action, and report unsafe work habits.

(b) Supervisory Violations. Supervisory violations, on the other hand, are reserved for those instances where rules and regulations are willfully disregarded by supervisors. For example: permitting an individual to operate equipment without current qualifications, authorizing an unnecessary hazard, and failing to enforce standard operating procedures.

(3) Preconditions for Unsafe Acts. The four major forms of pre-existing conditions for unsafe acts include adverse mental states, adverse physiological states and physical limitations, team/crew resource management and organizational influences.

(a) Adverse Mental States. Being prepared mentally is critical in nearly every endeavor. As such, the category of adverse mental states takes into account those mental conditions that affect performance. Principle among these is the loss of situational awareness, task fixation, distraction, and mental fatigue due to sleep loss or other stresses. Also included in this category are personality traits and attitudes such as over-confidence, complacency, and misplaced motivation.

(b) Adverse Physiological States and Physical Limitations. Instances when physiological or physical limitations adversely impact the individual's abilities to complete the task. These limiting conditions can include disorientation, physical fatigue, illness, dehydration, intoxication, obesity, height, and physical strength.

(c) Team or Crew Resource Management. Occurrences of poor coordination among team members and other personnel associated with the safe conduct of the task falls under team or crew resource management. An example may be poor team or crew coordination and ineffective internal and/or external communications between a combat information center and an amphibious assault element.

(4) Organizational Influences. Management decisions directly affect supervisory practices as well as the conditions

and actions of operators. These conditions related to external and or internal factors.

(a) External Factors. Factors controlled outside of the command. The management, allocation, and maintenance of resources vary within the different communities in the Navy and Marine Corps. The culture (including unspoken or unofficial rules, values, attitudes, beliefs, and traditions); operational conditions (pressures, quotas, and schedules); directives; and oversight greatly influence decisions on manning, training, equipment procurement, and maintenance.

(b) Internal Factors. Factors controlled by the commander or below such as the watch bill or duty roster assignment. Organizational climate refers to a broad class of variables that influence worker performance. It can be defined as the way the organization treats individuals or the prevailing mind-set. When command policies are ill defined, adversarial, or conflicting, safety may be affected. All these issues affect attitudes about safety and the value of a safe working environment. For example: culture refers to unspoken or unofficial rules, values, attitudes, beliefs, and customs of an organization ("The way things really get done around here."). Other issues related to culture include organizational justice, organizational citizenship behavior, esprit de corps, and labor relations. Operations refer to the characteristics or conditions of work that have been established by management. These characteristics include time pressures, production quotas, incentive systems, schedules, etc. When set up inappropriately, these working conditions can be detrimental to safety. Command guides define internal procedures as to how the job is to be done. Examples include performance standards, objectives, documentation, instructions, etc. Oversight refers to monitoring and checking of resources, climate, and processes to ensure a safe and productive work environment. Issues here relate to organizational self-study, risk management, and the establishment and use of safety programs.

b. Procedural Documents: Consider the possible effect of regulations, operations, and processes from all levels in the chain of command. If a procedural cause exists, there are three choices; too complex, not available or incorrect. Remember a person not following written procedures is an unsafe act, not a procedural factor. Procedures and policies published by higher authority such as preventive maintenance system (PMS), OPNAV Instructions, Marine Corps Orders, technical manuals, Naval

Warfare Publications (NWPs), Marine Corps Warfighting Publications (MCWPs), Field Manuals, Navy Tactical Publications (NTPs), U.S. Navy Diving Manual, operational orders (OPORDs), Ordnance Publications (OPs), the Safe Engineering and Operations of LCAC (SEAOPS) Manual, and the commanding officer's standing orders may contain procedural errors.

(1) Too complex. The average person can't follow the written procedures because he or she can't understand or follow them.

(2) Not available. Written procedures don't exist or have not been received).

(3) Incorrect. Written procedures have not been validated, updated due to modifications or alterations to the equipment, or there are steps missing or out of sequence.

c. Material Factors. Consider all material failures and malfunctions thoroughly, whether they occurred because of normal or abnormal means. To describe fully and to understand material factors requires us to identify the elements: component, mode (what), and agent (why) in each occurrence.

NOTE

Component. Is the smallest, most specific part, assembly, or system that can be identified as having failed.

Mode (What). Is the manner in which the component failed. Typical examples include brake master cylinder failure, hose failed, and part not secured correctly (e.g., wrong bolt, nut, cotter pin reused and fractured, or cotter pin end not opened).

Agent (Why). Is the act or event leading to the failure. Typical examples include lack of maintenance, improper installation, fire, and overloading.

For each causal factor assign a RAC (See Appendix G).

(1) Unauthorized: alterations made to the equipment without authority.

(2) Safeties or Guards: removed or failed.

(3) Condition: (Example: rust or corrosion).

(4) Inappropriate for Use: (for example, off-the-shelf purchases that don't work) equipment or material.

(5) Installation or Repair Faulty.

(6) Defective.

(7) Normal Wear and Tear (Normally, wear and tear is not a reportable mishap. However, the investigation may lead to this cause and is worth reporting.)

(8) Design. Consider whether a material design defect caused the mishap.

(a) Hazard to Personnel (For example, anything involving design creating a hazard to personnel):

(b) Hazard to Equipment (For example, design that caused damage to equipment):

(c) Maintainability (For example, the design makes it so difficult to accomplish the maintenance that it isn't completed or personnel are injured while doing the maintenance).

6. Conclusions. The SIB may conclude, in its best judgment, the most likely reasons for the mishap.

a. Other Causal Factors Considered but Rejected. The SIB considers all probable causal factors to determine if they contributed to the mishap. The SIB defines the rejected causal factors and explain the rationale for rejection so follow-on endorsers will understand their analytical process.

b. Recommendations. Express each recommendation in a complete, self-explanatory statement. Recommendations are often separated from SIREP and must stand-alone. As a minimum, each recommendation shall state, "Who should do what." Sometimes, how, where and when are also appropriate. Determinations of appropriate action agencies (who) may require some research. If

in doubt, contact COMNAVSAFECEN or CMC (SD). In formulating their recommendations, the SIB shall use the following format:

(1) Each causal factor must have at least one recommendation.

(2) Each recommendation must be assign an action agency to complete the corrective action. Be specific.

(3) Address only one subject in each recommendation. Avoid dual recommendations (do this and do that) and alternative recommendations (do this or do that). If alternatives are apparent, select and recommend the optimum.

(4) Recommend final, definitive solutions.

(5) Make comprehensive recommendations. When a hazard is common to an entire community and the recommended corrective action could benefit all, do not limit a recommendation to local actions. Write it to apply to all who could benefit and assign the action to the command in the best position to act on the recommendation.

(6) Make uninhibited recommendations. Do not suppress valid recommendations because they appear to be too expensive, too difficult, or imply criticism.

(7) Delete extraneous material from recommendations. Analysis, conclusions and justification belong elsewhere in the report.

c. Senior Board Member Comments. The senior board member may add any additional comments.

d. Hazard Reports (HAZREP). Significant hazardous conditions not related to the mishap discovered during the safety investigation shall not be included in the SIREP. The SIB shall report such hazards to the command for correction or submission of a HAZREP (see Chapter 4).

7. References:

A-1. SECNAVINST 5520.3B, Criminal and Security Investigations and Related Activities Within the Department of the Navy

A-2. 49 CFR, Part 831 “National Transportation Safety Board (NTSB) Accident/Incident Investigation Procedures.

A-3. USC Title 10 Section 1471, Forensic Pathological Investigation

A-4. DODI 5154.30, Armed Forces Institute of Pathology

FIGURE A-1

RELEASE OF MEDICAL RECORD INFORMATION SAMPLE LETTER

5102
DATE

MEMORANDUM

From: Commander, Naval Safety Center

Subj: NAVAL SAFETY CENTER SAFETY INVESTIGATION MEDICAL RECORDS REQUEST

Ref: (a) Health Insurance Portability and Accountability Act of 1996
(b) 45 CFR § 164.512(b)(i)
(c) Executive Order 12196
(d) 29 CFR § 1960
(e) DoDI 6055.7
(f) OPNAVINST 3750.6R
(g) OPNAVINST 5102.1D/MCO P5102.1B
(h) OPNAVINST 5100.19D
(i) OPNAVINST 5100.23F

1. This letter is to be presented when requesting official medical records, normally protected from release pursuant to reference (a), from any health care provider in the conduct of an official Naval mishap investigation.

2. Reference (b) authorizes release of protected health information to a "public health authority that is authorized by law to collect or receive such information for the purpose of preventing or controlling injury or disability, including, but not limited to, the reporting of injury [and] public health investigations...."

3. References (c) through (i) authorize the undersigned and his designated representatives to collect such information and investigate injuries or disability of uniformed members and civilian employees of the United States Navy and Marine Corps, as well as such other persons who may be injured by a Navy or Marine Corps activity.

4. The holder of this letter is an authorized representative of the undersigned. All medical providers are requested to cooperate fully with the investigator and provide the requested information.

5. My point of contact is LT E. Taylor George, JAGC, USNR, Flag Staff Judge Advocate, COML (757) 444-3520 extension 7047, DSN 564.

R. E. BROOKS
Rear Admiral, U.S. Navy
Commander, Naval Safety Center

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

APPENDIX B

SAMPLE PRE-MISHAP PLAN GUIDANCE

1. Background. All command/units need a plan and checklist to follow when a mishap occurs, with which key personnel are familiar. A copy of the command/unit's plan and this Manual should be available to all investigators. This appendix provides a systematic approach to investigate and report a mishap. A Pre-Mishap Plan may also be included in activity Anti-Terrorist Force Protection Plans or Disaster Preparedness Plans.

2. Pre-Mishap. Do not wait for a mishap to happen. Be ready, physically and mentally. Pre-mishap plans vary widely, depending on the mission or task at hand, resources, environment, and personnel of each command. A mishap plan should be written so it remains valid during training exercises and deployments.

a. Develop a safety investigator's kit. This should be maintained and updated by the command or unit safety officer. The content of the kit depends on the type of command or unit, mission, and equipment and weapons normally used in the performance of that mission. Some considerations for development of the kit are:

(1) Yellow caution tape

(2) Measuring tape

(3) 35mm camera, digital, or video camera with extra film and batteries

(4) Blank paper for witness statements

(5) Advice to Witness forms

(6) Plastics bags for gathering debris

(7) Notebooks, pens and pencils

(8) Tape recorder with extra cassettes

b. A mishap plan should be written for normal operations and should be updated for training exercises and deployments.

(1) Provisions for periodic review of the pre-mishap plan.

(2) Plan for securing the mishap site.

(3) Identify and coordinate with local civil and military medical activities for the treatment and evacuation of injured personnel.

(4) Removal of deceased personnel.

(5) Arrangements for obtaining photographic coverage of mishap.

(6) Plan for collecting and identifying evidence with tags to include time, date, location, type of incident, name, and unit of persons involved.

(7) Coordination with local Explosive Ordnance Disposal (EOD) and fire rescue personnel.

(8) Plan for handling hazardous material.

(9) Coordination with local environmental protection office.

(10) Plan for dealing with media.

(11) Coordination with local civil/military investigative agencies.

(12) Plan for administration support such as vehicle(s), clerical support, computer access, and, message releasing authority for the senior member of the SIB.

3. Post-Mishap. Safety personnel must respond ASAP to the mishap site.

a. Ensure injured are treated.

b. Secure the mishap site.

c. Make a list of witnesses and encourage them to develop personal notes concerning the mishap for them to refer to during witness interviews. Witnesses should write down their own observations and should not discuss the mishap with other witnesses.

d. Move mishap wreckage when it presents any hazard (take pictures before moving).

e. Request assistance from COMNAVSAFECEN, if necessary. See Appendix F for points of contact and phone numbers.

h. Collect all log books, maps, charts, overlays and other documents to prevent loss of vital information. Gather appropriate training records, ordnance files, medical and dental records, licenses, certifications, limited technical inspection reports, maintenance records, range SOPs, etc.

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APPENDIX C

WITNESS INTERVIEW GUIDANCE FOR SAFETY INVESTIGATIONS

1. For unit or command safety investigations, a safety officer conducting a safety investigation will not take written witness statements. Witnesses will be advised that the purpose of the safety investigation is to determine causes to prevent recurrence. If the witness refuses to make a statement or desires full confidentiality, then stop the investigation and advise your chain of command. The command may want to request the controlling command appoint a safety investigation board (SIB) to enable investigators to promise the witness confidentiality. Advice to Witness forms in Figure C-1 and C-2 are for use by the SIB only. Only the senior member or designee of the SIB or the designated safety investigator may grant a promise of confidentiality using Figure C-1.

2. An interview may be conducted but the only written record should be notes taken by the safety officer. The witness should discuss the incident and the safety officer shall summarize the information. Do not include the source of the information on the notes. The witness should not sign the summary of the interview. The interviewer may have written some key questions out ahead of time. Avoid asking any questions until the witness is finished with the statement and it is reviewed.

3. The interview:

a. The sooner you interview a witness after the mishap, the better their recollection of the events. However, don't delay medical treatment to interview a witness.

b. Keep witnesses separated while waiting to interview them. That way they can't confer with other witnesses and mentally fill in parts of their observations based on what someone else may have seen or heard.

c. While the witnesses are waiting for the interview, keep them busy outlining the sequence of events or making a sketch of the mishap site. Both will help the witnesses remember

important information about the mishap. The outline or sketches are not privileged.

d. Avoid interruptions during the interview. Find someone to keep people from knocking on the door. They can also answer the phone for you or you can turn it off.

e. If the witness is undergoing medical treatment, or in the hospital, avoid conducting an interview while relatives are present. Check with the witness's physician and conduct your interview at some time other than visiting hours. Be careful not to tire or upset the witness.

f. Do not delay in conducting the investigation, if you can't interview a key witness or the victim due to hospitalization or non-availability. Interview other available witnesses immediately.

g. Initiating the Interview:

NOTE:
Only the following persons shall be present when a witness is providing a statement to the SIB: members of the SIB, the Commander, Naval Safety Center (COMNAVSAFECEN) representative, a specific subject matter expert (if deemed necessary by the senior member of the SIB in order to make the witness' statement meaningful), and the witness. No other persons are permitted to be present.

