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27 Sep 2021



NAVY AND MARINE CORPS SAFETY INVESTIGATION AND REPORTING MANUAL

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FOREWORD

This manual implements the policy set forth in the Office of Chief of Naval Operations Instruction (OPNAVINST) 5102.1E for the U.S. Navy. This Marine Corps Order (MCO) is also a policy manual for the U.S. Marine Corps. The manual provides more detail for mishap, hazard (including near miss) and incident notification, investigation, reporting and record keeping by all Navy and Marine Corps commands, activities, units, installations and facilities, except for mishaps, hazards (including near misses) and safety incidents that involve a defined naval aircraft.

The Department of Defense Instruction (DoDI) 6055.07 of 6 June 2011 and the Secretary of the Navy Instruction (SECNAVINST) 5100.10L, direct the Department of the Navy (DON) to establish policies and procedures for mishap investigations and record keeping.

This manual implements the DON policies as directed by both Department of Defense (DoD) and Secretary of the Navy (SECNAV) policies. The techniques, procedures and best practices (i.e., the how) for safety investigations and reporting on procedures for implementing the policies contained in this manual will be published in a guide that will be managed separately by the Commander, Naval Safety Center (COMNAVSAFECEN). The title of the guide is “The Navy and Marine Corps Safety Investigations and Reporting Guide.” COMNAVSAFECEN will announce the availability of the guide and future revisions of the guide by ALSAFE message.

This manual is its first issuance and therefore should be reviewed in its entirety.

This manual was developed to be the primary safety investigation and reporting policy for all Navy and Marine Corps activities, commands, personnel and contractors (i.e., the latter only when under the direct supervision of U.S. Government personnel). Due to the many unique and specific situations associated with aviation-related events (i.e., excluding aviation ordnance), these particular events will be handled under OPNAVINST 3750.6S and OPNAVINST 4790.2J.

The Risk Management Information (RMI) program of record database application is required for reporting, recording and analyzing all mishaps, hazards (including near misses) and incidents. The RMI program of record database is DoD Common Access Card (CAC) enabled and is available on the Naval Safety Center (NAVSAFECEN) Web site.

This manual may be accessed via the DON Issuances Web site (<https://www.secnav.navy.mil/doni/opnav.aspx>) under the “Manuals” tab. It may also be accessed via the Marine Corps Publications Electronic Library (<http://www.marines.mil/News/Publications/ELECTRONICLIBRARY.aspx>). This manual is approved for authorized registered users and distribution is unlimited.

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SAFETY REPORTING RESOURCES

1. 29 CFR 1904 (Recording and Reporting Occupational Injuries and Illness) (NOTAL): <https://www.osha.gov/laws-regs/regulations/standardnumber/1904/>.
2. American National Standards Institute (ANSI) Z136 series standards (Lasers Safety Standards) (NOTAL): <https://webstore.ansi.org/>.
3. Defense Explosives Safety Regulation (DESR) 6055.09, Edition 1 of 13 January 2019: <https://www.denix.osd.mil/ddes/home/home-documents/desr-6055-09-edition-1/DESR%206055.09%20Edition1.pdf>.
4. DoDI 1400.25-V810 of 12 April 2005 (DoD Civilian Personnel Management System: Injury Compensation): <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/140025/1400.25-V810.pdf>.
5. DoDI 1438.06 of 16 January 2014 (DoD Workplace Violence Prevention and Response Policy): <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/143806p.pdf>.
6. DoDI 5200.48 of 6 March 2020 (Controlled Unclassified Information (CUI)): <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/520048p.PDF?ver=2020-03-06-100640-800>.
7. DoDI 6055.07 of 6 June 2011 (Mishap Notification, Investigation, Reporting and Record Keeping): <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/605507p.pdf?ver=2018-11-20-081332-067>.
8. DoDI 6055.12 of 14 August 2019 (Hearing Conservation Program (HCP)): <https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/605512p.pdf?ver=2019-08-14-073309-537>.
9. DoDI 6495.02, Volume 1 of 28 March 2013 (Sexual Assault Prevention and Response: Program Procedures): https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodi/649502_vol1.PDF?ver=v8IKfyy0wrK_EZ95gtv6Pw%3d%3d.
10. DoDM 5200.01, Volume 2 of 24 February 2012 (DoD Information Security Program: Marking of Information): https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodm/520001m_vol2.pdf.
11. DoDM 5200.01, Volume 3 of 24 February 2012 (DoD Information Security Program: Protection of Classified Information):

https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodm/520001_vol3.pdf.

12. DoDM 6025.18 of 13 March 2019 (Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DoD Health Care Programs):
<https://www.esd.whs.mil/Portals/54/Documents/DD/issuances/dodm/602518m.pdf?ver=2019-03-13-123513-717>.

13. JAGINST 5800.7G (Manual of the Judge Advocate General):
https://www.jag.navy.mil/library/instructions/JAGINST_5800.7G.pdf.

14. MCO P1070.12K (Marine Corps Individual Records Administration Manual (Short Title: IRAM)): <https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899281/mco-p107012k-wch-1/>.

15. MCO 1001.59A (Active Duty for Operational Support (ADOS) in Support of the Total Force (Short Title: ADOS)): <https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899416/mco-100159a/>.

16. MCO 1752.5C (Sexual Assault Prevention and Response (SAPR) Program):
<https://www.marines.mil/portals/1/Publications/MCO%201752.5C.pdf?ver=2019-06-10-115714-627>.

17. MCO 3040.4 (Marine Corps Casualty Assistance Program (Short Title: MARCORCASASTPRO)):
<https://www.marines.mil/portals/1/Publications/MCO%203040.4.pdf>.

18. MCO 3150.4A (Marine Corps Diving Policy and Program Administration):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/900512/mco-31504a/>.

19. MCO 3440.9 (Marine Corps Installation Emergency Management (IEM) Program):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899461/mco-34409-wadmin-ch/>.

20. MCO 3500.42C (Marine Corps Helicopter/Tiltrotor Rope Suspension Techniques (HRST) and Cast Operations Policy and Program Administration):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/900692/mco-350042c/>.

21. MCO 3504.1 (Marine Corps Lessons Learned Program (MCLLP) and The Marine Corps Center for Lessons Learned (MCCLL)):

<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/898975/mco-35041/>.

22. MCO 3504.2A (Operations Event/Incident Report (OPREP-3) Reporting):
<https://www.marines.mil/portals/1/Publications/MCO%203504.2A.pdf>.

23. MCO 3570.1C (Range Safety):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/898977/mco-35701c/>.

24. MCO 5090.2 (Environmental Compliance and Protection Program):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/1552941/mco-50902/>.

25. MCO 5100.29C, Volume 1 (Marine Corps Safety Management System Overview):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899486/mco-510029c-wvol-1-5-cancels-mco-510029b/>.

26. MCO 5100.29C, Volume 2 (Risk Management):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899486/mco-510029c-wvol-1-5-cancels-mco-510029b/>.

27. MCO 5100.29C, Volume 3 (Marine Corps Traffic Safety Program):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899486/mco-510029c-wvol-1-5-cancels-mco-510029b/>.

28. MCO 5100.29C, Volume 5 (Marine Corps Recreation and Off-Duty Safety (RODS) Program): <https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899486/mco-510029c-wvol-1-5-cancels-mco-510029b/>.

29. MCO 5100.29C, Volume 6 (Marine Corps Occupational Safety and Health (OSH) Policy Order): <https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899486/mco-510029c-wvol-1-5-cancels-mco-510029b/>.

30. MCO 5104.1C (Navy Laser Hazards Control Program):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899092/mco-51041c/>.

31. MCO 8025.1E (Class V(W) Malfunction and Defect Reporting):
<https://www.marines.mil/News/Publications/MCPEL/Electronic-Library-Display/Article/899234/mco-80251e/>.

32. Naval Vessel Register (NVR): <https://www.nvr.navy.mil/>.

33. NAVSEA Technical Publication S0570-AC-CCM-010/8010 of 6 February 2014 (Industrial Ship Safety Manual for Fire Prevention and Response):
<https://nsdsa.dc3n.navy.mil/nsdsaHome.aspx>.

Note: This technical publication has the legacy classification of “For Official Use Only” and is not cleared for public release. Distribution is authorized to the DoD and U.S. DoD contractors only. Access requires an account to use the Web site. Account requests for account must be referred to Naval Sea Systems Command (SEA 04X6).

34. OPNAV M-5090.1 of 25 June 2021 (Environmental Readiness Program Manual):
<https://www.secnav.navy.mil/doni/SECNAV%20Manuals1/5090.1.pdf>.

35. OPNAV M-5100.23 of 5 June 2020 (Navy Safety and Occupational Health Manual):
<https://www.secnav.navy.mil/doni/SECNAV%20Manuals1/5100.23.pdf>.

36. OPNAV M-8000.16 of 15 May 2021 (The Naval Ordnance Management Policy (NOMP) Manual): <https://www.secnav.navy.mil/doni/SECNAV%20Manuals1/8000.16.pdf>.

37. OPNAVINST F3100.6K (Special Incident Reporting Procedures):

This instruction has the classification of “Controlled Unclassified Information (CUI) and is not cleared for public release. It is available electronically only via the OPNAV SharePoint Portal to users with common access card authorization:

<https://portal.secnav.navy.mil/orgs/OPNAV/DNS/DNS1/DNS15/FOUO%20Directives/Forms/AllItems.aspx>.

38. OPNAVINST 3150.27D (Navy Diving Policy and Joint Military Diving Technology and Training Program):
<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-100%20Naval%20Operations%20Support/3150.27D.pdf>.

39. OPNAVINST 3440.17A (Navy Installation Emergency Management Program):
<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-400%20Nuclear,%20Biological%20and%20Chemical%20Program%20Support/3440.17A.pdf>.

40. OPNAVINST 3500.37D (Navy Lessons Learned Program):
<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-500%20Training%20and%20Readiness%20Services/3500.37D.PDF>.

41. OPNAVINST 3500.39D (Operational Risk Management):
<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-500%20Training%20and%20Readiness%20Services/3500.39D.PDF>.

[ness/03-500%20Training%20and%20Readiness%20Services/3500.39D.pdf](https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-500%20Training%20and%20Readiness%20Services/3500.39D.pdf).

42. OPNAVINST 3500.43 (Navy Helicopter Rope Suspension Techniques and Helicopter Cast and Recovery Policy and Administration):

<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-500%20Training%20and%20Readiness%20Services/3500.43.pdf>.

43. OPNAVINST 3500.44 (Navy Culture Workshops):

<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-500%20Training%20and%20Readiness%20Services/3500.44.pdf>.

44. OPNAVINST 3750.16C (Participation in a Military or Civil Aircraft Accident Safety Investigation):

<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-700%20Flight%20and%20Air%20Space%20Support%20Services/3750.16C.pdf>.

45. OPNAVINST 3750.6S (Naval Aviation Safety Management System):

<https://www.secnav.navy.mil/doni/Directives/03000%20Naval%20Operations%20and%20Readiness/03-700%20Flight%20and%20Air%20Space%20Support%20Services/3750.6S.pdf>.

46. OPNAVINST 4790.2J (The Naval Aviation Maintenance Program (NAMP)):

<https://www.secnav.navy.mil/doni/Directives/04000%20Logistical%20Support%20and%20Services/04-700%20General%20Maintenance%20and%20Construction%20Support/4790.2J.pdf>.

47. OPNAVINST 5090.1E (Environmental Readiness Program):

<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-000%20General%20Admin%20and%20Management%20Support/5090.1E.pdf>.

48. OPNAVINST 5100.19F (Navy Safety and Occupational Health Program Manual for Forces Afloat):

<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-100%20Safety%20and%20Occupational%20Health%20Services/5100.19F.pdf>.

49. OPNAVINST 5100.23H (Safety and Occupational Health Program):

<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-100%20Safety%20and%20Occupational%20Health%20Services/5100.23H.pdf>.

50. OPNAVINST 5100.27B (Navy Laser Hazards Control Program):

<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-100%20Safety%20and%20Occupational%20Health%20Services/5100.27B.pdf>.

[20and%20Safety%20Services/05-100%20Safety%20and%20Occupational%20Health%20Services/5100.27B.pdf](#).

51. OPNAVINST 5102.1E (Navy Safety Investigation and Reporting Program):
<https://www.secnav.navy.mil/doni/opnav.aspx?RootFolder=%2Fdoni%2FDirectives%2F05000%20General%20Management%20Security%20and%20Safety%20Services%2F05%2D100%20Safety%20and%20Occupational%20Health%20Services&FolderCTID=0x012000E8AF0DD9490E0547A7DE7CF736393D04&View=%7BCACF3AEF%2DAED4%2D433A%2D8CE5%2DA45245715B5C%7D>.

52. OPNAVINST 5450.180F (Missions and Functions of the Naval Safety Center):
<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-400%20Organization%20and%20Functional%20Support%20Services/5450.180F.pdf>.

53. SECNAVINST 5100.10L (Department of the Navy Safety Program):
<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-100%20Safety%20and%20Occupational%20Health%20Services/5100.10L.pdf>.

54. SECNAVINST 5100.14E (Department of the Navy Laser Protection Program):
<https://www.secnav.navy.mil/doni/Directives/05000%20General%20Management%20Security%20and%20Safety%20Services/05-100%20Safety%20and%20Occupational%20Health%20Services/5100.14E.pdf>.

55. SECNAVINST 12810.2A (Federal Employees' Compensation Act Program):
<https://www.secnav.navy.mil/doni/Directives/12000%20Civilian%20Personnel%20Services/12-800%20Personnel%20Insurance%20and%20Annuity%20Programs/12810.2A.pdf>.

56. U.S. Department of Health and Human Services, National Institute for Occupational Safety and Health Publication No. 2016-106 (Criteria for a Recommended Standard: Occupational Exposure to Heat and Hot Environments): <https://www.cdc.gov/niosh/docs/2016-106/pdfs/2016-106.pdf>.

57. U.S. Department of Labor, Occupational Safety and Health Administration (OSHA) Instruction TED 01-00-015 (OSHA Technical Manual):
<https://www.osha.gov/dts/osta/otm/index.html>.

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CHAPTER 1
INTRODUCTION AND RESPONSIBILITIES

101. Purpose. To provide a general introduction to safety reporting and state the various responsibilities for mishap, hazard (including near misses) and incident notification, investigation, reporting and record keeping for the Navy and Marine Corps.

102. General.

a. Mishaps result in damaged or destroyed equipment; injuries and fatalities to Sailors, Marines and civilians; and degraded Navy and Marine Corps warfighting potential. When mishaps or near misses occur, we must investigate them thoroughly in order to identify the factors and causes; then, devise sufficient controls to prevent their reoccurrence. Additionally, as stated in OPNAV M-5100.23 of 5 June 2020, section A, we must continuously assess our operating environment to identify hazardous conditions and risks so that we can take proactive measures to reduce risk before mishaps occur. Finally, we must carefully monitor the risk controls already implemented in order to validate their effectiveness. When risks remain too high, new controls must be designed and implemented. This manual explains the responsibilities, requirements, policies and procedures to accomplish all of this effectively. This guidance forms a critical part of the mishap prevention program of the Naval Enterprise.

b. The Naval Enterprise is a complex organization with diverse operations, processes and activities. The procedures to notify, investigate and report mishaps will vary based on these circumstances. For example, Occupational Safety and Health Administration (OSHA) notification, reporting and record keeping requirements are unique when a work-related injury, illness or fatality involves one or more Department of Defense (DoD) civilian personnel or a contractor employee. The OSHA recordkeeping requirements do not apply to active duty military personnel. This manual is organized in a way to help users understand these differences and more importantly, to help them find the correct procedures to follow depending on the specific circumstances of the event.

103. Policy.

a. All Navy and Marine Corps commands and activities must protect DoD property from damage caused by Navy and Marine Corps operations; military personnel from accidental death, injury or work-related illness; and DoD civilian personnel from work-related death, injury or illness.

b. All Navy and Marine Corps commands and activities must protect the public from risk of death, injury, illness or property damage because of Navy and Marine Corps operations.

c. All Navy and Marine Corps commands and activities must notify, investigate, report and maintain records of all mishaps, hazards (including near misses) and incidents as required by this

manual. Compliance is essential so that the cumulative impact of mishaps and near misses can be understood, trends can be analyzed and effective controls can be developed and implemented.

Note: This manual does not apply to the reporting of mishaps involving a defined naval aircraft. Instead, refer to OPNAVINST 3750.6S. The reporting of mishaps involving aircraft used in the Naval Introductory Flight Evaluation (NIFE) Program and used by military flying clubs are covered in this manual because these aircraft are not defined naval aircraft.

d. All Navy and Marine Corps commands and activities must also take effective corrective actions in order to prevent future mishaps.

e. All Navy and Marine Corps commands must protect personnel from coercion, discrimination or reprisal for reporting mishaps and hazards (including near misses).

104. Definition of Terms.

a. This manual uses the words “will,” “must,” “should,” “may” and “can” throughout. “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.

b. Mishap notification, investigation, reporting and record keeping language can sometimes be complicated by the fact that important terms are used differently by agencies external to the Department of the Navy (DON). To the maximum extent possible, terms in this manual have been clearly defined using authoritative sources. These definitions are sometimes further amplified or qualified to explain exactly how the term will be used for the purposes of Navy and Marine Corps mishap notification, investigation, reporting and record keeping purposes. While a detailed glossary of terms is provided in appendix A and a list of abbreviations and acronyms is provided in appendix B, some of the more important terms are discussed again in subparagraphs 104b(1) through 104b(15) to establish a good foundation for better understanding of this manual.

(1) Event. A broad term used to describe an occurrence or series of occurrences. For DON safety reporting purposes, an event can be a mishap, hazard (including near misses) or an incident.

(2) Mishap. A mishap is an unplanned or unexpected event or series of events, that results in damage to DoD property; work-related illness to DoD personnel; injury to on- or off-duty DoD military personnel; injury to on-duty DoD civilian personnel; or damage to non-DoD property or injury or illness to non-DoD personnel, caused by DoD activities. For purposes of DON safety reporting, events that meet the above criteria must also meet the minimum damage and injury or illness thresholds of a Class D mishap to be considered a mishap.

Note: Class E mishap reporting is only a DON requirement under certain specific circumstances that are explained in this manual or when a controlling command directs its subordinates to report Class E mishaps. Controlling commands must put such a requirement in writing.