(1) Completely explain who you are and the purpose of the investigation. Display an attitude of concern over finding the mishap causes and preventing it from happening again.

(2) Give the witness a chance to relax. Ask them some routine questions for basic information.

FOR EXAMPLE:
Get the correct spelling of their name. (Is it K-E-L-L-Y or K-E-L-L-E-Y? S-M-I-T-H or S-M-Y-T-H-E? S-T-E-V-E-N or S-T-E-P-H-E-N? You can get the answers to the questions elsewhere, but people enjoy talking about themselves and it shows you want to get all the facts correct.

(3) Ask about their current job and a brief job description? Any previous jobs having a bearing on the mishap? These can give you valuable information on the validity of their statement, too.

(4) Chat with the witness for a few minutes until you see them calm down and you build a little rapport.

(5) Explain to them that you would like them to recount the entire sequence.

(6) Sit down with the witness and review the summary you have written. Ask the witness to fill in any details that come to mind during the review. Then, and only then, start asking questions.

h. Considerations:

(1) Do not dominate the witness.

(2) If two or more investigators conduct the interview, be sure only one asks questions at a time. The second investigator should ask questions only after the first investigator is done.

(a) Witnesses may be more open if only one investigator is present.

(b) If the investigator and witness are of opposite sexes, then, it is prudent to have a third person in the room.

(3) Avoid trick questions or other tactics that puts the witness in an unfriendly attitude. Ask only one question at a time.

(4) Do not ask leading questions or ones suggesting answers. Don't ask, “I assume the noise you heard was like a rifle shot?” Ask, "How would you describe the noise you heard?"

(5) Use open-ended questions. Don't ask question requiring just a "YES” or “NO" answer.

(6) Do not use derogatory comments aimed at any person, piece of equipment, ship, or command to lure the witness into making a statement.

(7) Let the witness complete the answer before you go to another question or topic.

(8) Always determine exactly who, "they" are when the witness is talking. If the witness brings up the name of someone new to the investigation, make sure you write down the name and then interview the new witness.

(9) If the witness doesn't know names or jobs, ask for a description. If the witness can, ask them to find out who "they" are. However, don't put the witness at risk.

(10) At the end of the interview, ask the witness to contact you if they remember any more details. Give them your phone number.

(11) Express appreciation to the witness for the information given.

(12) After the witness leaves, complete your summary of the information.

(13) Don't confuse your sources of information. Use new notepaper for each witness. Don't compare one witnesses' statement with what the witness is telling you during the interview.

(14) Ensure you are accurate. When necessary, re-interview witnesses or ask additional questions to explain all areas completely. Witnesses frequently overestimate time, unless they are doing a familiar, repetitive event they can associate with the elapsed time.

i. Follow-up Interview. Many investigators prefer to conduct a follow-up interview of the witness at the scene of the mishap. This can be beneficial since the witness may be able to point out or remember more details because of the surroundings. It can also give the interviewer a better understanding of the sequence of events leading up to the mishap.

j. After The Interview

(1) Review contents of the interviews. Ascertain if you have any more questions of those witnesses and determine if there are any additional witnesses discovered as a result of the interviews.

(2) Put the statements and your notes in an envelope and put it in a safe place such as a safe or lockable file cabinet.

(3) Nothing can destroy your effectiveness as a safety investigator more quickly than for word to spread you are giving information to people you promised the witness you wouldn't.

FIGURE C-1

ADVICE TO WITNESS (PROMISE OF CONFIDENTIALITY)

THIS IS PART OF A SAFETY INVESTIGATION REPORT
LIMITED DISTRIBUTION AND SPECIAL HANDLING REQUIRED BY
OPNAVINST 5102.1D/MCO P5102.1B

THIS COVER SHEET AND STATEMENT ARE PRIVILEGED AND IS EXEMPT FROM DISCLOSURE

DO NOT FILE THIS COVER SHEET IN A SYSTEM OF RECORDS SUBJECT TO THE PRIVACY ACT. FOR EXAMPLE, THIS STATEMENT MUST NOT BE RETRIEVABLE BY NAME, SOCIAL SECURITY NUMBER, DATE OF BIRTH, OR OTHER UNIQUE IDENTIFIER ASSOCIATED WITH AN INDIVIDUAL

I understand that:

a. I have been requested to voluntarily provide information to a Safety Investigation Board conducting an investigation of a Navy/Marine Corps mishap.
b. I AM NOT being requested to provide statement under oath or affirmation.
c. Disclosure of personal information by me is voluntary; my election or refusal to provide such information will have no direct effect on me.
d. The purpose of the information provided by me is to determine the cause of the mishap and/or the injury and/or damage occurring in connection with that mishap.
e. All information provided by me to the Safety Investigation Board will be used ONLY for safety purposes.
f. The information provided by me shall NOT be used:
   (1) In any determination affecting my interests.
   (2) As evidence to obtain evidence in determining misconduct or line of duty status of killed or injured personnel.
   (3) As evidence to determine my responsibility or that other personnel from the standpoint of discipline.
   (4) As evidence to assert affirmative claims on behalf of the government.
   (5) As evidence to determine the liability of the government for property damage caused by the mishap.
   (6) As evidence before administrative bodies, such as Officer/Enlisted Separation Boards, Judge Advocate General Manual investigations/inquiries, Naval Aviator/Naval Flight Officer Evaluation Boards (USN) or Field Flight Performance Boards (USMC).
   (7) In any other punitive or administrative action taken by the Department of Navy.
   (8) In any other investigation or report of the mishap about which I have been asked to provide information.

All information provided by me to the Safety Investigation Board will be used ONLY for safety purposes.

1. STATEMENT			
2. PRINTED NAME (First, Middle, Last)		3. SIGNATURE	
4. DATE	5. RANK/RATE	6. SERVICE	7. TELEPHONE NUMBER
8. ADDRESS WHERE YOU MAY BE LOCATED			
9. PRINT BOARD MEMBER'S NAME:		10. SIGNATURE	

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FIGURE C-2

ADVICE TO WITNESS

THIS IS PART OF A SAFETY INVESTIGATION REPORT
LIMITED DISTRIBUTION AND SPECIAL HANDLING REQUIRED BY
OPNAVINST 5102.1D/MCO P5102.1B

THIS COVER SHEET AND STATEMENT ARE NOT PRIVILEGED AND MAY BE DISCLOSED

PLEASE READ THIS STATEMENT CAREFULLY
CERTIFY THAT YOU UNDERSTAND IT BY YOUR SIGNATURE AT THE BOTTOM

I understand that:

a. I have been requested to voluntarily provide information to a Safety Investigation Board conducting an investigation of Navy-Marine Corps mishaps.
b. I AM NOT being requested to provide statement under oath or affirmation.
c. Disclosure of personal information by me is voluntary, and that failure to provide such information will have no direct effect on me.
d. The purpose of the information provided by me is to determine the cause of the mishap and/or the injury and/or damage occurring in connection with that mishap

All information provided by me to the Safety Investigation Board will be used ONLY for safety purposes.

1. STATEMENT:			
2. PRINTED NAME (First, Middle, Last)		3. SIGNATURE	
4. DATE	5. RANK/RATE	6. SERVICE	7. TELEPHONE NUMBER
8. ADDRESS WHERE YOU MAY BE LOCATED			
9. PRINT BOARD MEMBER'S NAME		10. SIGNATURE	

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APPENDIX D

MEMORANDUM OF AGREEMENT BETWEEN NAVAL SAFETY CENTER AND NAVAL CRIMINAL INVESTIGATIVE SERVICE

1. Subject. The working relationship between the Naval Safety Center (NSC) and the Naval Criminal Investigative Service (NCIS).

2. Purpose. The parties recognize that both NSC and NCIS are tasked with investigating mishaps resulting in deaths, injuries and/or property damage that occur on naval installations, or involve naval aircraft or vessels. The purpose of this Agreement is to clarify the "ownership" of a mishap site and the evidence found therein; and to provide guidance for investigators from both agencies concerning the preservation of physical evidence at a mishap site and the spirit of cooperation and professionalism expected by the signatories hereto.

3. Understandings Agreements and Responsibilities.

a. The Naval Safety Center. NSC's sole purpose is to identify the cause(s) of a particular mishap in order to prevent similar accidents in the future. Any mishap that results from a criminal act is outside the purview of NSC and will not be investigated by NSC. If a suspicion of criminality is discovered in an on-going investigation, NSC shall stop investigating and deliver all non-privileged information to NCIS.

b. The Naval Criminal Investigative Service. The purpose of NCIS is to ascertain whether a criminal act contributed to a particular mishap and, if so, to identify the perpetrator and collect the evidence necessary to support disciplinary action or prosecution. If it becomes apparent that there was no criminality involved in a given mishap, NCIS shall stop investigating and deliver all information to NSC, which is not law-enforcement sensitive.

c. Mishap Site Preservation. Having an opportunity to view the physical evidence at a mishap site before it has been disturbed is of critical importance to both NSC and NCIS. Because of the remoteness of many mishap sites, it is often the

case that a representative from either NSC or NCIS arrives on scene before the other. Given logistical, environmental, and common sense considerations, every effort will be made by the investigator arriving first at the mishap site to preserve the scene and take all reasonable steps to protect the physical evidence from being disturbed until all interested parties have been notified and given the opportunity to respond. If circumstances necessitate the immediate removal of wreckage or other physical evidence from the scene (to protect life, limb or property, to facilitate essential military or civil activities, or to protect the evidence from further damage), the on-scene investigator shall take great care to document the exact appearance of the site through video recordings, photographs and. sketches. To the extent possible, physical evidence will be identified and catalogued as to location at the site. Any documentation collected which reflects the factual condition of the mishap scene shall be shared with other mishap investigators.

d. Aircraft Mishaps. Although NCIS is required to attend any death involving a naval aircraft, NCIS acknowledges that deaths resulting from aircraft operations and/or maintenance are almost always accidental in nature. Further, NCIS acknowledges that because of their training in aircraft accident reconstruction, NSC investigators are better equipped to investigate an aircraft mishap to determine the cause(s). It is therefore agreed that in the absence of substantial evidence that a criminal act caused an aircraft mishap, NSC will have primary ownership of all aircraft mishap sites and wreckage. In the event that the NCIS investigator arrives at the scene before the NSC investigator, every effort will be made to leave the site undisturbed in accordance with paragraph 3c above. Additionally, whenever possible, witnesses to an aircraft mishap should be permitted to make their statements to the NSC investigator prior to speaking to NCIS or any other investigator. Questions should be referred to the Staff Judge Advocate at the NSC or the cognizant NCIS Special Agent in Charge.

e. All Other Mishaps. For all mishaps other than aircraft mishaps, it is foreseeable that NSC and NCIS will be conducting parallel investigations. Access to physical evidence shall be shared. In the event there is a need for evidence to be preserved for some future use such as litigation (whether criminal or civil), NCIS shall take possession of the item(s) and establish a proper chain of custody. Although witness

statements cannot be shared, both NSC and NCIS shall make a list of witnesses available in a timely manner. Direct questions to the Staff Judge Advocate at the NSC or the cognizant NCIS Special Agent in Charge.

4. Points of Contact. The Staff Judge Advocate for NSC can be reached at COML (757) 444-3520 Ext 7047 or DSN 564-3520 Ext 7047. After hours, the NSC duty officer can be reached at COML (757) 444-3520 or DSN 564-3520. During working hours, the cognizant NCIS office can be reached through the local base police. Additionally, the Operational Control Center at NCIS Headquarters is available 24 hours a day to assist in locating NCIS personnel worldwide. The Operational Control Center can be reached at (202) 433-9323

5. Effective Date, Periodic Review, Modification and Termination.

This Agreement is effective on the date of the last signature and will remain in effect until rescinded, revised or superceded. This agreement may be cancelled at any time by mutual agreement or by either party with at least 30 days advanced written notice.

Both parties will review this agreement every three years and it may be modified by mutual consent of the signatories. A written request for modification shall be provided to the other party at least 64 days prior to the posed date of change.

F. M. DIRREN, JR.
Rear Admiral, United States Navy
Commander, Naval Safety Center

Date: 8 Mar 01

G. A. SCOVEL
Assistant Director for Criminal Investigations
Naval Criminal Investigative Service

Date: 29 Apr 01

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APPENDIX E

MEMORANDUM OF UNDERSTANDING AMONG THE U.S. ARMY, AIR FORCE AND NAVAL SAFETY CENTERS, HEADQUARTERS MARINE CORPS (SAFETY DIVISION) AND THE U.S. COAST GUARD HEALTH AND SAFETY DIRECTORATE FOR SAFETY INVESTIGATION AND REPORTING OF JOINT SERVICE MISHAPS

1. Subject. The working relationship, responsibilities and understanding among U.S. Army, Air Force, Marine Corps, Navy and Coast Guard (hereafter known as the "services") relative to joint service safety investigation and reporting of mishaps and incidents involving personnel, equipment and facilities. For the purposes of this Memorandum of Understanding (MOU), the term "safety centers" includes the U.S. Army, Air Force and Naval Safety Centers, Headquarters Marine Corps (Safety Division) and the U.S. Coast Guard Health and Safety Directorate.

2. Purpose. The parties recognize that the signatories hereto are tasked with investigating mishaps resulting in deaths, injuries and/or property damage that occur on their respective facilities, or involve their personnel and/or equipment. The purpose of this document is to clarify the "ownership" of a mishap when more than one service's assets are involved and to provide guidance for the establishment of the safety investigative board and the selection of investigators from multiple agencies. Additionally, guidance is provided regarding preservation of physical evidence at a mishap site and the spirit of cooperation and professionalism expected.