(3) Hazard. Any real or potential condition that can cause injury, illness or death to personnel or damage to or loss of equipment or property or mission degradation. Hazards are divided into the two categories listed in subparagraphs 104b(3)(a) and 104b(3)(b).

(a) An act or event (i.e., near miss) that may have resulted in a mishap where the fatality, injury, illness, property damage or loss of an asset was avoided merely by chance, the actions of an individual or individuals, a small measure of distance or a few moments in time.

(b) A workplace condition that might result in injury, health impairment, illness, disease or fatality to any person who is exposed to the condition or which might result in damage to or loss of property or equipment.

(4) Incident. A planned or unplanned occurrence or series of occurrences resulting in injury or damage that does not meet mishap reporting criteria or is exempt from safety reporting.

(5) Safety Reporting. A general term that encompasses all aspects of the process to notify, report and keep records of mishaps, hazards (including near misses) and incidents required by this manual.

(6) Hazard Reporting. The process of reporting a real or potentially hazardous event (i.e., near miss) or workplace condition that could cause injury, illness or death to personnel or damage to or loss of equipment or property or mission degradation to the Naval Enterprise. Hazard reporting is a subset of safety reporting. See paragraph 417 for more detailed information on hazard reporting.

(7) Reportable Mishap. An event that meets or exceeds mishap damage thresholds or mishap injury or illness thresholds of civilian, contractor and military personnel and must be investigated and reported.

Note: OSHA uses this term to characterize serious occurrences involving work-related injury or illness of civilian and contractor employees that require the OSHA to be notified.

(8) Recordable Mishap. An occurrence involving a civilian or contractor employee that requires the creation of a record due to a work-related injury or illness that met specified criteria established by the OSHA per part 1904 of Title 29, Code of Federal Regulations (CFR). For the purposes of Navy and Marine Corps safety reporting, the term's use will be limited to events involving Government civilian and contractor work-related injury and illness reporting to the

OSHA. Contractors must meet the subpart 1904.31 applicability and be supervised by Government personnel on a day-to-day basis. Day-to-day supervision includes supervising not only the output, product or result to be accomplished by the person's work, but also the details, means, methods and processes by which the work objective is accomplished.

(9) Reporting Custodian. Commanding officers and, in some cases, officers-in-charge (OIC) of detachment operations of Navy and Marine Corps organizations who are responsible for or otherwise provide information about, assigned assets and personnel.

(10) Accounting Organization. The reporting custodian that experienced the loss of or damage to an owned asset; or the fatality, injury or work-related illness of an assigned person or persons in a mishap; and is responsible for or is assigned responsibility for, safety reporting, regardless of any determination as to the responsibility for the event's occurrence. There is one accounting organization for each mishap.

Note: See subparagraph 403a for the policy to determine the accounting organization when multiple commands are involved in a mishap. The accounting organization assignment is not affected when a convening authority appoints a safety investigation board to investigate the mishap or the accounting organization relies on its higher headquarters to submit a safety investigation report (SIREP) into the RMI on the command's behalf.

(11) Notification. To give notice or to inform. For DON safety reporting purposes, notification means an event has occurred which is expected to meet defined thresholds and that certain individuals, commands or activities must be informed of the event. The method of notification (e.g., telephonic, naval message) and the timeliness of notification will often be prescribed.

(12) Safety Investigation. A general term that refers to the investigation of mishaps, hazards (including near misses) and incidents by either a single investigating officer (SIO) or a safety investigation board (SIB). The purpose of a safety investigation is to prevent mishaps. A safety investigation is not a Judge Advocate General Manual (JAGMAN) or command investigation used to assign personnel accountability and must not be used to place blame or punish those involved.

(13) SIO. An individual who has been directed to perform a safety investigation by a convening authority. The individual is solely responsible for completing the safety investigation and drafting and submitting required report(s) and records. The SIO may receive assistance from subject matter experts (SME) in the performance of their duties. An SIO is often an individual assigned to a safety billet (e.g., safety officer or safety manager), but that is not always a requirement.

(14) SIB. A group of individuals who have been appointed to complete a safety investigation by a convening authority. Individuals are assigned to the SIB because either they

are an SME or they have specific expertise necessary to the investigation. Members of an SIB must be designated in writing for each specific safety investigation. One member of the SIB must be designated the senior member.

(15) Risk Management Information (RMI) Program of Record (POR). The sole official DON web-based database application for safety reporting. The shortened acronym RMI is synonymous with the RMI POR.

Note: Navy and Marine Corps personnel must use the RMI to report mishaps, hazards (including near misses) and incidents required by this manual.

105. Types of Safety Investigations. There are two different means to conduct safety investigations: Investigations conducted by an SIO and those conducted by an SIB.

a. SIB Investigations. Some events require an investigation by an SIB. The specific criteria for making that determination can be found in chapter 4. Convening Authorities may also direct that an SIB conduct a safety investigation even though it is not required. Safety investigations that are not conducted by an SIB are to be conducted by an SIO.

b. SIO Investigations. For events in which a safety investigation by an SIB is not required or directed, an SIO conducts the safety investigation. To the maximum extent possible, these SIO investigations should be assigned to a trained safety and occupational health professional or safety officer (primary or collateral duty) per the training requirements in either OPNAV M-5100.23 of 5 June 2020, paragraph B0607 (i.e., Navy) or MCO 5100.29C volumes 1 and 9 (i.e., Marine Corps).

c. Both types of safety investigations must focus on determining what happened, why it happened and what risk controls are necessary to prevent reoccurrence as further explained in this manual.

Note: The Chief of Naval Operations Special Assistant for Safety Matters (CNO N09F) or the Director, Commandant of the Marine Corps, Safety Division (CMC (SD)) may direct an independent safety investigation of any event. These independent safety investigations do not relieve commanders of their responsibilities for safety investigations and reporting as required by this manual.

106. Deviations and Variances. Only CNO N09F or the Director, CMC (SD) (as appropriate) may authorize any deviation or variance from the policies and procedures contained in this manual. Requests for deviation or variance to policies specified in this manual must be thoroughly justified and submitted via official correspondence (i.e., naval message or naval letter).

107. Responsibilities.

a. CNO N09F and Director, CMC (SD), will:

(1) Serve as the naval authority for mishap and hazard notifications, investigations, reporting and record keeping.

(2) Develop, issue and maintain safety investigation and reporting policy on behalf of the Chief of Naval Operations (CNO) and Commandant of the Marine Corps (CMC).

(3) Ensure safety investigation and reporting policy remains in compliance with DoD and DON policies and guidance and with applicable laws and regulations.

(4) Develop and issue standards and procedures for safety investigations.

(5) Provide investigative and human factors classification subject matter expertise for safety investigations for all on-duty Class A and selected Class B mishaps. Coordinate with the appropriate convening authority to provide assistance and to confirm investigation requirements.

(6) Initiate an independent safety investigation on behalf of CNO or CMC, when warranted.

(7) Provide final endorsement and close out on safety investigations per subparagraph 512c.

Note: CNO N09F (i.e., for Navy investigations) and Director, CMC SD (i.e., for Marine Corps investigations) have the authority to be the final endorser for any safety investigation. When exercising this prerogative, they will coordinate with the convening authority.

(8) Be the arbiter and make the final decision when there are disagreements among controlling commands over accounting organization assignment.

(9) Terminate a safety investigation, when warranted.

(10) Waive or change safety investigation or safety reporting requirements of this instruction, if warranted by exceptional circumstances.

(11) Act as the final authority for determining mishaps, mishap classifications and mishap exceptions.

(12) Track all mishap recommendations (MISREC) and hazard recommendations (HAZREC).

(13) Make final determination on behalf of CNO and CMC for any situations concerning Navy and Marine Corps safety reporting not specifically covered in this instruction.

(14) Provide voting membership to the RMI Change Control Board (CCB) per the RMI Change Control Board Charter of 12 May 2020.

(15) Provide or coordinate adequate training for various functional roles in the RMI.

b. CNO N09F (COMNAVSAFECEN), will:

(1) Act as the Navy and Marine Corps authority for protecting privileged safety information (PSI), per Department of Defense Instruction (DoDI) 6055.07 of 6 June 2011.

(2) Act as the Freedom of Information Act (FOIA) coordinator for DON SIREP and associated documents.

(3) Establish appropriate safeguards to protect safety databases and safety information.

(4) Promote widest possible distribution of PSI and other safety information to authorized users as permitted by DoD policies and guidelines.

(5) Provide legal consultation and guidance on the use of safety investigation-related information.

(6) Make non-privileged information available, upon request, to individuals conducting concurrent investigations 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.

(7) Make available, upon request, privileged and non-privileged evidence from a SIREP or hazard report (HAZREP) to required endorsers.

(8) Perform quality assurance and quality control processes to ensure safety information accuracy and completeness.

(9) Collaborate with systems commands (SYSCOM), program executive offices (PEO) and program managers to support integration of responsible technical authorities into evaluation of Class A and B mishaps.

(10) Maintain and oversee the RMI as the single naval authoritative source and repository for DON safety information and parachuting and diving reports and logs.

(11) Represent Navy and Marine Corps interests on the DoD Safety Information Management Working Group.

(12) Manage the RMI data set. Make necessary changes to the RMI data set based on Office of the Secretary of Defense guidance, per DoDI 6055.07 of 6 June 2011.

(13) Establish and chair a Navy and Marine Corps RMI CCB process to improve the functionality and effectiveness of the RMI for mishap prevention.

(14) Develop and maintain user guides to aide Navy and Marine Corps users conducting safety investigations and safety reporting using the RMI application.

(15) Participate in safety investigations involving multiple DoD components, when applicable.

(16) Participate in safety investigations involving foreign nations, when applicable.

(17) Provide oversight of the Naval Enterprise process to track and complete MISRECs and HAZRECs. Correct process deficiencies as they are discovered.

(18) Verify that specified actions required by MISRECs and HAZRECs have been completed by action agencies.

(19) Act as the sole final authority to edit, call complete or otherwise close out languishing and obsolete MISRECs and HAZRECs after coordination with the applicable action agency.

(20) Fulfill the responsibilities as the sole authorized DON command to generate non-privileged, sanitized SIREPs in order to support wider dissemination of critical safety and hazard information, per DoDI 6055.07 of 6 June 2011.

(21) Identify mishap trends, compute mishap rates and prepare analysis reports for dissemination across the DON.

(22) Develop and distribute a variety of safety lessons learned products.

Note: Within 45 days of the closeout of an on-duty Class A mishap, NAVSAFECEN will produce and disseminate to applicable safety communities, an executive summary of the SIREP and a training presentation with important lessons learned from the mishap for use by stakeholders and training commands. Training products containing PSI will be clearly marked and handled in strict compliance with chapter 8 of this manual.

(23) Provide electronic mishap and hazard data to the Defense Explosives Safety Mishap Analysis Module and Joint Service Monthly Airdrop Summary Reporting System.

(24) Coordinate with CMC (SD) regarding the investigation of mishaps or near misses involving embarked Marines and Marine Corps equipment aboard U.S. Navy vessels.

(25) Coordinate with the appropriate convening authority, Naval Ordnance Safety and Security Activity (NOSSA) (i.e., Navy) or Marine Corps Systems Command (MARCORSYSCOM) (i.e., Marine Corps) for hazards to determine or confirm whether an investigation conducted by an SIB is required and what command will provide oversight.

(26) Make required notifications of mishaps and fatalities to higher headquarters, per chapter 3.

(27) Transmit mishap data to Under Secretary of Defense for Personnel and Readiness within established timelines, per DoDI 6055.07 of 6 June 2011.

(28) Provide required reports to the OSHA, per chapter 7.

c. Naval Inspector General (NAVINSGEN) and Inspector General of the Marine Corps (IGMC) will evaluate compliance with safety investigation and safety reporting requirements during command inspections and area visits of Navy and Marine Corps commands and activities, respectively.

d. The President, Board of Inspection and Survey (PRESINSURV), will evaluate compliance with safety investigation and safety reporting requirements during oversight inspections for Navy afloat activities.

e. Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM) and Commander, U.S. Pacific Fleet (COMPACFLT), will:

(1) Assist COMNAVSAFECEN in efforts to collect safety information, per the Memorandum of Understanding between COMUSFLTFORCOM, COMPACFLT and COMNAVSAFECEN of 5 August 2016.

(2) In coordination with COMNAVSAFECEN, track and implement MISRECs and HAZRECs assigned to fleet action agencies, per the memorandum of understanding between COMUSFLTFORCOM, COMPACFLT and COMNAVSAFECEN of 5 August 2016.

f. Chief, Bureau of Medicine and Surgery, will:

(1) Advise and assist in support of medical investigations into naval mishaps or hazards (including near misses).

(2) Provide pathology services to process tissue from naval mishaps as directed by this manual and BUMEDINST 6510.2F.

g. Commander, Naval Education and Training Command, will appoint a suitably qualified technical person, as designated by the National Transportation Safety Board investigator in charge, to assist in any investigation involving NIFE Program aviation mishaps, per OPNAVINST 3750.16C.

h. SYSCOMs

(1) The Navy and Marine Corps SYSCOMs are listed in subparagraphs 107h(1)(a) through (g).

(a) Commander, Naval Facility Engineering Systems Command (COMNAVFACENGSYSCOM)

(b) Commander, U.S. Marine Corps Systems Command (COMMARCORSYSCOM)

(c) Program Executive Office for Land Systems (PEO (LS))

(d) Commander, Naval Air Systems Command (COMNAVAIRSYSCOM)

(e) Commander, Naval Sea Systems Command (COMNAVSEASYSCOM)

(f) Commander, Naval Information Warfare Systems Command (COMNAVWARSYSCOM)

(g) Commander, Naval Supply Systems Command (COMNAVSUPSYSCOM)

(2) The SYSCOMs, will:

(a) Support system-related Class A and B safety investigations and hazard investigations, per DoDI 6055.07 of 6 June 2011.

(b) Provide analyses of systems-related hazards (including near misses) that contributed to the mishap and recommendations for materiel risk mitigation measures, especially those that minimize human errors, per DoDI 6055.07 of 6 June 2011.

(c) For Marine Corps mishaps or hazards (including near misses), a technical advisor from PEO (LS) and COMMARCORSYSCOM will provide assistance.

i. Controlling Commands. Controlling commands provide safety oversight of subordinate units and enforcement of the policies, procedures and requirements of this manual for safety investigation and safety reporting.

- (1) Navy controlling commands are listed in subparagraphs 107i(1)(a) through 107i(am).
 - (a) Chief of Naval Operations Special Assistant for Safety Matters (CNO N09F).
 - (b) Commander, U.S. Fleet Forces Command (COMUSFLTFORCOM).
 - (c) Commander, U.S. Pacific Fleet (COMPACFLT).
 - (d) Commander, U.S. Naval Forces Europe and Africa (COMUSNAVEUR, COMUSNAVAF).
 - (e) Commander, U.S. Naval Forces Central Command (COMUSNAVCENT).
 - (f) Commander, U.S. Naval Forces Southern Command (COMNAVSO).
 - (g) Commander, U.S. Fleet Cyber Command (COMUSFLTTCYBERCOM).
 - (h) Commander, Operational Test and Evaluation Force.
 - (i) Commander, Naval Reserve Forces (COMNAVRESFOR).
 - (j) Commander, Naval Special Warfare Command (COMNAVSPECWARCOM).
 - (k) Superintendent, United States Naval Academy.
 - (l) Commander, Naval Air Systems Command (COMNAVAIRESYSKOM).
 - (m) Commander, Naval Education and Training Command (NETC).
 - (n) Commander, Naval Facility Engineering Systems Command (COMNAVFACENGYSKOM).
 - (o) Director, Field Support Activity.
 - (p) Director, Naval History and Heritage Command.
 - (q) Commander, Navy Installations Command (CNIC).

Note: Commander, Navy Installations Command may delegate controlling command responsibilities to CNIC regional commanders. Delegation must be in writing and a copy of the delegation letter provided to CNO N09F.

- (r) Director, Naval Intelligence Activity.
- (s) Commander, Naval Legal Service Command.
- (t) Chief, Bureau of Medicine and Surgery (BUMED).
- (u) Chief, Bureau of Naval Personnel (BUPERS).
- (v) President, Naval Postgraduate School.
- (w) Commander, Naval Sea Systems Command (COMNAVSEASYSKOM).
- (x) Commander, Naval Information Warfare Systems Command (COMNAVWARSSYSKOM).
- (y) Director, Strategic Systems Programs (SSP).
- (z) Commander, Naval Supply Systems Command (COMNAVSSUPSSYSKOM).
- (aa) President, Naval War College (NAVWARCOL).
- (ab) Commanding Officer, U.S. Navy Band.
- (ac) Commanding Officer, Naval Research Laboratory (NRL).
- (ad) Commander, Military Sealift Command (COMSC).
- (ae) Commander, Naval Air Force, Atlantic (COMNAVVAIRLANT).
- (af) Commander, Naval Air Force, U.S. Pacific Fleet (COMNAVVAIRPAC).
- (ag) Commander, Naval Expeditionary Combat Command (COMNECC).
- (ah) Commander, Submarine Force, Atlantic (COMSUBLANT).
- (ai) Commander, Submarine Force, U.S. Pacific Fleet (COMSUBPAC).
- (aj) Commander, Naval Surface Force, Atlantic (COMNAVVSURFLANT).

- (ak) Commander, Naval Surface Force, U.S. Pacific Fleet (COMNAVSURFPAC).
- (al) Commander, Naval Information Forces (NIF).
- (am) Chief of Naval Air Training (CNATRA).

(2) Marine Corps controlling commands are listed in subparagraphs 107i(2)(a) through 107i(2)(l).

- (a) Commandant of the Marine Corps (Safety Division).
- (b) Commanding General, Training and Education Command.
- (c) Commander, Fleet Marine Force, Atlantic (FMFL), U.S. Marine Corps Forces Command (MARFORCOM).
- (d) Commander, Marine Forces Pacific.
- (e) Commander, Marine Forces Reserves.
- (f) Commander, Marine Forces Central Command.
- (g) Commander, Marine Forces Cyber.
- (h) Commander, Marine Forces Special Operations Command.
- (i) Commander, Marine Corps Installations Command.
- (j) Commanding General, Marine Corps Logistics Command.
- (k) Commanding General, Marine Corps Recruiting Command.
- (l) Commander, Marine Corps Systems Command.

(3) Controlling commands, will:

- (a) Confirm the accounting organization for all mishaps within their command.

Note: Chapter 4 provides guidance on determining the accounting organization for multiple unit mishaps.