3. Scope. This MOU serves to establish agreements, responsibilities, procedures, and funding requirements for Joint Service Safety Investigations involving the services. Authority for investigation of military mishaps is contained in DODI 6055.7 and COMDTINST M5100.47.

4. Joint Service Mishap Definition. A joint service mishap is an incident involving two or more services in which one or more service(s) experience reportable injuries or damage, or involving joint programs where only one service experiences a

loss and two or more services are/were involved in development and acquisition of a system.

5. Understandings, Agreements and Responsibilities.

a. The service safety chiefs will determine the accountability and responsibility for investigating and reporting of a mishap between the services. Normally, the convening investigating authority will be from the service experiencing the greater loss. That service's safety investigation directive will be used in investigating and reporting the mishap. The service safety chiefs have the authority to agree, on a case-by-case basis, to an alternate approach to a safety investigation, to include electing not to investigate.

b. The safety center which first becomes aware of a Class A, B, or C joint service mishap will provide immediate telephonic notification to the other services' safety centers. Each service will make available operational and technical experts for the safety investigation board as required. The service owning or controlling the facility where a mishap occurs or the service that is geographically closest, will secure, otherwise protect or preserve the mishap site to prevent contamination or removal of evidence. This includes ensuring criminal investigative agencies do not disturb the mishap scene until released by the joint board president/senior member.

c. Joint service safety investigation boards will be comprised of the following representatives:

(1) Each involved service safety chief may send a safety investigator(s) to assist the board. This person will be a voting/primary board member, who is an expert in the operation and/or utilization of the facilities, personnel or equipment, which are involved in the mishap. Those investigators will be granted access to all relevant information, both privileged and non-privileged and related board deliberations.

(2) Other board members may be required as determined by the involved safety centers.

(3) Voting/primary board members are only authorized to communicate with their respective service safety chief. The board president/senior member will authorize all other communications. Non-voting/non-primary technical advisors and observers may not discuss privileged or non-privileged

investigative proceedings with their parent service without approval of the board president/senior member.

(4) Voting/primary board members work solely for the safety investigation board president or senior member and will be released at his/her discretion.

d. The joint service safety investigation board president/senior member will allow concurrent investigators access to the mishap site and non-privileged physical evidence

e. Distribution. The safety investigation report format will follow the investigating service components' directive. All involved services will receive a complete, unredacted copy of the joint safety investigation board's report (message) and all subsequent endorsements. Supporting documents will be provided upon request. The service producing the safety investigation report will respond to requests for copies of the non-privileged portions of the report, to include requests from other DOD staff sections, organizations and commands, as well as requests from the public under the Freedom of Information Act (FOIA).

f. The joint service safety investigation boards' report endorsing chain will be determined by the investigating safety centers.

g. The services preparing the report will clearly identify recommendations targeted toward other services and forward to the other services safety center. Each service's safety center will, in turn, forward to the appropriate agency, organization, and/or element those safety investigation board recommendation which are applicable to that service agency, organization, and/or element. Each service's safety center will track to completion the status of those recommendations and inform any other involved service's safety center of actions taken.

h. When there is a suspected material failure, the board president/senior member will submit the item(s) in question to the service-appropriate facility at which a comprehensive tear down analysis may be conducted. Each service will provide funding for the costs associated with the tear down analysis/engineering investigation of items owned by that service.

i. Each service will provide funding for travel, per diem, rental car, and other expenses incurred by its

representative(s). The nearest military installation to the mishap site will provide Administrative and host base support while the board president/senior member is present. Other expenses (site security, special equipment, consultants, etc.) will be borne by the investigating service. Each service will provide funding for salvage/wreckage recovery of its own assets.

j. When briefings are requested, the service safety chiefs will coordinate post investigation board requirements.

6. Effective Date, Periodic Review, Modification and Termination. This agreement is effective on the date of the last signature and will remain in effect until rescinded, revised or superceded. This agreement may be cancelled at any time by mutual agreement or by any safety center with at least 30 days advanced written notice. All safety centers will review this agreement every three years and it may be modified by mutual consent of the signatories. A written request for modification shall be provided to the other safety centers at least 60 days prior to the proposed date of changed.

GENE M. LACOSTE, BG, USA
Director of Army Safety
Commander, U.S. Army Safety Center

TIMOTHY A. PEPPE, Maj Gen, USAF
Chief of Safety
Commander, U.S. Air Force Safety Center

F. M. DIRREN, RADM, USN
CNO Special Assistant for Safety Matters
Commander, U.S. Naval Safety Center

LEIF R. LARSEN, COL, USMC
Headquarters, U.S. Marine Corps
Director, Safety Division

WILLIAM J. WILKINSON, CAPT, USCG
Headquarters, U.S. Coast Guard
Health and Safety Directorate

24 May 2001
Date Approved

DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

APPENDIX F

POINTS OF CONTACT

Commander, Naval Safety Center (COMNAVSAFECEN) will provide an on-site advisor for all on-duty Class A mishaps requiring an SIB and, when requested and with concurrence from the controlling command, for selected Class B or other mishaps, at no cost to the command. COMNAVSAFECEN can provide investigative support assistance in all other investigations through other means, e.g., telephone, e-mail, FAX, and surface mail. Mishap reporting questions for a specific type of incident, please call the appropriate phone numbers listed below.

Chief of Naval Operations (N09FB)
NC1 Suite 7400
2511 Jefferson Davis Hwy
Arlington, VA 22202

Commandant of the Marine Corps (SD)
Headquarters, U.S. Marine Corps
2 Navy Annex
Room 2122
Washington, DC 20380-1775

Commander
Attn: (Select Code 03, 14, 30, 40, or 90)
Naval Safety Center
375 A Street
Norfolk, VA 23511-4399

Web Site: http://www.safetycenter.navy.mil

Navy Shore and Marine Corps Ground, FAX DSN 564-6044

Explosive and Weapons Systems
COML: (757) 444-3520, Ext. 7164
DSN 564-3520, Ext. 7164

Fire Data
COML: (757) 444-3520, Ext. 7169
DSN: 564-3520, Ext. 7169

High Risk Training
COML: (757) 444-3520, Ext. 7175

DSN: 564-3520, Ext. 7175

Motor Vehicle
COML: (757) 444-3520, Ext. 7134
DSN: 564-3520, Ext. 7134

Off-Duty (RODS)
COML: (757) 444-3520, Ext. 7165
DSN: 564-3520, Ext. 7165

Parachute
COML: (757) 444-3520, Ext. 7159
DSN: 564-3520, Ext. 7159

Safety Investigations
COML: (757) 444-3520, Ext. 7147
DSN: 564-3520, Ext. 7147

Tactical Operations
COML: (757) 444-3520, Ext. 7147
DSN: 564-3520, Ext. 7147

E-Mail: shore@safetycenter.navy.mil
E-Mail: ground@safetycenter.navy.mil
E-Mail: Ordnance@safetycenter.navy.mil

Navy Afloat (surface, submarine and diving), FAX DSN 564-8636

Diving COML: (757) 444-3520, Ext. 7088
DSN: 564-3520, Ext. 7088

Submarine COML: (757) 444-3520, Ext. 7091
DSN: 564-3520, Ext. 7091

Surface Ships COML: (757) 444-3520, Ext. 7090
DSN: 564-444-3520, Ext. 7090

E-Mail: afloat@safetycenter.navy.mil

Navy and Marine Corps Occupational Safety and Health (OSH),
FAX DSN 564-8636

Occupational Safety
COML: (757) 444-3520, Ext. 7168
DSN: 564-444-3520, Ext. 7168

Occupational Health
COML: (757) 444-3520, Ext. 7177
DSN: 564-444-3520, Ext. 7177

E-Mail: osh@safetycenter.navy.mil

Dissemination of Information, FAX DSN: 564-9125
COML: (757) 444-3520, Ext. 7047
DSN: 564-3520, Ext. 7047

E-Mail: Code03@safetycenter.navy.mil

Mishap Data and Reports, FAX DSN 564-7660
COML: (757) 444-3520, Ext. 7182
DSN: 564-444-3520, Ext. 7182

E-Mail: Code60@safetycenter.navy.mil

WESS Help Desk, FAX DSN 564-9124
COML: (757) 444-3520, Ext. 7048
DSN: 564-444-3520, Ext. 7048

E-Mail: SAFE_WESShelp@navy.mil

Training - NAVOSHENVTRACEN, FAX DSN 565-8091
COML: (757) 445-8778
DSN: 565-8778

Web Site: http://www.safetycenter.navy.mil/training/

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OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

GLOSSARY G-1

GLOSSARY OF TERMS AND DEFINITIONS

1. **Accident Categories**. DoD accidents are divided into the following categories: aircraft, explosives and chemical agents, motor vehicles, ground and industrial, off-duty military, unmanned aerial vehicles, guided missiles, maritime, nuclear, and space.

2. **Action Agency.** A command tasked by a Safety Investigation Report (SIREP) or Safety Investigation Report Endorsement (SIRE) endorsement to take corrective action as a result of a safety investigation. Action agencies are identified as action addressees in the final SIREP endorsement and are tasked with the action in the recommendation paragraph of the SIREP endorsement.

3. **Afloat Mishap**. Any mishap caused by Department of the Defense (DoD) operations resulting in injury or death to anyone aboard the ships (craft) listed below whenever the ship is underway; Ship's military and federal civilian mariners assigned as a crew member (permanent or under temporary orders) aboard the ships listed below, on/or off-duty ashore; or material loss or damage, occurring to the ships listed below at all times both underway and moored:

a. Commissioned, U.S. Navy ships and their embarked boats and landing craft or leased boats and floating dry-dock.

b. Pre-commissioned, U.S. Navy ships and their embarked boats and landing craft or leased boats beginning when the ship gets underway for Acceptance Trials.

c. United States Navy Ship (USNS) ships manned by federal civilian mariners assigned to ships in the Military Sealift Command (MSC).

d. All on-duty diving mishaps.

4. **Ammunition**. Ammunition is a device charged with explosives, propellants, pyrotechnics, initiating compositions or chemical material for use in connection with defense or offense but also includes demolitions, training, ceremonial, or non-operational purposes.

5. **Appointing Authority**. Commander is responsible for appointing Safety Investigation Board (SIBs) to investigate and report mishaps.

a. For Marine Corps mishaps, the appointing authority is the first general officer in the chain of command.

b. For Afloat Navy mishaps, the Type Commander (TYCOM) of the command involved in the mishap is the appointing authority. For mishaps involving commands under different TYCOMs, the Fleet Commander will be the appointing authority. For MSC, the appointing authority is Commander, Military Sealift Command, (PM1 for Naval Fleet Auxiliary Force (NFAF) civilian mariner manned ships, PM2 for special mission civilian mariner manned ships, and PM3 for USNS Kaiser).

c. For shore Navy mishaps, the Echelon II commander of the command involved in the mishap is the appointing authority.

6. **Area of Operations**. An operational area defined by the joint force commander for land and naval forces. Areas of operation do not typically encompass the entire operational area of the joint force commander, but should be large enough for component commanders to accomplish their missions and protect their forces.

7. **Area of Responsibility (AOR)**. The geographic area associated with a combatant command within which a combatant commander has authority to plan and conduct operations.

8. **Aspin Agreement**. An informal agreement between the DoD Safety Centers and the United States House of Representatives Armed Services Committee (HASC), signed by then-Chairman Honorable Les Aspin, dated 12 September 1989, wherein HASC agreed to protect safety privileged information. The specific agreement requires:

“At the request of the Chairman or Ranking Minority Member of the Committee on Armed Services, a Service Secretary will provide the requesting Chairman and Ranking Minority Member a briefing on the results of a specific investigation. During the briefing, a copy of the Mishap Investigation Report will be made available for review and will be returned after the briefing. Because of the privileged status of the data, the information

will not be released to the public, other Government agencies, or other members of the Congress or staff."

9. **Casualty**. Any person who is a lost to the organization by being declared dead, duty status - where about unknown, missing, ill, or injured. See also air surface zone, controlled firing area, or restricted areas.

10. **Casualty Category**. A term used to specifically classify a casualty for reporting purposes based upon the casualty type and the casualty status. Casualty categories include killed in action, died of wounds received in action, and wounded in action. See also casualty, casualty status, casualty type, duty status, or missing.

11. **Casualty Status**. A term used to classify a casualty for reporting purposes. There are seven casualty statuses: (1) deceased; (2) duty status – whereabouts unknown; (3) missing; (4) very seriously ill or injured; (5) seriously ill or injured; (6) incapacitating illness or injury; and (7) not seriously injured.

12. **Casualty Type**. A term used to identify a casualty for reporting purposes as either a hostile casualty or a non-hostile casualty. See also casualty, casualty category, casualty status, hostile casualty, or non-hostile casualty.

13. **Chemical Agent, Combat**. A chemical compound intended for use in military operations to kill, injure, or incapacitate persons through its chemical properties.

14. **Class A Mishap**. The resulting total cost of damages to Government and other property in an amount of $1 million or more; a DoD aircraft is destroyed; or an injury and/or occupational illness results in a fatality or permanent total disability.

a. Fatality/Fatal Injury. Mishap or complications of a mishap, that results in a death. When death occurs six months or more following the initial mishap, contact Commandant of the Marine Corps, Safety Division (CMC (SD)) or the Commander, Naval Safety Center (COMNAVSAFECEN) for reporting requirements. COMNAVSAFECEN will track and update the database as necessary.

b. Permanent Total Disability. A non-fatal injury or occupational illness, which in the opinion of competent medical

authority permanently incapacitates someone. Also, the loss of the following body parts or the use thereof during a single mishap is a permanent total disability:

(1) Both hands

(2) Both feet

(3) Both eyes

(4) A combination of any two of these body parts.