(b) Act as convening authority for all mishap and hazard investigations or delegate those responsibilities to subordinate commanders. Delegation of convening authority responsibilities for Class A and B mishaps must not go below the flag and general officer level.

Note: Controlling commands may choose to delegate convening authority responsibilities in real time as events occur or in advance of events by establishing a delegation policy in writing. Controlling commands always have the authority to retain convening authority responsibilities for selected events even if a convening authority delegation policy has been issued.

(c) When there are indications of significantly elevated risk or circumstances in which a more rigorous safety investigation would provide vital safety and risk information, direct an SIB to investigate hazards (including near misses), even though an investigation by an SIB is not required.

(d) Coordinate with COMNAVSAFECEN, echelon 2 commands and technical agencies, if required.

(e) When the requirement for an investigation by an SIB is unclear, contact OPNAV N09F for Navy events or CMC (SD) for Marine Corps events, within 24 hours of becoming aware of the event, so that a final determination can be made.

(f) Ensure subordinate commands submit a SIREP in the RMI for all mishaps meeting safety reporting thresholds, within 30 calendar days of the mishap, as outlined in chapters 2 and 4.

(g) Establish a hazard review board as outlined in chapter 6.

(h) Monitor the status of all outstanding corrective actions for assigned MISRECs and HAZRECs and those assigned to subordinate units.

(i) Ensure that notifications are made for all fatalities, regardless of circumstances (i.e., suicide, homicide, murder, medical, etc.), per chapter 3.

(j) Establish policy that prohibits acts of coercion, discrimination or reprisal against personnel who report mishaps and hazards (including near misses).

j. Convening authorities, will:

(1) Direct an SIB to investigate mishaps and hazards (including near misses), per guidelines provided in chapter 4.

(2) Appoint all SIB members in writing by either naval message or naval letter.

Note: No person directly involved in a mishap or hazard (including a near miss) or having a personal interest that might pose a real or perceived conflict of interest, will serve as a member of the SIB for that mishap or near miss. Contractors will not serve as a member of the SIB, but may provide the SIB with technical expertise. For the Marine Corps, the first general officer in the accounting organization's chain of command is responsible for appointing all SIB members in writing on behalf of the convening authority.

(3) When there are indications of significantly elevated risk or circumstances in which a more rigorous safety investigation would provide vital safety and risk information, direct an SIB to investigate hazards (including near misses), even though an investigation by an SIB is not required.

(4) Define the specific required endorsers for all SIREPs and HAZREPs requiring endorsement.

Note: Convening authorities must list the specific commands and activities that are the required endorsers in the RMI "comments box" during the convening authority administrative review before the endorsement process begins.

(5) Adhere to and enforce SIREP and HAZREP submission deadlines.

(6) Contact NAVSAFECEN (Code 90) for on-site investigative assistance, when required.

k. Commanders, commanding officers, masters and officers-in-charge, will:

(1) Ensure that notification, investigation, reporting and record keeping are completed for all mishaps, hazards (including near misses) and incidents involving your command, unit or activity, as required by this manual.

(2) Ensure that the RMI is used for all safety reporting.

(3) Include plain language address (PLA) "COMNAVSAFECEN NORFOLK VA" as an information addressee on operational reports (OPREP-3), personnel casualty reports and serious incident reports (SIR) that involve mishaps and other events per chapter 3. Also, include PLA "CMC WASHINGTON DC SD" as an information addressee when Marine Corps personnel are involved.

(4) Maintain and train unit personnel on a pre-mishap plan that describes the steps to be taken when a mishap occurs.

Note: A sample pre-mishap plan is provided in the Navy and Marine Corps Safety Investigations and Reporting Guide.

(5) Request assistance from the higher headquarters when the command or activity cannot fulfill the safety reporting responsibilities prescribed in this manual.

(6) Ensure that personnel assigned as an SIO or designated an SIB member, are not assigned to a JAGMAN investigation of the same event.

(7) Direct a competent medical authority assigned to their command to collect any time-sensitive medical evidence, such as blood and urine samples pertinent to the safety investigation.

(8) Provide administrative and logistic support to SIOs and SIBs.

(9) When applicable, provide force protection measures and physical security of personnel involved in the safety investigation commensurate with the threat level and security concerns. Provide such protective and other equipment necessary for the security and self-defense of these personnel.

(10) Appoint a unit-level RMI User Administrator (UA) in writing or coordinate with higher headquarters to fulfill UA responsibilities on behalf of your command.

(11) Certify, sign, date and post an OSHA 300A Summary Work-Related Injuries and Illnesses or equivalent form for each establishment assigned to your command, unit or activity within 60 calendar days following the end of each calendar year. This requirement is applicable only to Navy and Marine Corps commands, units and activities employing DON civilian personnel. See chapter 7, paragraph 707 for additional details.

(12) Direct subordinate safety personnel (i.e., safety officers, safety directors, safety managers, safety specialists) to take the actions in subparagraphs 107k(12)(a) through 107k(12)(g):

(a) Investigate and report mishaps, hazards (including near misses) and incidents, per this manual.

(b) Begin necessary investigative steps following a serious on-duty mishap (i.e., loss of life, significant injuries or significant equipment damage) and secure the mishap site until the SIB arrives.

(c) Conduct command-wide dissemination of sanitized safety information and lessons learned resulting from safety investigations.

(d) Protect PSI from unauthorized disclosure, per chapter 8.

(e) When applicable, coordinate with safety officers from embarked units and detachments on safety reporting and the correction of the causes of mishaps.

(f) Once notified by a supervisor that a work-related injury or illness has occurred and that preliminary event information has been added to the RMI, initiate a safety investigation.

(g) For collateral duty safety officers on CNIC installations, contact the Base Operating Support safety services provider if assistance is needed to complete a safety investigation or SIREP.

l. The commander of the Navy or Marine Corps installation nearest a mishap, will:

Note: This includes Navy or Marine Corps-led joint bases.

(1) Respond to a mishap involving DoD assets in accordance with OPNAVINST 3440.17A (Navy Installation Emergency Management Program) for Navy or MCO 3440.9 (Marine Corps Installation Emergency Management (IEM) Program) for Marine Corps, as applicable.

(2) Assist any assigned interim SIB or SIO to preserve evidence and gather factual data related to the mishap until the appointed SIB or SIO can conduct the investigation.

(3) Provide logistical and investigative support as required by the SIB or SIO.

m. Supervisors, will:

(1) Require subordinate personnel to immediately report all work-related injuries or illnesses and property damage that they observe.

(2) Require subordinate military personnel to report off-duty traffic-related mishaps to you as soon as reasonably possible.

(3) Require subordinate military personnel to report recreation and off-duty injuries to you as soon as reasonably possible.

(4) Require subordinate personnel to immediately report all hazards (including near misses) to you.

(5) Keep the unit safety manager or safety officer (primary or collateral duty) informed in a timely fashion of all injuries, property damage and hazards that become known to you.

(6) Assist commands, units and activities with reviews of any event that involves the supervisor's subordinate personnel and requires the submission of a SIREP. The review should include the injured employee, if needed for amplifying information. Enter subordinate injury and work-related illness information into RMI as part of your normal duties, per unit level guidance and as required by this manual. See OPNAV M-5100.23 of 5 June 2020, chapter 14

(i.e., Navy) or MCO 5100.29C volume 1, chapter 2 (i.e., Marine Corps), for more information on mishap review and analysis.

n. RMI User Administrators (UA), will:

(1) Post your signed command UA designation letter and signed RMI User Agreement to your RMI profile.

(2) Familiarize yourself with RMI functional roles and associated permissions per chapter 9 of this manual.

(3) Review and approve requests for RMI account roles including account type, category, module access and job function, for DON uniformed and civilian personnel within your unit (assigned to your UIC). Approval of account roles must only be given to personnel when it is necessary for them to complete their assigned tasks. All approvals must be in strict compliance with policies delineated in chapter 9 of this manual and other official RMI policies and guidance.

Note: UAs are prohibited from granting RMI permissions to personnel from other DON organizations, Military Services, U.S. Government agencies, as well as contractors, foreign exchange or liaison personnel or any non-DON civilians, unless specifically authorized by COMNAVSAFECEN per paragraphs 813, 814 and 815 of this manual.

o. Safety investigation boards will investigate a specific mishap or hazard (including a near miss) and complete all required reports per this manual. An SIB is appointed by a convening authority. See paragraph 408 for the specific responsibilities of the SIB senior member.

CHAPTER 2
MISHAP DETERMINATION, CATEGORIZATION AND CLASSIFICATION

201. Purpose. To provide an overview of the safety reporting process to assist users in determining whether an event meets the criteria as a reportable Department of Defense (DoD) mishap and the steps to follow to notify, investigate and report DoD mishaps. This chapter will also provide information about what constitutes OSHA recordable events applicable when injuries occur to Department of the Navy (DON) civilian personnel. Additional details and amplification on reporting DoD mishaps and Occupational Safety and Health Administration (OSHA) recordable events are provided in the chapters that follow.

202. Applicability. This chapter is applicable to all categories of mishaps except those that involve a defined naval aircraft. For mishaps involving a defined naval aircraft, see OPNAVINST 3750.6S.

Note: Aviation ordnance mishaps that do not involve a defined naval aircraft are considered weapons mishaps and the procedures in this manual are applicable.

203. Background.

a. Chapter 1 provided a working definition of a mishap: An unplanned event or series of events, that resulted in damage to DoD property; work-related illness to DoD personnel; injury to on- or off-duty DoD military personnel; injury to on-duty DoD civilian personnel; or damage to non-DoD property or injury or illness to non-DoD personnel, caused by DoD activities. The definition was further qualified by stating that events must also meet minimum damage and injury or illness thresholds to be considered a mishap for reporting purposes. Additionally, there are some events that meet the definition of a DoD reportable mishap, but are exempted from reporting, per DoDI 6055.07 of 6 June 2011.

b. Chapter 1 also provided a definition of a recordable event as an occurrence involving civilian personnel or contractor employees that requires the creation of a record due to a work-related injury or illness that met specified criteria established by the OSHA per the Code of Federal Regulations (CFR), part 29, section 1904. It is important to note that the terms recordable or OSHA recordable and the procedures that must be followed for such events, are only applicable to work-related illnesses and injuries to DON civilian personnel and, in some cases, civilian contractor employees. Those responsible for safety investigations and safety reporting need not concern themselves with OSHA recordable requirements when no work-related illnesses or injuries to DON civilian personnel or civilian contractors has occurred. If the contractor's employee is under the day-to-day supervision of the contractor, then the contractor is responsible for recording the work-related injury or illness. If the DON command supervises the contractor employee's work on a day-to-day basis, then it must be recorded by the DON command.

Note: Day-to-day supervision includes supervising not only the output, product or result to be accomplished by the person's work, but also the details, means, methods and processes by which the work objective is accomplished.

204. Policy.

a. All events that meet the definition of a reportable DoD mishap and are not exempted, must be investigated and reported per the guidelines established in this manual, with the exception of mishaps involving a defined naval aircraft. Safety investigation reports (SIREP) must be submitted in the Risk Management Information (RMI) within 30 calendar days of the mishap for SIO investigations or 30 calendar days of convening for SIB investigations.

b. Most events that result in damage and injury or illness that fall below the minimum reporting thresholds (i.e., below the Class D threshold for on-duty events and below the Class C threshold for off-duty events) or are specifically exempt from mishap reporting, do not require a safety investigation or report. However, some events trigger mandatory safety reporting requirements no matter the damage, injury or illness. These event types are clearly explained and must be reported per paragraph 218.

Note: Controlling commands are authorized to direct subordinate units to report events below the minimum thresholds set forth in this manual (e.g., some on duty Class E mishaps, off-duty injuries below the Class C level) if they believe that by doing so furthers their mishap prevention efforts. In those cases, an on duty Class E event can be reported as a Class E mishap in RMI and off-duty injuries below the Class C level must be reported as “incidents” in RMI. If done, the controlling command must state the requirement in writing.

c. Each mishap must be assigned at least one mishap category. When more than one mishap category has been assigned to a mishap, one must clearly be identified as the principal category.

205. Mishap Notification, Investigation and Reporting Procedures. After an event has occurred that resulted in damage, injury or illness, follow the steps shown in table 2-1 to validate a reporting requirement and to determine the procedures to follow and actions to take. Amplification and additional information is provided later in this chapter and in other chapters in this manual, as indicated.

Step Number	Step Description	Step Procedure
1a	Determine if a mishap occurred.	Refer to paragraph 206.

Step Number	Step Description	Step Procedure
		Use figure 2-1 to make an initial determination if a mishap occurred. Then proceed to step 1b to reference more specific reportability criteria.
1b	Review reportability criteria to confirm mishap occurrence.	Refer to paragraph 207 and chapter appendices 2-A through 2-E. Use this more detailed information to validate that a mishap has occurred. <ul style="list-style-type: none"> • If yes, continue to step 2 in this table. • If no, go to step 11 to determine if another type of safety report is required.
2	Determine if the mishap is exempt from reporting.	Refer to paragraph 208. Use table 2-4 to determine if the mishap is exempt from DoD and DON mishap reporting. <ul style="list-style-type: none"> • If not exempt, proceed to step 3 in this table. • If exempt, go to step 11 to determine if another type of report is required.
3	Determine the mishap category and sub-category.	Refer to paragraph 209. Use tables 2-5 through 2-8 to determine the mishap category and sub-categories. If the mishap has more than one category, identify the principal category. Once complete, go to step 4a and 4b in this table.
4a	Determine the estimated mishap costs.	Refer to paragraph 210. Use table 2-9 and the information in the paragraph to compute an estimated mishap cost. This estimate is needed to complete step 5.
4b	Determine the estimated personnel illness or injury category.	Refer to paragraph 211. Use the information in the paragraph to compute an estimated illness or injury category. This estimate is needed to complete step 5.
5	Determine a DON mishap class.	Refer to paragraph 212. Use figure 2-2 to determine a DON mishap class. If insufficient information exists immediately following a mishap to accurately determine the mishap class, then

Step Number	Step Description	Step Procedure
		<p>choose the highest mishap class based on the available information.</p> <p>Once complete, go to step 6 in this table.</p>
6	<p>Determine whether the mishap is in a DoD special reporting group.</p> <p>Note: DoD special reporting groups are important in determining some notification requirements.</p>	<p>Refer to paragraph 213.</p> <p>Use table 2-10 to determine whether the mishap is in a DoD special reporting group.</p> <p>Once complete, go to step 7 in this table.</p>
7	<p>Notify appropriate officials based on mishap class, category, DoD special reporting group and amplifying instructions.</p>	<p>Using the information from step 6, follow the notification procedures provided in chapter 3.</p> <p>Once complete, go to step 8 in this table.</p>
8	<p>Investigate the mishap.</p>	<p>Investigate the mishap using the guidelines provided in chapter 4.</p> <p>Once complete, go to step 9 in this table.</p>
9	<p>Report the mishap.</p>	<p>Prepare and submit the SIREP using the guidelines provided in chapter 4. SIREPs must be submitted in the RMI within 30 calendar days of the mishap for SIO investigations or 30 calendar days of convening for SIB investigations.</p> <p>If DON civilian personnel suffered work-related illnesses or injuries, go to step 10 in this table.</p>
10	<p>Enter required information into the RMI for Occupational Safety and Health Administration (OSHA) recordable</p>	<p>Refer to paragraph 217.</p> <p>Enter required information into the RMI for OSHA recordable events involving civilian personnel.</p>

Step Number	Step Description	Step Procedure
	events involving civilian personnel. Note: OSHA reporting applies only to DON civilian work-related illnesses or injuries. OSHA reporting does not apply to injuries or illnesses of military personnel.	
11	Determine if the event that is not a DoD mishap still requires a mandatory safety report.	Refer to paragraph 218 and chapter appendices 2-A through 2-E to determine whether the event still requires a mandatory safety report.

Table 2-1. Procedures for the Notification, Investigation and Reporting of DoD and DON Mishaps

206. Step 1a. Determine if a Mishap Occurred. Use figure 2-1 to make an initial determination if a mishap occurred.

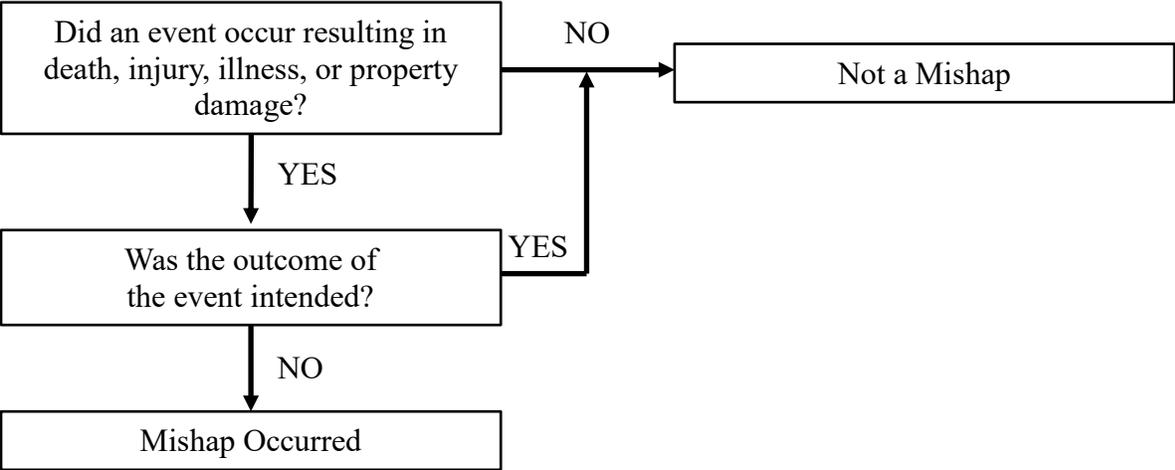


Figure 2-1. Confirming Occurrence of a Mishap

207. Step 1b. Review Reportability Criteria to Confirm Mishap Occurrence. Use the criteria in paragraphs 207a through 207i to confirm which events are considered reportable by DoD and DON. Broad guidance on reportability is provided here. Additionally, this chapter has separate chapter appendices for reportable and recordable event criteria involving Military Personnel (Appendix 2-A), Civilian Personnel (Appendix 2-B), Contractors (Appendix 2-C), Non-Department of the Navy Civilians (Appendix 2-D) and Materiel and Property Damage (Appendix 2-E). These chapter appendices provide a ready reference that augment the information provided in this chapter. Users should consult each of the various chapter 2 appendices on reportable and recordable criteria for other possible event types that may be applicable.