15. **Class B Mishap**. The resulting total cost of damage is $200,000 or more, but less than $1 million. An injury and/or occupational illness results in permanent partial disability or when three or more personnel are hospitalized for inpatient care (which, for accident reporting purposes only, does not include just observation and/or diagnostic care) as a result of a single accident.

a. Permanent Partial Disability. An injury or occupational illness, that results in permanent impairment or loss of any part of the body (e.g., loss of the great toe, thumb, or a non-repairable inguinal hernia, traumatic acute hearing loss of 10 dB or greater documented by medical authority).

b. Exceptions include the following:

(1) Loss of teeth.

(2) Loss of tips of fingers/toes without bone loss.

(3) Repairable hernia.

(4) Disfigurement.

(5) Sprains or strains that do not cause permanent limitation of motion.

16. **Class C Mishap**. The resulting total cost of property damage is $20,000 or more, but less than $200,000; a nonfatal injury that causes any loss of time from work beyond the day or shift on which it occurred; or a nonfatal occupational illness or injury that causes loss of time away from work or disability at any time.

17. **Class V (AW)**. Supply classification V refers to all types of ammunition, including chemical, radiological, and special weapons, bombs, explosives, mines, fuses, detonators, pyrotechnics, missiles, rockets, propellants, and other associated items. Sub-classification A is air ammunition. Sub-classification W is ground (surface) ammunition. Class V (W) ground ammunition is under the management/cognizance of the Marine Corps System Command (MARCORSYSCOM) (AM).

18. **Cold Injury**. The adverse effect of low environmental temperatures on the human body resulting in hypothermia, frostbite, chilblain, cold water immersion foot, or other injury or illness as a result heat loss, reduced body temperature, or tissue destruction due to cold exposure.

19. **Combat Area**. A restricted area (air, land, or sea) that is established to prevent or minimize mutual interference between friendly forces engaged in combat operations. See also combat zone.

20. **Combat Zone**. The area required by combat forces for the conduct of operations. A restricted area (air, land, or sea) that is established to prevent or minimize mutual interference between friendly forces engaged in combat operations (combat area). See also combat area; communications zone.

21. **Component**. Is the smallest, most specific part, assembly, or system that can be identified as failed item.

22. **Contractor-Caused Mishaps**. Injuries, work-related illnesses of DoD personnel, or damage caused by contractor operations. The parent command of affected DoD personnel shall report these mishaps. Mishaps involving civilian contractor personnel caused by contractor operations shall be referred to COMNAVSAFECEN or CMC (SD) for guidance.

23. **Contractor Mishaps**. There are two categories for contractor mishaps:

a. Non-Reportable Mishap. Any contractor mishap involving his or her employee is not reportable if that employee is not under direct DoN supervision and DoN has no direct means to correct, control, eliminate or prevent recurrence of similar incidents. The command is required to submit an OPREP-3 or UNIT SITREP report and the contractor is responsible for OSHA notification.

b. Reportable Mishap. Contractor employee mishaps are reportable when DoN provides direct day-to-day supervision and has a means to change the work environment, correct, control, eliminate or prevent workplace hazards or mishaps. Example includes a contractor employee working in a government building, using government equipment, and a DoN military or civilian employee is their immediate supervisor. The command is required to submit an OPREP-3 or UNIT SITREP report and the contractor is responsible for OSHA notification.

24. **Confidentiality, Promise of**. The promise of confidentiality is used to encourage free and open disclosure of safety information during an investigation. Military and federal courts recognize that the information given under the promise of confidentiality is protected from release. The SIB or command investigator must give the promise of confidentiality to witnesses to ensure that the information provided is used solely for safety purposes. The promise of confidentiality extends to the SIB's, SIREP endorsers', and command investigator's analysis of the information gathered during a safety investigation or included in a SIREP which leads to the development of conclusions, causes, and recommendations or in the SIREP endorsers analysis of the causes and recommendations in the SIREP.

25. **Confined Space**. A compartment or space such as a double-bottom tank, cofferdam or void, which because of its small size, limited access, or confined nature can readily create, aggravate, or result in a hazardous condition due to the presence of toxic gases or the lack of oxygen.

26. **Conventional Ordnance Deficiency Report (CODR)**. CODR incident is where ordnance or weapon systems fail to function in accordance with the designed and/or intent of the system and results in no property damage or injury. This includes improper storage, explosives, ammunition, explosive systems, or devices, including weapon systems components that come in direct contact with the ordnance (e.g. ammunition, explosives, missiles) and armament, handling, support equipment used to fire, handle, load, deliver, store or transport ordnance.

a. The Conventional Ordnance Deficiency Report (CODR). A CODR is initiated for the following events using the Airborne Weapons Information System (AWIS) at https://awis.mugu.navy.mil/awis/Index.asp. For commands without

Internet access use the procedures defined in of OPNAVINST 8000.16 Series.

b. Malfunction. The failure to function properly of conventional ordnance, explosives, ammunition, small arms, weapons, or weapon system components and support equipment that come in direct contact with the ordnance.

Example: Failure to launch, dud weapons, gun fails to cycle, JATO fails to ignite, etc.).

c. Inadvertent Launch or Arming. The unintentional launch, arming an explosive component or weapon caused by mechanical failure.

d. Defective Weapons Support Equipment. Deficiencies involving any equipment or device used in the manufacture, test, assembly, handling or transportation of any explosive system, e.g., skids, trailers, slings or similar equipment.

e. Observed Defect. A discovered defective weapon or weapon system component that comes in direct contact with the ordnance, small arms, weapons, conventional ordnance, explosives, and ammunition.

Example: Protruding primers, cracked grains, damaged or broken breech bolts, broken or scratched missile radomes, and advanced corrosion). Items that are under warranty, new, or newly reworked will be reported using a Product Quality Deficiency Report (PQDR) per this instruction.

f. Other Deficiencies. The failure of an explosive component or explosives system to test, calibrate, or otherwise meet pre-loading or pre-launch requirements.

Example: The failure of Built-In-Test (BIT)and OTTO fuel spills. Any part of ordnance, ordnance systems, or ordnance equipment falling from aircraft requires a CODR per OPNAVINST 8000.16 Series.

27. **Data**. All written and electronically stored documents including all enclosures, (regardless of form), which the

COMNAVSAFECEN is the originator or release authority. This includes products of data compilation (regardless of form or characteristics), which have been made or received while transacting business or pursuing mission, as well as all documents produced, including those showing organization, policies, functions, decisions, or procedures of this command. This definition specifically includes electronic records and video recordings held by this command.

28. **Deliberative Process**. The investigator's analysis of the information gathered during a safety investigation, which leads to the development of conclusions, causes, and recommendations.

29. **Direct Enemy Action (DEA)**. Any injury or death occurring within a combat zone as a result of direct action with an opposing or hostile force is considered DEA. All injury or death cased by “friendly fire” is considered a mishap.

30. **DoD Accident**. An unplanned event, or series of events, that results in damage to DoD property; occupational illness to DoD military or civilian personnel; injury to DoD military personnel on- or off-duty; injury to on-duty DoD civilian personnel; damage to public or private property, or injury or illness to non-DoD personnel caused by DoD operations.

31. **DoD Law Enforcement Component**. Defense Criminal Investigative Service, Army Central Investigative Division, Air Force Office of Special Investigations, Naval Criminal Investigative Service, Marine Corps Central Investigative Division, Coast Guard Investigative Service, or similar organizations whose primary mission is identification and prosecution of criminal offenders.

32. **DoD Personnel**. Defined as:

a. On-duty, DoD civil service employees (including National Guard and Reserve technicians, unless in military duty status); non-appropriated fund employees (excluding part-time military); Corps of Engineers civil works employees; Youth or Student Assistance Program employees; foreign nationals employed by DoD components; and Army-Air Force Exchange Service (AAFES) employees.

b. All U.S. military personnel on active duty; U.S. Military Reserve or National Guard personnel on active duty or in a drill status; Service Academy cadets or midshipmen; Reserve

Officer Training Corps (ROTC) cadets or midshipmen when engaged in directed training activities; Officer Candidate School (OCS) students when engaged in directed training activities; and foreign national military personnel assigned to DoD components.

33. **Diving Mishap**. Injury, recompression therapy, or death resulting from an incident occurring while breathing compressed gases (for example, air, HeO2, or oxygen) before, during, or after entering or leaving the water.

34. **Duty Status**. A Sailor or Marine is either on duty, on liberty, on leave, or an unauthorized absentee. Sailors and Marines on liberty, on leave, and in an unauthorized absentee status are off duty. The following definitions are for safety purposes only and bear no relationship to compensation or line-of-duty determination.

a. On Duty. Navy and Marine Corps personnel are on duty when they are:

(1) Physically present at any location to perform there officially assigned work. This includes activities normally associated with work, such as walking to and from parking lots, lunch periods, rest breaks, and all activities aboard military vessels.

(2) Being transported anytime by a government motor vehicle (GMV) or commercial vehicle for the purpose of performing officially assigned work. This includes travel in private motor vehicle (PMV), or commercial conveyance while performing official duty, but not routine travel to and from home and work or duty station. Sailors and Marines in a government leased or chartered water taxi are on duty.

(3) Participation physical training activities while on station, on board ship, or anyplace while under orders.

(4) Participating in command-directed events.

(5) Reservists, for safety investigation purposes, are on duty when they are at their designated drill sites performing inactive duty training (IDT) or are performing Annual Training (AT), Active Duty Training (ADT) or Active Duty Special Work (ADSW).

(6) Civilians are considered on duty when they reach federal property. This includes on the way to or from work site or in the performance of their official duties.

(7) Navy and Marine Corps personnel on Temporary Additional Duty (TAD) and temporary duty (TDY), away from their regular place of employment are covered during performance of duties and during travel for any injury that results from activities essential or incidental to the temporary assignment. However, when personnel deviate from the normal incidents of the trip and become involved in personal activities not reasonable or incidental to the assignment, the person ceases to be considered on duty for investigation and reporting purposes of occupational injuries or illnesses.

b. Off Duty:

(1) Whether on or off a Navy and Marine Corps installation, Navy and Marine Corps personnel are off duty when they are on leave, liberty, on permissive TAD, or are an unauthorized absentee. All active duty personnel on board a military vessel are considered on duty.

(2) Reservists for the purposes of mishap reporting, are considered off duty from the time they depart home/office until they reach their appointed site of duty for drill, and, from the time they depart the drill site until they reach domicile or government provided billeting at the conclusion of the scheduled drill or drill periods.

Example: A reservist departs his domicile for the drill site for a drill weekend or scheduled make-up drill. En route, he is involved in a privately owned vehicle (POV) mishap. Report as an off-duty motor-vehicle mishap.

Example: A Sailor or Marine completed his drills for Saturday and is scheduled to return the following morning. During the evening, he is involved in a mishap. Report the mishap as required as an off-duty motor-vehicle mishap.

Example: A Sailor or Marine completes his final drill on a Sunday afternoon and is driving home when he is involved in a mishap. Report the

mishap as required as an off-duty motor-vehicle mishap.

(3) Participating during non-working hours in base or installation team sports and events sponsored by the command in which participation is voluntary.

c. Civilian. Navy and Marine Corps civilian personnel are off duty during the workday (even though on federal property) when they are engaged in personal activities unrelated to employment such as eating, physical training, resting, shopping, running errands, etc.

35. **Electric Shock**. Is the passage of direct or alternating electrical current through the body or a body part.

36. **Exigent Circumstances**. Specific event where it is clearly evident that rapid intervention to prevent the immediate loss of life or property is required.

37. **Explosion**. A chemical reaction of any chemical compound or mechanical mixture that, when initiated, undergoes a very rapid combustion or decomposition releasing large volumes of highly heated gases that exert pressure on the surrounding medium. Depending on the rate of energy release, an explosion can be categorized as a deflagration, a detonation, or pressure rupture.

38. **Explosive Event.** Any event involving conventional ordnance, ammunition, explosives, explosive systems and devices resulting in an unintentional detonation, firing, deflagration, burning, launching of ordnance material (including all ordnance impacting off-range), leaking or spilled propellant fuels and oxidizers (less OTTO fuel II), or chemical agent release. Explosive events will be reported in an explosive event report (EER) in accordance with OPNAVINST 8000.16 series, even if an ordnance system works as designed, and human error contributed to an event. This pertains to all events that **do not meet** the severity classification of class A, B or C.

a. Detonation, Deflagration, Burning, or Firing. It is an unintentional or inadvertent initiation, explosion or reaction of explosive material, component or system.

Example: unintentional discharges of all guns, including small arms (this includes

discharge of weapon in government quarters or unintentional discharges and ricochets during training on ranges), aircrew escape propulsion systems, marine location markers, flares, etc).

b. Inadvertent Launch. Is an unintentional launch of a weapon.

c. Chemical Agent Release. Any unintentional or uncontrolled release of a chemical agent when:

(1) Damage occurs to property from contamination, or costs are incurred for decontamination.

(2) Individuals exhibit physiological symptoms of agent exposure.

(3) The quantity released to the atmosphere creates a serious potential for exposure.

d. Propellant and Oxidizers. Is a leaking or spilled propellants (both solid and liquid), propellant fuels and oxidizers (less OTTO fuel II).

39. **Explosive Material**. A chemical, or a mixture of chemicals, which undergoes a rapid chemical change (with or without an outside supply of oxygen) liberating large quantities of energy in the form of blast, light, or hot gases. Incendiary materials and certain fuels and oxidizers made to undergo a similar chemical change are also explosive materials. Examples of explosive materials include:

a. Explosives. TNT, PBXN, PETN, PBXC, RDX, compositions, Explosive D, tetryl, fulminate of mercury, black powder, smokeless powder, flashless powder, and rocket and missile propellants.

b. Fuels and Oxidizers. OTTO Fuel II, mixed amine fuel, inhibited red fuming nitric acid, and ethylene oxide.

c. Incendiaries. Napalm, magnesium, thermite and pyrotechnics.