Note: See chapter 7 for the requirements for maintaining written or electronic records of reportable events.

a. Events may involve more than one type of mishap. If more than one type applies, then use the most severe one for classification purposes. Be sure to consult each of the various paragraphs and chapter 2 appendices for the criteria and all event types that may be applicable.

b. Whether a case involves a work-related injury or illness is determined by the nature of the original incident or exposure which caused the case, not by the resulting condition of the affected employee.

(1) In general, injuries are caused by instantaneous events in the work environment. Examples of exceptions to this general rule are a physical training injury over time such as knee damage, carpal tunnel syndrome, cumulative trauma disorder, repetitive strain injury, etc. Therefore, in general, cases resulting from anything other than instantaneous events are considered illnesses. This concept of illnesses includes acute illnesses which result from exposures of relatively short duration.

(2) For on-duty civilian personnel and contractor employees, the OSHA has several exceptions to the general rule of instantaneous events for work-related injuries. Examples of these general rule exceptions by the OSHA are a fatality, loss of an eye, amputation, loss of consciousness and in-patient hospitalization. These OSHA exceptions are briefly described in subparagraphs 207b(2)(a) through 207b(2)(e) and in chapter appendices 2-B and 2-C.

(a) Fatality. On-duty work-related injury or illness that resulted in a fatality occurring within 30 days of that work-related injury or illness. A work-related fatality caused by a heart attack must be reported to the OSHA. The local OSHA Area Office director will decide whether to investigate the event, depending on the circumstances of the heart attack.

(b) Loss of an Eye. On-duty loss of an eye, that occurred within 24 hours of a work-related injury or illness.

(c) Amputation. On-duty traumatic loss of a limb or other external body part, that occurred within 24 hours of a work-related injury or illness.

(d) Loss of Consciousness. On-duty work-related injury or illness that resulted in a loss of consciousness, regardless of the length of time unconscious.

(e) In-Patient Hospitalization. On-duty work-related injury or illness that resulted in the in-patient hospitalization (i.e., beyond observation, diagnostic testing, administrative reasons or counseling) of one or more employees, occurring within 24 hours of that work-related injury or illness). An in-patient hospitalization caused by a heart attack must be reported to the OSHA. The local OSHA Area Office director will decide whether to investigate the event, depending on the circumstances of the heart attack.

c. Some conditions may be classified as either an injury or an illness (but not both), depending upon the nature of the event that produced the condition. For example, a loss of hearing resulting from an explosion (i.e., an instantaneous event) is classified as a work-related injury; the same condition arising from exposure to industrial noise over a period of time would be classified as a work-related illness.

d. On and off-duty determination.

(1) Use tables 2-2 and 2-3 to make military personnel or DoD civilian personnel on- and off-duty determinations, respectively, for safety reporting purposes.

Note: The “on-duty” definition is for safety reporting purposes only and bears no relationship to compensation determinations.

Line Number	Duty Description	Duty Status	
		On-Duty	Off-Duty
1	When not on liberty, not on leave or not an unauthorized absentee.	X	
2	Physically present at any location to perform their officially assigned work.	X	
3	Physically aboard a public vessel. Notes: Public vessels include any vessel owned, bareboat chartered or operated using appropriated funds by the DoD or any other U.S. Government agency (e.g., includes the U.S. Coast Guard and the National Oceanic and Atmospheric Administration), except when that vessel is engaged in commerce. Included, are pre-commissioned vessels after delivery to a DoD or other U.S. Government agency.	X	

Line Number	Duty Description	Duty Status	
		On-Duty	Off-Duty
	Not included, are non-appropriated fund government vessels such as Morale, Welfare and Recreation (MWR) rental boats.		
4	Being transported anytime by a government conveyance or common carrier for the purpose of performing officially assigned work. Notes: Sailors and Marines aboard a government-leased or chartered water taxi traveling to or from a public vessel are on duty, regardless if that water taxi is paid for with appropriated or non-appropriated funds.	X	
5	Travel in a private motor vehicle (PMV) or commercial conveyance while performing official duty, but not routine travel (i.e., commuting) to and from home and work or duty station.	X	
6	In a travel status for official travel (i.e., under a travel authorization or travel order) and not engaged in any personal activities.	X	
7	Travel for personal convenience, leave or administrative absence while performing travel away from the permanent duty station on public business under competent travel orders.		X
8	Participating in physical training activities while on station or at any other place, while under orders.	X	
9	Participating during non-working hours in base or installation team sports and events sponsored by the command in which participation is voluntary.		X
10	Midshipmen of the U.S. Naval Academy participating in academy-sanctioned intercollegiate, intramural sports and club activities.	X	
11	Participating in command-directed events that they are permitted to attend, regardless of location.	X	
12	On funded temporary additional duty (TAD), funded temporary duty (TDY) or permissive TDY (i.e., unfunded orders) away from their regular place of duty, while performing travel or work-related activities that are essential or incidental to the temporary assignment.	X	
13	On funded TAD, funded TDY or permissive TDY (i.e., unfunded orders) away from their regular place of duty, while deviating from normal activities of the trip and becoming involved in personal activities not reasonable or incidental to the assignment.		X
RESERVISTS			
14	When at their designated drill sites performing inactive duty training (IDT), annual training (AT), active duty training (ADT) or active duty for operational support (ADOS).	X	

Line Number	Duty Description	Duty Status	
		On-Duty	Off-Duty
15	When in a travel status (i.e., under a travel authorization or travel order) for performing AT, ADT or ADOS. and not engaged in personal activities.	X	
16	When in a travel status (i.e., under a travel authorization or travel order) for performing AT, ADT or ADOS and engaged in personal activities.		X
17	<p>When traveling under travel orders to perform IDT.</p> <p>Notes: For the purposes of safety reporting, Reservists are considered off duty from the time they depart their home or office until they reach their appointed site for inactive duty training (i.e., 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.</p> <p>Examples:</p> <ul style="list-style-type: none"> • 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 PMV mishap. Report as an off-duty motor-vehicle mishap. • A reservist completed her drills for Saturday and is scheduled to return the following morning. During the evening, she is involved in a mishap. Report the mishap as required as an off-duty motor-vehicle mishap. • A reservist 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. 		X

Table 2-2. Military Personnel Duty Determinations for Safety Reporting Purposes

Line Number	Duty Description	Duty Status	
		On-Duty	Off-Duty
1	When activities are work related.*	X	
2	Physically present at any location to perform their officially assigned work.	X	
3	Commuting to or from home and work prior to or after, their duty day or shift.		X

Line Number	Duty Description	Duty Status	
		On-Duty	Off-Duty
4	Travel in a PMV or commercial conveyance while performing official duty, but not routine travel (i.e., commuting) to and from home and work.	X	
5	Traveling during their workday to or from work sites other than their permanent duty station and not engaged in any personal activities.	X	
6	During the workday (i.e., 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.		X
7	Physically aboard a public vessel. Notes: Public vessels include any vessel owned, bareboat chartered or operated using appropriated funds by the DoD or any other U.S. Government agency (e.g., includes the U.S. Coast Guard and the National Oceanic and Atmospheric Administration), except when that vessel is engaged in commerce. Included, are pre-commissioned vessels after delivery to a DoD or other U.S. Government agency. Not included, are non-appropriated fund government vessels such as MWR rental boats.	X	
8	Being transported anytime by a government conveyance or common carrier for the purpose of performing officially assigned work.	X	
9	In a travel status for official travel (i.e., under a travel authorization or travel order) and not engaged in any personal activities.	X	
10	Traveling for personal convenience, leave or administrative leave while performing travel away from the permanent duty station on public business under competent travel orders.		X
11	Participating during working hours in command-sponsored events that they are permitted to attend, regardless of location.	X	
12	Participating during non-working hours in base or installation team sports and events sponsored by the command in which participation is voluntary.		X
13	On funded TAD, funded TDY or permissive TDY (i.e., unfunded orders) away from their regular place of duty, while performing travel or work-related activities that are essential or incidental to the temporary assignment.	X	
14	On funded TAD, funded TDY or permissive TDY (i.e., unfunded orders) away from their regular place of duty, while deviating from		X

Line Number	Duty Description	Duty Status	
		On-Duty	Off-Duty
	normal activities of the trip and becoming involved in personal activities not reasonable or incidental to the assignment.		

*Work-relatedness is described in subparagraphs 207d(2)(a) and 207d(2)(b).

Table 2-3. DoD Civilian Personnel Duty Determinations for Safety Reporting Purposes

(2) Work Relatedness for DoD Civilian Personnel. For civilian personnel, work-relatedness is also used to make an on- or off-duty determinations. Work-relatedness is described in subparagraphs 207d(2)(a) and 207d(2)(b).

(a) Civilian personnel are considered on-duty when an injury or illness occurs while an employee is working at home, including work in a home office, the injury or illness occurs while the employee is performing work for pay or compensation in the home and the injury or illness is directly related to the performance of work rather than to the general home environment or setting. For example (per 29 CFR 1904.5(b)(7), with DON duty determinations added), if an employee drops a box of work documents and injures his or her foot, the case is considered work-related and the employee is considered on-duty. If an employee's fingernail is punctured by a needle from a sewing machine used to perform garment work at home, becomes infected and requires medical treatment, the injury is considered work-related and the employee is considered on-duty. If an employee is injured because he or she trips on the family dog while rushing to answer a work phone call, the case is not considered work-related and the employee is not considered on-duty. If an employee working at home is electrocuted because of faulty home wiring, the injury is not considered work-related and the employee is not considered on-duty.