40. **Explosives Mishaps**. An accident or incident involving conventional ordnance, ammunition, explosives, explosive systems

and devices resulting in an unintentional detonation, firing, deflagration, burning, launching of ordnance material (including all ordnance impacting off-range), leaking or spilled propellant fuels and oxidizers (less OTTO fuel II), or chemical agent release. Accidents and incidents defined as explosive mishaps and meeting a severity classification of class A, B or C., will be reported as explosive mishap report (EMR) using WESS, even if an ordnance system works as designed, and human error contributed to an incident or accident. Any explosive event not meeting one of these severity classifications will be reported as an explosive event report (EER) per OPNAVINST 8000.16 series.

a. Detonation, Deflagration, Burning, or Firing. It is an unintentional or inadvertent initiation, explosion or reaction of explosive material, component or system.

Example: Accidental discharges of all guns, including small arms (this includes discharge of weapon in government quarters or accidental discharges and ricochets during training on ranges), aircrew escape propulsion systems, marine location markers, flares, etc).

b. Inadvertent Launch. Is an unintentional launch of a weapon.

c. Chemical Agent Release. Any unintentional or uncontrolled release of a chemical agent when:

(1) Damage occurs to property from contamination, or costs are incurred for decontamination.

(2) Individuals exhibit physiological symptoms of agent exposure.

(3) The quantity released to the atmosphere creates a serious potential for exposure.

d. Propellant and Oxidizers. Is a leaking or spilled propellants (both solid and liquid), propellant fuels and oxidizers (less OTTO fuel II).

e. All Ordnance Impacting Off-Range. This includes all small arm ranges where ricochets cause bullets to impact outside surface danger zones.

41. **Explosive System**. Is a weapon, device or tool using explosive material.

42. **Factual information**. Data held by COMNAVSAFECEN that clearly originated from non-privileged sources as defined by DODI 6055.7 and OPNAVINST 3750.6 (series) is reasonably segregable from privileged data so as to be meaningful to a reader. Factual information encompasses only such data as may be releasable under FOIA.

43. **First Aid Case.**

a. For military members, any initial one-time treatment and any follow-up visit for observation of minor scratches, cuts, burns, and splinters that does not ordinarily require medical care. Such one-time treatment and follow-up visit for observation is considered first aid, even though provided by a physician or medical professional.

b. For DoD civilians, any case that requires one or more visits to a medical facility for examination or treatment during working hours, as long as no leave or continuation of pay (COP) is charged to the employee and no medical expense is incurred. Also, a case that requires two or more visits to a medical facility for examination or treatment during non-duty hours beyond the date of injury as long as no leave or COP is charged and no medical expense is incurred.

44. **First Aid Treatment**. Any one time treatment, with follow-up treatment if required, to clean, bandage, or observe a scratch, cut, burn, splinter, sprained ankle, etc., not necessarily provided by competent medical authority. First Aid, for purposes of this instruction and 29 CFR Part 1904, are not required to be recorded or reported, using the following definition of first aid:

a. Using a non-prescription medication at nonprescription strength (for medications available in both prescription and non-prescription form, a recommendation by a physician or other licensed health care professional to use a non-prescription medication at prescription strength is considered medical treatment for record keeping purposes).

b. Administering tetanus immunizations (other immunizations, such as hepatitis B vaccine or rabies vaccine, are considered medical treatment).

c. Cleaning, flushing or soaking wounds on the surface of the skin.

d. Using wound coverings such as bandages, Band-Aids™, gauze pads, etc.; or using butterfly bandages or Steri-Strips™ (other wound closing devices such as sutures, staples, etc., are considered medical treatment);

e. Using hot or cold therapy.

f. Using any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, etc. (devices with rigid stays or other systems designed to immobilize parts of the body are considered medical treatment for record keeping purposes).

g. Using temporary immobilization devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards, etc.).

h. Drilling of a fingernail or toenail to relieve pressure, or draining fluid from a blister;

i. Using eye patches;

j. Removing foreign bodies from the eye using only irrigation or a cotton swab.

k. Removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means;

l. Using finger guards;

m. Using massages (physical therapy or chiropractic treatment are considered medical treatment for record keeping purposes); or;

n. Drinking fluids for relief of heat stress.

45. **Formal Training**. Formal training is defined as training (formal courses of instruction) conducted by formal schools and training centers or depots.

46. **Formal Training Mishap**. A formal training mishap is any injury or illness that occurs during training conducted at a training command in a classroom, laboratory, or field exercise for which a Course Identification Number (CIN) is assigned.

47. **Freedom of Information Act (FOIA) Request**. Is a written request for records from the Navy or Marine Corps. Such requests may be from any member of the public (including persons employed by the government, but acting in their personal capacity), commercial entities, news media, or state and local governments. Freedom of Information Act (FOIA) requests cannot be made by any part of the United States government, including the federal courts.

48. **Friendly Fire**. A circumstance in which Navy and Marine Corps personnel or allied forces are mistakenly killed or injured in action by or through Navy and Marine Corps or allied forces delivered or controlled fires while such forces are actively engaged with a hostile force, or what is thought to be a hostile force.

49. **Government Motor Vehicle (GMV)**. A motor vehicle that is owned, leased, or rented by a DoD component (not individuals); and whose general purpose is the transportation of cargo or personnel. Examples of GMVs are passenger cars, station wagons, vans, golf carts, 4-wheeled scooters, ambulances, buses, motorcycles, trucks, and tractor-trailers. Vehicles on receipt to, and operated by, non-DoD persons or agencies and activities such as the U.S. Postal Service or the American Red Cross are not GMVs.

50. **Government Vehicle Other (GVO)**. Vehicles designed primarily for off-the-highway operation such as construction tracked vehicles, forklift, road graders, agricultural-type wheeled tractors, and aircraft tugs. Includes military combat vehicles, e.g., tanks, self-propelled weapons, armored personnel carriers, amphibious vehicles ashore and HMMWV.

51. **Government Vehicle Mishap**. A mishap involving a GMV or GVO being operated as such, which results in death, injury, or property damage.

52. **Hazard**. A work place condition that might result in injury, health impairment, illness, disease, or death to any worker who is exposed to the condition, or which might result in

damage to or loss of property or equipment. Mishap investigators use the term to explain causes of mishaps. Hazards are detected through inspections, industrial hygiene surveys, observations, safety program evaluations, or from other activity reports.

53. **Hazard Report**. A message report notifying COMNAVSAFECEN and CMC (SD) of a hazardous condition or near-mishap that occurred at the reporting command. Report will be reviewed to determine whether information will be shared with the appropriate community.

54. **Hazard Severity**. An assessment of the worst potential consequence is likely to occur as a result of deficiencies. Hazard severity categories are:

a. Category I - Catastrophic: the hazard may cause death or loss of a facility.

b. Category II - Critical: may cause severe injury, severe occupational illness, or major property damage.

c. Category III - Marginal: may cause minor injury, minor occupational illness, or minor property damage.

d. Category IV - Negligible: probably would not affect personnel safety or health, but is nevertheless in violation of specific criteria.

55. **Heat Exhaustion.** A heat illness caused by salt depletion and dehydration, which is evidenced by profuse sweating, headache, nausea, vomiting, and tingling sensations, leading to unconsciousness.

56. **Heat Stress.** Any combination of air temperature, thermal radiation, humidity, air flow, and work load which may stress the body as it attempts to regulate body temperature. Heat stress becomes excessive when the body's capability to adjust is exceeded, resulting in an increase of body temperature.

57. **Heat Stroke.** Heat illness where the thermo-regulatory system fails to function, so the main avenue of heat loss is blocked resulting in unconsciousness, convulsions, delirium and possible death.

58. **High-Risk Training**.

a. Marine Corps. Is in the formal school setting as: Basic or advanced individual or collective training, essential for preparing Marines and units for combat, that exposes students and instructors to the risk of death or permanent disability despite the presence of and adherence to proper safety controls. A list of courses considered high-risk training is provided in the MCO 1553.2 series.

b. Navy. Basic or advanced individual or collective training, that exposes students and instructors to the risk of death or permanent disability if safety precautions are not instituted and adhered to during execution. Formal traditional and non-traditional and unit level training will be considered high risk when a deliberate, or in-depth initial risk assessment has identified evolutions that have the potential to expose instructors and/or students to moderate Risk Assessment Code 3 (RAC 3), serious (RAC 2), or critical (RAC 1) risks as defined in OPNAVINST 1500.75 series, or ad designated by higher authority. Some examples of high-risk training are aviation, parachute, water survival, self-contained underwater breathing apparatus (SCUBA), underwater breathing device (UBD), rescue swimmer, blaster, diver, EOD, live combat arms, fire fighting, mountaineering, helicopter rope suspension, confidence and Tarzan courses, and sea-air-land (SEAL) training.

59. **Hospitalization**. The admission of Navy and Marine Corps personnel to a hospital or shipboard medical facility on an inpatient basis related to the immediate injury or occupational illness.

60. **Hostile Casualty**. A person who is the victim of a terrorist activity or who becomes a casualty “in action.” “In action” characterizes the casualty as having been the direct result of hostile action, sustained in combat or relating thereto, or sustained going to or returning from a combat mission provided that the occurrence was directly related to hostile action. Included are persons killed or wounded mistakenly or accidentally by friendly fire directed at a hostile force or what is thought to be a hostile force. However, not to be considered as sustained in action and not to be interpreted as hostile casualties are injuries or death due to the elements, self-inflicted wounds, combat fatigue, and except in unusual cases, wounds or death inflicted by a friendly force while the individual is in an absent-without-leave, deserter, or dropped-from-rolls status or is voluntarily absent

from a place of duty. See also casualty, casualty type, and non-hostile casualty.

61. **Illnesses and/or Disease**. A non-traumatic physiological harm or loss of capacity produced by systemic; continued or repeated stress or strain; exposure to toxins, poisons, fumes, etc., or other continued and repeated exposures to conditions of the environment over a long period of time. For practical purposes, an occupational illness and/or disease are any reported condition that does not meet the definition of injury. Illness includes both acute and chronic illnesses, such as, but nor limited to, a skin disease, respiratory disorder, or poisoning.

62. **Injury**. A traumatic wound or other condition of the body caused by external force including stress or strain. The injury is identifiable as to time and place of occurrence and the part or function of the body affected, and is caused by a specific event or series of events within a single day or work shift. Injuries include cases such as, but not limited to, a cut, fracture, sprain, or amputation.

63. **Installation**. Are Navy and Marine Corps bases, stations, centers, depots, facilities, or other organizational properties owned by DoN.

64. **Light Duty**. A duty status recommended after treatment of an injury that stipulate exactly limitations on a service member during the recommended period, equivalent to placing a civilian in a restricted work status. When an injury or occupational illness results in light-duty days, assigned light duty days are not counted as lost workdays. On light duty, the military member normally remains at their original duty station but is gainfully employed even though not performing their normal duties.

65. **Limited Duty**. A military duty status formally assigned as a result of a medical board. Time spent on limited duty is not chargeable as lost time regardless of the cause for assignment to limited duty. Under limited duty, the military member is frequently reassigned from their permanent duty station to a temporary duty station until the medical issue is resolved.

66. **Lost Time Case**. A non-fatal traumatic injury that causes any loss of time from work after the day or shift on which it occurred; or non-fatal non-traumatic illness and/or disease that causes any loss of time from work.

67. **Lost Workdays or Days Away From Work**. The total number of full calendar days, weekends included, that a person was unable to work as a result of an injury or occupational illness, excluding the day of the mishap and the day returned to duty or work.

a. For Navy and Marine Corps military personnel, these include days hospitalized, sick-in-quarters, or on convalescent leave as a result of injury or work-related illness.

b. Navy and Marine Corps reserve personnel, in a not physically qualified (NPQ) status sustained as a result of an injury at any time en route to, during, or returning from drill, or during annual training, is considered lost time.

c. For Navy and Marine Corps civilian personnel, this includes continuation of pay (COP) leave, annual leave, sick leave, days hospitalized, and leave without pay granted, or a full work shift missed because of a work-related illness or injury.

68. **Marine Corps and Navy Combat Craft**. Any craft owned and/or operated by Navy and Marine Corps personnel while it is at sea or conducting waterborne operations. This includes mechanized amphibians, combat rubber reconnaissance craft, riverine assault craft, rigid hull craft, etc.

69. **Medical Evacuees**. Personnel who are wounded, injured or ill must be moved to or between medical facilities.

70. **Military Personnel**. All Navy and Marine Corps military personnel on active duty (USN/USNR/USMC/USMCR); Naval and Marine Corps Reserve personnel (USNR-R/USMCR-R) on active duty or in a drill status; Naval Academy midshipmen; Reserve Officer Training Corps (ROTC) midshipmen when engaged in directed training activities; and other DoD and foreign national military personnel assigned to the Navy or Marine Corps or embarked in Navy, MSC or NFAF command ships.

71. **Mishap**. Any unplanned or unexpected event causing death, injury, occupational illness, including days away from work, job transfer or restriction, and material loss or damage.

72. **Mishap Causes**. Are conditions or events that explain why a mishap occurred. Refer to Glossary G-7 for a complete

explanation of mishap causes. Events within a mishap may have multiple causes assigned. Causes are the genesis of the mishap, not the reason that damage or injury occurred. For example, a fire may have damaged a room, but the mishap was not caused by the fire - it was caused by “personnel error - failure to follow procedures” because someone stored a flammable near a heat source resulting in a fire.

73. **Mishap Costs**. Include all DoD property damage, other property damage, and injury costs.

a. DoD Property Damage Costs. The cost of repair or replacement of all DoD property involved in the mishap by determining the actual cost of materials or by estimates provided by the repair activity. If necessary, use estimates based on the actual cost of materials and $18 for each hour of organizational- or intermediate-level labor or $60 for each hour of depot-level labor.

b. Other Property Damage Costs. Is the actual cost of repair or replacement of the damaged item, if available.

c. Injury Costs. The cost based on the extent of injury reported and current costs estimates. These cost are calculated by COMNAVSAFECEN from data received on mishap reports.

74. **Mishap Probability**. The likelihood that a hazard will result in a mishap or loss, based on an assessment of such factors as location, exposure (cycles or hours of operation), affected populations, experience, or previously established statistical information. Mishap probability shall be assigned an English alphabet symbol according to the following criteria:

a. Category A. Is likely to occur immediately or within a short period of time. Expected to occur frequently to an individual item or person or continuously to a fleet, inventory or group.

b. Category B. Probably will occur in time. Expected to occur several times to an individual item or person or frequently to a fleet, inventory or group.

c. Category C. May occur in time. Can reasonably be expected to occur some time to an individual item or person or several times to a fleet, inventory or group.

d. Category D. Is unlikely to occur.

75. **Motor Vehicle Mishap**. A mishap entailing the operation of a motor vehicle or motorcycle involving collisions with other vehicles, objects, or pedestrians; fatality, personal injury, or property damage; fatality or personal injury in moving vehicles or by falling from moving vehicles; towing or pushing mishaps; and other injury and property damage. Collisions involving pedestrians or bicyclists when struck by a motor vehicle or other vehicular objects are to be included if other reporting requirements are met.

76. **Near Mishap**. Is an act or event which injury or damage was avoided merely by chance.

77. **No Lost Time Case**. A non-fatal injury or illness and/or disease that does not meet the definition of a day away from work case, or is considered a first aid case. Such cases are may be reportable if it meets the criteria in Chapter 3.

78. **Non-Battle Injury**. A person who becomes a casualty due to circumstances not directly attributable to hostile action or terrorist activity.

79. **Non-Hostile Casualty**. A person who becomes a casualty due to the circumstances not directly attributable to hostile action or terrorist activity. Casualties due to the elements, self-inflicted wounds, and combat fatigue are non-hostile casualties. See also casualty, casualty type, or hostile casualty.

80. **Non-Ionizing Radiation**. Radiation that is not capable of stripping electrons from atoms in the media through which it passes. Examples include radio waves, microwaves, visible light, and ultraviolet radiation.

81. **Occupational Illness**. A non-traumatic physiological harm or loss of capacity produced by: systemic infection; continued or repeated stress or strain; exposure to toxins, poisons, fumes, etc.; or other continued and repeated exposure to conditions of the work environment over a long period of time (greater than a single day or work shift). For practical purposes, an occupational illness or disease is any reported condition that does not meet the definition of an injury.

Examples: Include dust diseases of the lung; respiratory conditions from toxic agents; noise

induced hearing loss; poisoning by lead, mercury, or other metals; occupational bloodborne pathogens exposures; cumulative trauma disorders; and work-related tuberculosis.

82. **Operational Area**. An overarching term encompassing more descriptive terms for geographic areas in which military operations are conducted. Operational areas include, but are not limited to, such descriptors as area of responsibility, theater of war, theater of operations, joint operations area, amphibious objective area, joint special operations area, and area of operations.

83. **Operational Environment**. A composite of the conditions, circumstances, and influences affecting the employment of military forces and bear on the decision of the unit commander. Some examples are as follows:

a. Permissive environment – operational environment in which host country military and law enforcement agencies have control as well as the intent and capability to assist operations that a unit intends to conduct.

b. Uncertain environment – operational environment in which host government forces, whether opposed to or receptive to operations that a unit intends to conduct, do not have totally effective control of the territory and population in the intended operational area.

c. Hostile environment – operational environment in which hostile forces have control as well as the intent and capability to effectively oppose or react to the operations a unit intends to conduct.

84. **Personnel**. For investigation, reporting and record keeping, personnel are either Navy and Marine Corps personnel or non-Navy and Marine Corps personnel.

a. Navy and Marine Corps Personnel. The term "Navy and Marine Corps personnel" refers to all of the following:

(1) Military Personnel. All military personnel on active duty; Reserve personnel on active duty or in a drill status; Naval Reserve Officer Training Corps (NROTC), Naval Junior Reserve Officer Training Corps (NJROTC), Marine Corps Junior Reserve Officer Training Corps (MCJROTC, Sea Cadets,

Devil Pups, and personnel in the delayed entry program involved in an official military function; officer candidate students; recruits; and other DoD and foreign national military personnel assigned to the Navy and Marine Corps. This Manual refers to these personnel as Navy and Marine Corps military personnel.

(2) Civilian Personnel. The following are Navy and Marine Corps civilian personnel:

(a) Federal Civilian Personnel. All career, career-conditional and temporary (full-time, part-time, intermittent) personnel, who are subject to civil service regulations, paid from appropriated federal funds, and covered by the Federal Employees' Compensation Act. This excludes civilians paid by appropriated funds on a contract or fee basis.

(b) Non-Appropriated Fund Civilian Personnel. All civilian personnel whose employment by the Navy and Marine Corps is paid by non-appropriated funds and are covered by the Longshore and Harbor Workers Compensation Act. This excludes civilians paid by non-appropriated funds on a contract or fee basis.

(c) Foreign National Civilian Personnel. Includes nationals employed by the Navy and Marine Corps in direct (appropriated or non-appropriated funds) or indirect hire (contract or fee basis) status when the Navy and Marine Corps has supervisory control. It excludes those paid by contract or fee basis when the host government has supervisory control. Navy and Marine Corps commands and installations shall review and determine if the host nation injury and illness reporting and compensation systems supersede DoD requirements per the status of forces' agreement.

b. Non-Navy and Marine Corps Personnel. Includes the following:

(1) Off-duty Navy and Marine Corps civilian personnel.

(2) Personnel employed by other federal or DoD agencies not assigned to the Navy and Marine Corps.

(3) All other civilians and foreign nationals not employed by the Navy and Marine Corps.

85. **Ordnance**. Military material such as combat weapons of all kinds with ammunition and equipment required for their use. Ordnance includes all the things that make up a ship or aircraft armament, e.g., guns, ammunition, and all equipment needed to control, operate and support the weapon.

86. **Permanent Total Disability**. A non-fatal injury or occupational illness, in the opinion of competent medical authority, permanently and totally incapacitates a person to the extent that he or she cannot follow any gainful occupation.

NOTE:

The loss, or loss of use, of both hands, both feet, both eyes, or a combination of any of these parts of the body as a result of a single mishap, shall be considered as a permanent total disability.

87. **Private Motor Vehicle**. A privately owned motor vehicle primarily designed for the transportation of people or cargo over public streets or highways.

88. **Privileged Information**. That information voluntarily provided under a promise of confidentiality or information which would not have been discovered otherwise, but for information voluntarily provided under a promise of confidentiality. The deliberative analyses of findings, conclusions, and recommendations of the SIB or command investigator in the report are privileged. Also privileged are calculations and deductions the SIB or investigator make that would reveal the board’s deliberative process. Report endorsements also are part of the deliberative process and are similarly privileged against disclosure.

89. **Property Damage**. Is damage or loss to the facility, equipment or material. The cost of environmental cleanup and restoration also shall be included in property damage costs.

90. **Recompression Therapy**. Treatment to compress gas bubbles in the blood to a small volume to relieve local pressure and restart blood flow, allow sufficient time for gas bubble absorption, and increase blood-oxygen content and improve oxygen delivery to injured tissues.

91. **Reportable Mishaps**. Mishaps as defined by paragraph 3005 shall be reported to COMNAVSAFECEN in the following cases:

a. Class A, B and C government property damage mishaps. This includes property damage caused by a government evolution, operation or vehicle to other government or non-government property.

b. Class A, B, and C on-duty DoD civilian mishaps and military on/off-duty mishaps.

(1) For military fatalities and injuries occurring during Permanent Change of Station (PCS) orders, it is the responsibility of the gaining command to submit to mishap report.

(2) For mishaps occurring to personnel assigned to unified or joint task force commands, Navy and Marine Corps activities will submit mishap reports per this manual and any Memorandums of Agreement.

(3) For mishaps associated with the secondary side of naval nuclear propulsion plant or non-nuclear components, report per this manual.

c. Any other occupational illness or injury that involves medical treatment beyond first aid, if it results in days light duty or limited duty for on/off-duty military personnel, or days of job transfer or restricted work for on-duty civilians.

d. Other incidents of interest to the Navy and Marine Corps for mishap prevention purposes, and those addressed by reference 3d, are reportable mishaps:

(1) All on-duty military fatalities or permanent total disabilities that are the result of a medical event that commenced within one hour of a command-sponsored Physical Training (PT), Physical Readiness Test (PRT), Physical Fitness Test (PFT), or Physical Fitness Assessment (PFA) (e.g., chest pains, heart attack, coma, etc.)

(2) Class A and B mishaps occurring as the result of a DoD activity, operation, or evolution that results in the serious injury or death of a guest or military dependent.

(3) All on-duty military training-related fatalities, and any high or moderate risk training mishaps that result in the

loss of one training day, rolling back or disenrollment of the student from a course.

(4) All explosive mishap reports of Navy and Marine Corps munitions and weapon systems, all ordnance incidents resulting in injury and all ordnance impacting off-range.

(5) All on-duty diving cases involving the Central Nervous System (CNS), oxygen toxicity, Pulmonary Over Inflation Syndrome (POIS), or hyperbaric treatment.

(6) All afloat cases of grounding, collision and flooding. In the case of collisions involving only U.S. Navy or Military Sealift Command ships or craft, the senior command will submit a consolidated report of the event. In all other collisions (including a vessel running into a stationary object), the report will include an estimate of the damage to the other ship, craft, or object.

(7) All fires occurring afloat (all cases except small trash fires in which no personnel were injured and the material property damage was limited to trash.)

(8) All Government Motor Vehicle (GMV) or Government Vehicle Other (GVO) mishaps resulting in $5000 or more government vehicle or government property damage, and/or injury/fatality of DoD-personnel; or a mishap caused by a GMV/GMO resulting in $5000 or more total damage including any private vehicle or private property damage, and/or injuries/fatalities to non-DoD personnel.

(9) Any mishap involving Helicopter Rope Suspension Technique (HRST), air cargo drop, and/or parachuting, regardless of damage costs or extent of injuries.

(10) All reportable injury and occupational illness mishaps involving a contractor, where DoN provided direct supervision of the contractor, the mishap was caused wholly or in part by DoD operations, and DoN has the means to affect change to prevent reoccurrence of the mishap. See Glossary G-1, “Contractor Mishaps.”

(11) Any medically diagnosed occupational illness and injury, such as cumulative trauma disorder or musculoskeletal disease, whether or not involving further medical treatment or any time away from work.

(12) Work-related Significant Threshold Shift (STS) in hearing averaging 10 dB or more at 2000, 3000, and 4000 Hz in one or both ears, and the person's total hearing level is 25 decibels or more above audiometric zero in the same ears (averaged at 2000, 3000, 4000 Hz) when an audiologist, otologist, or occupational medicine physician confirms the shift is toward deteriorated hearing, is permanent, and is considered to be of occupational origin. Age corrections shall not be used for calculating reportable hearing loss. That loss shall only be reported once unless an additional reportable loss of hearing is incurred. When a reportable hearing loss occurs from an instantaneous event (e.g., acoustic trauma from a one-time blast or over-pressure) the hearing loss shall be reported as an injury.

(13) Any work-related needle stick injury or cut from a sharp object that is contaminated with another person's blood or other potentially infectious material.

(14) Occupationally-related tuberculosis infection, as evidenced by a positive skin test or diagnosis by a physician or other licensed health care professional, after exposure to a known case of active tuberculosis.

(15) Any on-duty military heat stress or cold injury requiring medical treatment.

(16) Any case requiring a military member or civilian employee to be medically removed under the requirements of an OSH health standard

92. **Restricted Area**. An area (land, sea, or air) in which there are special restrictive measures employed to prevent or minimize interference between friendly forces. An area in which special security measures are employed to prevent unauthorized entry that's under military jurisdiction.

93. **Restricted Work or Job Transfer.** Restricted work activity or temporary transfer from that work occurs when, as a result of a work-related injury or illness, a supervisor or health care professional keeps, or recommends keeping, a civilian employee from doing the routine functions of his or her job, or from working the full work day that the employee would have been scheduled to work before the injury or illness occurred. The employee has not lost work time, but is restricted from routine

functions. The military equivalent of restricted work is Light or Limited Duty.

94. **Risk Assessment Code (RAC)**. Using the matrix in Glossary G-3, the RAC is expressed as a single Arabic number that is used to help determine hazard abatement priorities.

95. **Safety Authority (SA).** A designated individual or individuals, typically a safety manager, safety officer, executive officer, regional safety manager, etc., who manages WESS mishap reporting for one or more commands or activities. The SA is registered with COMNAVSAFECEN and serves as the local approving authority for WESS accounts and access, and account requests approved by the SA are granted by COMNAVSAFECEN.

96. **Safety Center.**

a. Within DoD: Army Safety Center, Air Force Safety Center, Naval Safety Center, Headquarters Marine Corps (Safety Division), or Coast Guard Health and Safety Directorate.

b. Occupational Safety and Health Administration (OSHA).

c. Others: Similar organizations whose primary mission is prevention of mishaps and who do not support law enforcement or discipline with the information they collect.

97. **Safety Investigation Board (SIB)**. A formal investigating body appointed to determine the primary cause(s) of mishaps. The board consists of a minimum of three members. The immediate controlling command of unit involved in the mishap normally appoints the senior member of the safety investigation board.

98. **Safety Investigation Report (SIREP)**. A message report that identifies deaths, injuries, or damage occurring in all mishap classes, the causal factors, and the recommended corrective actions to prevent similar mishaps.

99. **Safety Officer (Safety Manager)**. A person who is trained as appropriate for the particular community to perform safety coordination for their command and currently holds a safety duty assignment, either as a primary or collateral duty.

100. **Safety or Health Specialist**. Persons who meet the Office of Personnel Management standards for Safety and Occupational Health Manager GS-018, Safety Engineer, GS-803, Safety

Technician GS-019, Aviation Safety Officer GS-1825, Air Safety Investigating Officer GS-1815, Fire Protective Engineer GS-0804, Fire Protection Specialist/Marshall, GS-0081, Medical Officer GS-602, Health Physicist GS-1306, Industrial Hygienist GS-690, Occupational Health Nurse GS-610, Industrial Hygiene Technologist, or comparably qualified personnel as determined by appropriate Navy authority.

101. **Safety Records**. Include SIREP, HAZREP, mishap logs, files and summaries.

102. **Special Purpose Vehicles**. Golf carts, utility carts, bicycles, mopeds, snowmobiles, all terrain vehicles (ATVs), boats, jet skis or other vehicles/vessels with a specific purpose usually associated with recreational activities.

103. **Staged Photographs**. Staged photographs are those constructed to gain a better understanding of the sequence of events surrounding a mishap. Staged photographs may include but are not limited to photos of mishap sites with personnel pointing to various objects, a series of photographs showing similar personal actions which may have led to a mishap, equipment which is highlighted or specifically identified for safety investigators, etc. Photographs of the actual mishap site, a broken piece of equipment, injured or deceased personnel are not considered staged photographs unless the photos have been marked by safety investigation personnel.

104. **Subject Matter Expert (SME)**. A person, whether military or civilian, who through knowledge, skill, experience, training, or education, possesses scientific, technical, or other specialized knowledge that may assist to understand or to determine a particular fact in issue. Such an expert may provide information by way of facts, opinions, or otherwise.

105. **Survey of Damages**. Is a formal procedure relevant to admiralty claims and litigation. Only the Judge Advocate General may accept survey invitations from potential claimants, extend survey invitations to persons responsible for damage to naval property, or request representation of the United States by a marine surveyor. In no case shall any person involved in mishap investigating or reporting accept or offer an invitation for a survey of damages on behalf of the United States. In any instance of receipt of invitation to a survey, refer to Chapter XII of the Navy Judge Advocate Manual and notify the Office of the Judge Advocate General (JAG), Admiralty Division (Code 31).

106. **Suspend**. An action, which restricts an ordnance item from further issue and use pending analysis; when the true condition is in question; or maintenance, is required.

107. **Termination of Training**. Any interruption or cessation of formal training, where at least one (1) day of training is lost, r the student is rolled back or disenrolled from the course.

108. **Training-Related Death.** A death:

a. Associated with a non-combat military exercise or training activity that is designed to develop a military member's physical ability or to maintain or increase individual/collective combat and/or peacekeeping skills, and is

b. Due to either an accident or the result of natural causes occurring during or within one hour after any training activity where the exercise or activity could be a contributing factor.

109. **Web-Enabled Safety System (WESS).** A web-based safety mishap data collection and reporting system developed for the Navy and Marine Corps by COMNAVSAFECEN. WESS, and the disconnected system WESS-DS in Microsoft Access format, provide a real-time data entry and retrieval system with 20 years of data in a consolidated database.

110. **Written Request**. A request for data or information received in paper or electronic form acceptable to the receiver. This usually entails letterhead paper requests or e-mail from a .mil address.

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GLOSSARY G-2

ACRONYMS

AA&E	Arms, Ammunition and Explosive
AAFES	Army-Air Force Exchange Service
ADSW	Active Duty Special Work
ADT	Active Duty Training
AFIP	Armed Forces Institute of Pathology
AFME	Armed Forces Medical Examiner
AIG	Address Indicator Group
AMR	Ammunition Malfunction Report
AOR	Area of Responsibility
ASN	Assistant Secretary of the Navy
ASO	Aviation Safety Officer
ASP	Ammunition Supply Point
AT	Annual Training
ATV	All Terrain Vehicles
BIT	Built-in-test
BUMED	Commander, Bureau of Medicine and Surgery
BUPERS	Commander, Bureau of Naval Personnel
CAD	Cartridge Actuated Device
CFR	Code of Federal Regulations
CIN	Course Identification Number
CMC	Commandant of the Marine Corps
CMC (SD)	Commandant of the Marine Corps (Safety Division)
CNETC	Commander, Naval Education and Training Command
CNI	Commander, Naval Installations
CNO	Chief of Naval Operations
CNS	Central Nervous System
CZ	Combat Zone
COMLANTFLT	Commander, U.S. Atlantic Fleet
COMPACFLT	Commander, U.S. Pacific Fleet
COMMARCORLOGCOM	Commander, Marine Corps Logistics Command
COMMARFORPAC	Commander, Marine Corps Forces
COMMARFORLANT	Commander, Marine Corps Forces Atlantic
COMMARFORPAC	Commander, Marine Corps Forces Pacific
COMMARFORRES	Commander, Marine Crops Forces Reserve
COMMARCORSYSCOM	Commander, Marine Corps System Command
COMNAVAIRSYSCOM	Commander, Naval Air System Command
COMNAVFACENGCOM	Commander, Naval Facility Engineering Command

COMNAVRESFOR	Commander, Naval Reserve Forces
COMNAVSAFECEN	Commander, Naval Safety Center
COMNAVSEASYSCOM	Commander, Naval Sea Systems Command
COMNSGCOM	Commander, Naval Security Group Command
COMNAVSPECWARCOM	Commander, Naval Special Warfare Command
COMNAVSUPSYSCOM	Commander, Naval Supply Systems Command
COMSC	Commander, Military Sealift Command
COMSPAWARSYSCOM	Commander, Space and Naval Warfare Systems Command
CODR	Conventional Ordnance Deficiency Report
COMR	Conventional Ordnance Mishap Report
COP	Continuation of Pay
CZ	Combat Zone
DASN (S)	Deputy Assistant Secretary of the Navy (Safety)
DEA	Direct Enemy Action
DOD	Department of Defense
DOJ	Department of Justice
DON	Department of the Navy
EER	Explosive Event Report
EI	Engineering Investigation
EMR	Explosive Mishap Report
EMS	Emergency Medical Services
EOD	Explosive Ordnance Disposal
FECA	Federal Employee Compensation Act
FOIA	Freedom of Information Act
FOUO	For Official Use Only
FY	Fiscal Year
GAO	General Accounting Office
GMV	Government Motor Vehicle
GVO	Government Vehicle Operator
GSO	Ground Safety Officer
GVO	Government Vehicle, Other
HASC	U.S. House of Representatives Armed Services Committee
HAZREP	Hazard Report
HERO	Hazard of Electromagnetic Radiation to Ordnance
HIPPA	Health Insurance Portability and Accountability
HMMWV	High Mobility Multipurpose Wheeled Vehicle
HQMC	Headquarters, Marine Corps (Safety Division)
HRST	Helicopter Rope Suspension Technique
IDT	In-active Duty Training
IFS	Naval Introductory Flight Screening
IG	Inspector General

INSURV	Board of Inspections and Survey
ISIC	Immediate Superior in Command
JAG	Judge Advocate General
JAGMAN	Judge Advocate General Manual
JATO	Jet Assisted Take Off
MARADMIN	Marine Corps Administrative Message
MARFOR	Marine Corps Forces
MARTRAK	Marine Corps Tracking System
MCCDC	Marine Corps Combat Development Center
MCIG	Marine Corps Inspector General
MCJROTC	Marine Corps Junior Reserve Officer Training Corps
MCRC	Marine Corps Recruit Command
MCWP	Marine Corps Warfare Publication
MDR	Medical Department Representative
MILSPEC	Military Specification
MOS	Military Occupational Specialty
MOU	Memorandum of Understanding
MSC	Military Sealift Command
NATO	North Atlantic Treaty Organization
NAVIG	Naval Inspector General
NCIS	Naval Criminal Investigation Service
NEC	Navy Enlisted Classification
NETC	Naval Education and Training Command
NFAF	Naval Fleet Auxiliary Force
NJROTC	Naval Junior Reserve Officer Training Corps
NOSSA	Naval Ordnance Safety and Security Activity
NPQ	Not Physically Qualified
NROTC	Naval Reserve Officer Training Corps
NTP	Naval Tactical Publication
NTSB	National Transportation Safety Board
NWP	Naval Warfare Publication
OBA	Oxygen Breathing Apparatus
OCS	Officer Candidate School
OJAG	Office of the Judge Advocate General
OP	Ordnance Publication
OPREP	Operational Report
OPORD	Operational Order
OPTEMO	Operational Tempo
ORM	Operational Risk Management
OSD	Office of the Secretary of Defense
OSH	Occupation Safety and Health
OSHA	Occupational Safety and Health Administration
PBXC	Plastic Bonded Explosives (C)
PBXN	Plastic Bonded Explosives (N)

PCR	Personnel Casualty Report
PCS	Permanent Change of Station
PEL	Permissible Exposure Limit
PEO	Program Executive Office
PETN	Pentaerythritol Tetranitrate
PFA	Physical Fitness Assessment
PFT	Physical Fitness Test
PMO	Provost Marshal’s Office
PMS	Planned Maintenance System
PMV	Private Motor Vehicle
POC	Point of Contact
POIS	Pulmonary Over Inflation Syndrome
POV	Private Owned Vehicle
PRESINSURV	President, Board of Inspection and Survey
PRT	Physical Readiness Test
PT	Physical Test
RAC	Risk Assessment Code
RADHAZ	Radiation Hazard
RDX	Cycoltrimethylene Trinitramine or (Royal Demolition Explosive)
ROTC	Reserve Officer Training Corp
SA	Safety Authority
SCBA	Self-Contained Breathing Apparatus
SCUBA	Self-Contained Underwater Breathing Apparatus
SEAL	Sea-Air-Land
SEAOPS	Safe Engineering and Operations of LCAC Manual
SHIPALT	Ship Alternation
SIB	Safety Investigation Board
SIQ	Sick in Quarters
SIR	Serious Incident Report
SIRE	Safety Investigation Report Endorsement
SIREP	Safety Investigation Report
SJA	Staff Judge Advocate
SME	Subject Matter Expert
STANAG	NATO Standardization Agreement
STS	Significant Threshold Shift
TAD	Temporary Additional Duty
TFOA	Things Falling from Aircraft
TNT	Trinitrotoluene
UA	Unauthorized Absence
UAV	Unmanned Aviation Vehicle
UBD	Underwater Breathing Device
UCMJ	Uniform Code of Military Justice
USMC	United States Marine Corps

USMCR	United States Marine Corps Reserve
USMCR-R	United States Marine Corps Reserve, Ready
USN	United States Navy
USNR	United States Naval Reserve
USNR-R	United States Naval Reserve, Ready
USNS	United State Navy Ship
WBGT	Wet Bulb Globe Temperature
WESS	Web-Enabled Safety System
WESS-DS	Web-Enabled Safety System Disconnected System

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OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

GLOSSARY G-3

MISHAP COSTS

COST STANDARDS TABLE (in dollars) [1]

DoD (1988 cost estimates)

	No Lost Time Case	Days Hosp[5]	Lost Time Case	Permanent Partial Disability[6]	Permanent Total Disability[5]	Fatality
Flying Officer	120 case	466 day	425 day	210,000	1,300,000	$1,100,000
Other Officers	120 case	466 day	425 day	145,000	845,000	$395,000
Enlisted Personnel, Cadets	120 case	466 day	375 day	115,000	500,000	$125,000[3] 270,000[4]
Civilian Employees[2]	120 case	466 day	350 day	250,000	385,000	$460,000
Program Youth and/or Student Assistance Employees and Foreign Nationals	120 case	466 day	300 day	180,000	390,000	$270,000

DoN (inflation adjusted costs)

	No Lost Time Case	Days Hosp	Lost Time Case	Permanent Partial Disability	Permanent Total Disability	Fatality
Flying Officer	187 case	2000 day	1300 day	1,300,000	1,300,000	$1,300,000
Other Officers	187 case	2000 day	1100 day	300,000	850,000	$850,000
Enlisted Personnel, Cadets	187 case	2000 day	800 day	250,000	500,000	$500,000 270,000
Civilian Employees[2]	187 case	2000 day	800 day	250,000	385,000	$460,000
Program Youth and/or Student Assistance Employees and Foreign Nationals	187 case	2000 day	400 day	180,000	390,000	$270,000

[1] The DoD estimates are intended to provide generalized figures to enable order of magnitude estimates of costs. They were developed in 1988 and have not been updated so that analysts can make generalized comparisons against historical data. The DoN inflation adjusted costs are intended to provide generalized figures for estimates at 2004 costs.
[2] For civilian employees, use actual worker compensations costs when available.
[3] Non-flight crewmember fatalities.
[4] Flight crewmember fatalities.
[5] Total costs, including days involving lost time and days hospitalized.

[6] Includes cost for days involving lost time.

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OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

GLOSSARY G-4

RISK ASSESSMENT CODES

Risk Assessment Matrix. The risk assessment code (RAC) defined by a matrix represents the degree of risk associated with a hazard considering the elements of hazard severity and mishap probability. The RAC is derived as follows:

1. Hazard Severity. An assessment of the worst potential consequence, defined by degree of occupational injury, illness or property damage which is likely to occur as a result of the deficiency. Hazard severity categories shall be assigned by roman numerals according to the following criteria:

a. Category I. May cause death, permanent total disability, or loss of a facility/asset.

b. Category II. May cause permanent partial disability, temporary total disability in excess of 90 days (severe injury or severe occupational illness), or major property damage.

c. Category III. May cause minor injury, occupational illness, or property damage.

d. Category IV. Presents minimal threat to personnel safety or health, or property, but is still in violation of a standard.

2. MISHAP PROBABILITY. The probability that a hazard will result in a mishap or loss, based on an assessment of such factors as location, exposure (cycles or hours of operation), affected populations, experience, or previously established statistical information. Mishap probability shall be assigned an English alphabet symbol according to the following criteria:

a. Subcategory A. Likely to occur immediately or within a short period of time. Expected to occur frequently to an individual item or person or continuously to a fleet, inventory or group.

b. Subcategory B. Probably will occur in time. Expected to occur several times to an individual item or person or frequently to a fleet, inventory or group.

c. Subcategory C. May occur in time. Can reasonably be expected to occur some time to an individual item or person or several times to a fleet, inventory or group.

d. Subcategory D. Unlikely to occur.

4. Risk Assessment Code. Using the matrix shown below, the RAC is expressed as a single Arabic number that is used to help determine hazard abatement priorities.

		Mishap Probability			
		A	B	C	D
	I	1	1	2	3
Hazard	II	1	2	3	4
Severity	III	2	3	4	5
	IV	3	4	5	5

RAC Definitions

1-Critical	2-Serious	3-Moderate
4-Minor	5-Negligible	

OCCUPATIONAL AND ENVIRONMENTAL HEALTH RISK ASSESSMENT

For Occupational and Environmental health risks, a similar Hazard Probability and Hazard Severity matrix is used. The quantitative parameters applied may differ from general safety hazards. For example, considerations in assessing risk would include dose, exposure time, route of exposure (skin, inhalation, ingestion, etc.), and comparison of established acute and chronic toxic thresholds.

Instead of using a numerical system, as above, the Occupational and Environmental Health Risk matrix uses the following definitions:

OEH RAC Definition

1-Extremely High
2-High
3-Moderate
4-Low

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OFFICE OF THE CHIEF OF NAVAL OPERATIONS
2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

GLOSSARY G-5

OSHA CODES

These codes are to be inserted into the SIREP in the appropriate section to describe the general category of injury or occupational illness, using standardized OSHA Codes. These codes can then be used to compare civilian and military categories of injuries and occupational illnesses with other military services and general industry.

CODE	CATEGORY
01	Injury
02	Skin Disorder
03	Respiratory Condition
04	Poisoning
05	Hearing Loss
06	All Other Illnesses

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2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

GLOSSARY G-6

INJURY AND OCCUPATIONAL ILLNESS CLASSIFICATION CODES

The following Codes and Descriptions will be used for entries on the SIREP for personnel who experience an injury or occupational illness.

PART OF BODY AFFECTED:

01 Cranial Region (includes brain, scalp, skull)
02 Ears
03 Face
  032 Eyes
  033 Nose
  034 Cheek(s)
  035 Jaw/Chin
  036 Mouth
09 Head
10 Neck
21 Shoulder
22 Chest
23 Back (including spine and spinal cord)
24 Abdomen
25 Pelvic Region (includes hips, pelvis, buttocks or groin)
31 Arm(s)
32 Wrist
33 Hands (except fingers)
34 Fingers, fingernails
41 Legs
42 Ankles
43 Foot (feet) except toes
44 Toes, toenails
98 Other body parts (indicate in narrative)

NATURE OF INJURY OR OCCUPATIONAL ILLNESS:

011 Dislocations
012 Fractures
013 Traumatic injury to spinal cord
014 Traumatic injury to nerves
021 Strains, sprains, tears
031 Amputations
032 Animal or insect bites

033 Avulsions
034 Cuts or lacerations
036 Gunshot wounds
037 Punctures (except bites)
038 Multiple open wounds
041 Abrasions, scratches
042 Blisters
043 Bruises, contusions
044 Foreign Bodies (splinters, chips)
045 Friction burns
051 Chemical burns
052 Electrical burns
053 Heat burns, scalds
061 Cerebral hemorrhage
062 Concussions
071 Cold injury (frostbite, hypothermia, trench foot)
072 Heat injury (heat stroke, heat stress, fatigue)
073 Air pressure effects (high, low, altitude changes)
091 Asphyxiation/suffocation
092 Drowning
093 Electrocution
094 Internal injuries
095 Poisoning and toxic effects
0972 Back pain
0973 Soreness or pain (other than back)

11 Blood diseases
12 Nervous system and sense organ diseases
13 Circulatory system diseases
14 Respiratory system diseases
15 Digestive system diseases
16 Genitourinary system diseases
17 Musculoskeletal system diseases
18 Skin disorders (including dermatitis)
21 Bacterial diseases (TB, anthrax, strep, etc.)
22 Viral diseases (HIV, yellow fever, smallpox, etc.)
23 Arthropod-borne diseases (ticks, fleas, etc.)
29 Infectious and parasitic diseases – other
31 Tumors and cancer
32 Benign tumors
90 Other illness/injury (explain in narrative)

SOURCE OF INJURY OR OCCUPATIONAL ILLNESS

00 Chemical(s) (liquid, gases, vapors, toxic, or non-toxic)
10 Containers (boxes, cans, boilers, hoses, cups, pallets)

20 Furniture and fixtures (bookcases, racks, lockers, desks)
30 Machinery (garden, construction, maritime, industrial, WHE)
40 Parts and materials (pipes, grates, fittings, ropes, parts)
50 Persons, plants, animals and minerals
60 Structures and surfaces (floors, walkways, streets. roofs)
70 Tools, instruments and recreational equip (hand tools, ladders, PPE, water sports equipment, gym equipment)
80 Vehicles (POV, GMV, aircraft, off-road, rail, ships, canoes, forklift)
90 Other sources (textiles, eye glasses, ammunition, books) (explain in narrative)

EVENT OR EXPOSURE

01 Struck against object
02 Struck by object
03 Caught in or compressed by equipment
04 Caught in or crushed in collapsing materials
05 Rubbed or abraded by friction or pressure
06 Rubbed, abraded, or jarred by vibration
11 Fall to lower level
12 Jump to lower level
13 Fall on same level
113 Fall from ladder
21 Bodily reaction (running, sitting, tripping, walking)
22 Overexertion
23 Repetitive Motion
24 Sustained viewing (computer terminal)
31 Electrical current contact
32 Extreme temperature contact
33 Air pressure change exposure
34 Exposure to caustic, noxious, or allergenic substances
351 Exposure to noise over time
352 Exposure to sudden impact noise/one-time noise
36 Exposure to radiation
37 Exposure to traumatic event
38 Oxygen deficiency
41 Highway accident
411 Collision between vehicles
412 Vehicle struck object in road
413 Vehicle struck object on side of road
414 non-collision event
42 non-highway accident (except rail, air water)
43 Pedestrian, non-passenger struck by vehicle
44 Railway accident
45 Water vehicle accident

	451	Ship collision
	452	Ship explosion/fire
	453	Fall from ship or boat
	454	Fall on ship or boat
	455	Sinking, capsized ship or boat
46		Aircraft accident
51		Fire, unintended or uncontrolled
52		Explosion
62		Self-inflicted injury
63		Assaults by animals, bites, stings
90		Other event or exposure (explain in narrative)

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2000 NAVY PENTAGON
WASHINGTON, DC 20350-2000

GLOSSARY G-7

DAMAGE AND INJURY CAUSE CODES

Select all that apply to the mishap and insert in SIREP message.

The cause code is the reason a mishap occurred or the chain of events that led to the mishap was started, not necessarily the "blame" for the mishap. There is normally one main "event" cause but there may be numerous causes associated with the people and equipment involved in the mishap. For example, a fire is not the "cause" of damage to a piece of equipment - fire damaged the equipment but the cause was "failure to follow procedures" when the person placed flammables near a source of ignition which resulted in a fire.

Causes may be applied to each piece of equipment or person involved in the mishap. For example, the overall event was started by an unauthorized change to the wiring (cause code A9), by the maintenance man whose supervisor told him to do it anyway (cause code D1102). The resulting installation error (cause code A2) allowed a circuit to over-heat, which caught the electrical panel on fire, which prompted the nearby worker to try and put out the fire not knowing this was an incorrect procedure (cause code D4), which resulted in him getting injured when he pulled open the panel door with a bare hand (cause code D10).

CAUSE CATEGORY/CAUSE SUBSET

A. RELIABILITY OF EQUIPMENT:

- A1 Manufacturing Defect
- A2 Installation Defect
- A3 Inadequate Design
  - A301 Design Hazard to Personnel
  - A302 Design Hazard to Equipment
  - A303 Design Inhibits Maintenance
- A4 Elex/CCA/Module Component Failure
- A5 Mechanical Component Failure
- A6 Seal Failure
- A7 Safety Feature by-passed/cut out
- A8 Safety or Guard Failed
- A9 Unauthorized Change/Alt/Adjustment
- A10 Inappropriate Item for Use

A11 Electromagnetic Interference (EMI)

B. SUPPORTABILITY OF EQUIPMENT:
- B1 Allowed Spare not on board
- B2 Spare not Allowed
- B3 Spare is Wrong Mod
- B4 Spare is NRFI
- B5 COSAL Wrong Configuration
- B6 APL/AEL not in SNAP File

C. MAINTAINABILITY OF EQUIPMENT:
- C1 PMS/INST Inadequate or Inaccurate
- C2 Missing Technical Document(s)
- C3 Maintenance/Operator Induced Failure
  - C301 Maintenance Person Not Trained
  - C302 No Maintenance Person Onboard
- C4 PMS Frequency Wrong
- C5 Location Impairs Access
- C6 Bit/Bite Failure
- C7 PMS Not Being Conducted
- C8 Alignment/Adjustment Required

D. PERSONNEL - HUMAN FACTORS:
- D1 Training Inadequate
  - D101 Training Course/Guidance Not Available
  - D102 Course Failed To Provide Adequate Training
  - D103 On The Job Training Not Adequate
  - D104 Required Course Not Completed
- D2 Manning Inadequate
- D3 Inexperienced Personnel
- D4 Knowledge Of Regulations Inadequate
- D5 Failed To Follow Requirements
- D6 Lack Of Attention To Detail
- D7 Certification Procedure Inadequate
- D8 Personnel Not Qualified
- D9 Training Materials Not On Board
- D10 Unsafe Act
  - D1001 Error/Unintended Negative Consequence
    - D100101 Perceptual Error
    - D100102 Slip In Attention Or Distraction Error
    - D100103 Lapse In Memory Error
    - D100104 Rule Based Error
    - D100105 Knowledge Based Error
  - D1002 Violation/Deliberate With Unintended Outcome
    - D100201 Routine Rule-Bending Violation
    - D100202 Exceptional Rule-Breaking Violation

D11 Unsafe Supervision
- D1101 Inadequate supervision
  - D110101 Planned Inappropriate Action
  - D110102 Failure To Correct Problem
  - D110103 Insufficient Supervisor Training
- D1102 Violation/Deliberate By Supervisor
  - D110201 Routine Rule-Bending
  - D110202 Exceptional Rule-Breaking

D12 Unsafe Condition
- D1201 Crew Resource Management
  - D120101 Communication Breakdown
  - D120102 Ship Operational Organization Ineffective
  - D120103 Team Training/Function As Team
- D1202 Adverse Physiological State
  - D120201 Physical Fatigue
  - D120202 Illness
  - D120203 Intoxication
  - D120204 Drug Use (Prescription)
  - D120205 Drug Use (Non-Prescription/Illegal)
  - D120206 Obesity
- D1203 Adverse Mental State
  - D120301 Overconfidence
  - D120302 Complacency
  - D120303 Sleep Loss
  - D120304 Mental Fatigue
  - D120305 Stress

D13 Organizational Influence
- D1301 Internal (Within Command)
  - D130101 Structure/Chain Of Command
  - D130102 Human/Relationships
  - D130103 Monetary/Funding Shortage
  - D130104 Cultural/CMEO Environment
  - D130105 Policy/Adherence To Procedures
  - D130106 Oversight
- D1302 External (Outside Command)
  - D130201 Structure/Chain Of Command
  - D130202 Human/Relationships
  - D130203 Monetary/Funding
  - D130204 Cultural/CMEO Environment
  - D130205 Policy/Adherence To Procedures
  - D130206 Oversight

D14 Procedural Document Problem
- D1401 Too Complex
- D1402 Not Available
- D1403 Incorrect

D1404 Not Validated
D1405 Not Updated
D1406 Step Missing Or Out Of Sequence

D15 Motor Vehicle Specific Human Errors
D1501 Illegal Speed
D150101 Legal But Unsafe Speed
D150102 Speed Too Fast Or Slow For Driving Environment or Situation
D1502 Failed To Yield Right Of Way
D1503 Failed To Signal
D1504 Disregarded Traffic Control
D1506 Following Too Closely
D1507 Going Wrong Way/On Wrong Side of Roadway
D1508 Ran Off Roadway
D1509 Improper Action
D150901 Improper Turn
D150902 Improper Start From Stopped Position
D150903 Improper Passing
D150904 Improper Backing
D150905 Improper Land Change
D1510 Stopped In Roadway
D1511 Evasive Action
D1512 Misjudged Clearance
D1513 Failed To Secure Load
D1514 Failed To Secure Vehicle From Parked Position,
D1515 Driving Without Headlights
D1516 Unauthorized Use Of Vehicle
D1517 Reckless Driving
D1518 Failed to See Vehicle/Pedestrian/Bicycle
D1519 Lack Of Reaction Time
D1520 Blinded By Oncoming Headlights
D1521 Lost Control
D1522 Failed To Negotiate Turn
D1523 Forced Off Road
D1524 Obscured Vision
D1525 Vehicle Overloaded
D1526 Misunderstood Signal
D1527 Used Wrong Signal
D1528 Fell From Moving Vehicle
D1529 Stopped Abruptly
D1530 Hit Accelerator Vice Brake
D1531 Lane Sharing Violation

E. SUPPORT EQUIP:
E1 A/C Inadequate

E2 Cooling water inadequate
E3 Dry Air Inadequate
E4 Ship’s Power Problem
E5 Shore Power Problem
E6 Test Equipment/Tool Problem
E7 Out Of Calibration/Certification

F. SOFTWARE:
F1 Software Configuration Wrong
F2 Reloads/Reboot Frequent
F3 Software Fault

G. HARDWARE:
G1 Item Missing
G2 Item Cannibalized
G3 Item Physically Damaged
G4 Item Missing Field Change/ORDALTS ECP
G5 Item Hardware loose
G6 Item Hardware Deteriorated

H. CORROSION:
H1 Corroded Parts
H2 Corrosion Controls Inadequate
H3 Preservation Failure

I. NORMAL WEAR AND TEAR

J. OTHER CAUSE (MUST EXPLAIN IN TEXT)

K. UNKNOWN

M. UNDETERMINED DUE TO INSUFFICIENT FACTS

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