(b) Work-relatedness (i.e., being on-duty) is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless one of the exceptions in subparagraphs 207d(2)(b)1 through 207d(2)(b)10 specifically applies. If an exception applies, the event or exposure is not considered on-duty:

1. At the time of the injury or illness, the civilian employee was present in the work environment as a member of the general public rather than as an employee.

2. The injury or illness involves signs or symptoms that surface at work but result solely from a non-work-related event or exposure that occurs outside the work environment.

3. The injury or illness results solely from voluntary participation in a wellness program or in a medical, fitness or recreational activity, such as blood donation, physical examination, flu shot, exercise class, racquetball or baseball.

4. The injury or illness is solely the result of a civilian employee eating, drinking or preparing food or drink for personal consumption (i.e., whether bought on the premises or brought in). For example, if the civilian employee is injured by choking on a sandwich while in the workplace, the case would not be considered work-related.

Note: If the civilian employee is made ill by ingesting food contaminated by workplace contaminants (such as lead) or gets food poisoning from food supplied by the organization, the case would be considered work-related.

5. The injury or illness is solely the result of a civilian employee doing personal tasks that are unrelated to their employment in the workplace outside of the employee's assigned working hours.

6. The injury or illness is solely the result of personal grooming or self-medication for a nonwork-related condition.

7. The injury or illness is intentionally self-inflicted.

8. The injury or illness is caused by a motor vehicle accident and occurs on a company parking lot or company access road while the employee is commuting to or from work. Driving to and from lunch is not considered on-duty.

9. The illness is the common cold or flu.

Note: Contagious diseases such as tuberculosis, brucellosis, hepatitis A, plague and Coronavirus Disease 2019 (COVID-19) are considered work-related if the civilian employee is infected at work.

10. The illness is a mental illness. Mental illness will not be considered work-related unless the civilian employee voluntarily provides his or her supervisor with an opinion from a physician or other licensed health care professional with appropriate training and experience (e.g., psychiatrist, psychologist, psychiatric nurse practitioner, etc.) stating that the employee has a mental illness that is work-related.

e. Defining military personnel involvement for reportability purposes. All of the personnel in subparagraphs 207e(1) through 207e(5) are considered military personnel, where at least one of the personnel (i.e., military or civilian) involved in an event is assigned to the Navy or Marine Corps.

(1) Personnel on active duty, active duty for training or inactive duty for training in the U.S. Army, U.S. Marine Corps, U.S. Navy, U.S. Air Force, U.S. Space Force and U.S. Coast Guard;

(2) Personnel on active duty, active duty for training or inactive duty for training in the National Guard of the United States under the provisions of either Title 10, U.S. Code (i.e., Federally funded, command and control with the President of the United States through combatant commanders) or Title 32, U.S. Code (i.e., Federally funded, command and control with the State Governor through the Adjutant General);

(3) Personnel on active duty in a Naval Militia under the provisions of Title 10, U.S. Code;

(4) Cadets of the U.S. Military Academy; midshipmen of the U.S. Naval Academy; cadets of the U.S. Air Force Academy; cadets of the U.S. Coast Guard Academy; and midshipmen of the U.S. Merchant Marine Academy when engaged in directed training activities with a DoD component or the U.S. Coast Guard;

(5) Reserve Officer Training Corps (ROTC) cadets or midshipmen when engaged in directed training activities; officer accession program students when engaged in directed training activities; and foreign national military personnel assigned to a DoD component or the U.S. Coast Guard.

f. Defining civilian personnel involvement for reportability purposes. All of the personnel in subparagraphs 207f(1) through 207f(3) are civilian personnel, when on duty, where at least one of the personnel (i.e., military or civilian) involved in an event is assigned to the Navy or Marine Corps.

(1) 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.

(2) Non-Appropriated Fund Civilian Personnel. All civilian personnel whose employment by the U.S. Government 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.

(3) Foreign National Civilian Personnel. Includes foreign nationals employed by the U.S. Government in direct (i.e., appropriated or non-appropriated funds) or indirect hire (i.e., contract or fee basis) status when the U.S. Government 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 must review and determine if the host nation injury and illness reporting and compensation systems supersede DoD requirements per the status of forces' agreement.

g. Reportability Criteria for Contractor Personnel Involvement. Contractor personnel are non-federal employees performing under a DoD contract, whether as prime contractor or subcontractor.

h. Reportability Criteria for Non-Department of the Navy (Non-DON) Civilians.

(1) Persons listed in subparagraphs 207h(1)(a) and 207h(1)(b) are considered Non-DON civilians.

(a) Personnel employed by other Federal or DoD agencies not assigned to the Navy or Marine Corps.

(b) All other civilians and foreign nationals not employed by the Navy or Marine Corps (e.g., civilian guest, patron, military family member, etc.).

Note: For purposes of this manual, these groups will be collectively referred to as Non-DON Civilians.

(2) A Navy or Marine Corps caused non-DON civilian fatality, injury or illness is reportable when the non-DON civilian fatality, injury or illness was caused wholly or in part, by a Navy or Marine Corps operation, activity or evolution.

Notes: Examples include family fun day; “A Day in Their Boots”; “Jane Wayne Day”; Tiger Cruise; command-sponsored retirement ceremony; tent sale; military ball; static display; demonstration of operational capability; Morale, Welfare and Recreation event; Marine Corps Community Services event; etc. The Navy or Marine Corps command or activity responsible for the operation, activity or evolution that caused the fatality, injury or illness of affected non-DON civilians will record the mishap.

i. Fatality, Injury or Illness of a Health Care Provider Engaged in Patient Care.

(1) Navy or Marine Corps Civilian Health Care Provider Mishap. A health care provider mishap that occurs to a Navy or Marine Corps civilian health care provider engaged in patient care (i.e., medical, dental or pharmaceutical) for a Navy or Marine Corps unit, is a work-related mishap and both an OSHA recordable event and a DON reportable mishap.

(2) Military Health Care Provider Mishap. A health care provider mishap that occurs to a military health care provider engaged in patient care (i.e., medical, dental or pharmaceutical) for a Navy or Marine Corps unit is a work-related mishap and only a DON reportable mishap.

208. Step 2. Determine if the Mishap is Exempt from Reporting. If a mishap occurred, use table 2-4 to determine if the mishap is exempt from DoD and DON mishap reporting.

Note: Events that are exempt for DoD and DON mishap reporting are not necessarily exempt from reporting to the OSHA. All work-related illnesses and injuries to DON civilian personnel are still considered an OSHA recordable event per Title 29, Code of Federal Regulations, part 1904, subparts C, D, E and G. For these cases, follow the steps in paragraph 217.

Exemption Number	Exemption Condition Description
1	Mishaps involving destruction of or serious damage to nuclear weapons, nuclear weapons systems or nuclear weapons components, resulting in an actual or potential threat to national security or life and property.
2	<p>Damage or injury by direct action of an enemy to include maneuvering conducted relative to hostile fire or a perceived hostile threat or hostile force, not including suspected cases of friendly fire.</p> <p>Amplification: An injury or fatality that occurred in a combat zone and was the result of an actual or suspected case of “friendly fire” is not exempt.</p>
3	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 like loss of vision; but, not including complications of the injury (such as the infection of a cut aggravated by a work-related activity) that result in lost time.
4	<p>Injuries resulting from altercations, attack or assault, unless injuries of this type were incurred in the performance of official duties.</p> <p>Amplification: Violence or the threat of violence, against on-duty personnel (workplace violence) is not exempt. Examples of workplace violence include on-duty cases of injury or illness resulting from sexual assault, being assaulted while standing duty or conducting an inspection, civil disorders, riots, sabotage, terrorist activities and arson.</p> <p>Note: Sexual assault is a “Privacy Concern Case.”</p>
5	Injuries sustained before entry into Military Service or employment by the U.S. Government, unless the injuries were specifically aggravated or accelerated by current tenure of service.
6	Injuries resulting from pre-existing musculoskeletal disorders, unless the injuries were specifically aggravated or accelerated by current tenure of service.
7	Intentional, controlled jettison or release, during flight, of canopies, cargo, doors, drag chutes, hatches, life rafts, auxiliary fuel tanks, missiles, drones, rockets, non-nuclear 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 non-nuclear munitions, when the reason for jettison is not malfunction.

Exemption Number	Exemption Condition Description
8	<p>Replacement of component parts due to normal wear and tear, which is beyond the scope or definition of the affected time between overhaul of component and when any associated damage is confined to the component part.</p> <p>Notes: This exemption only applies to items that are normally used until they fail or until predetermined wear limits are reached. The need for replacement may not be evident until malfunction or failure of the part. Resultant damage to other components is reportable.</p>
9	<p>Attempted or consummated suicide, murder or intentionally self-inflicted injuries.</p>
10	<p>Inpatient hospitalization for treatment where the patient is retained beyond the day of admission solely for administrative reasons unless other reporting criteria are met (e.g., medical treatment beyond first aid).</p>
11	<p>Inpatient hospitalization solely for observation, counseling or diagnostic testing or for administrative reasons not related to the immediate injury or occupational illness, unless other reporting criteria are met (e.g., medical treatment beyond first aid).</p>
12	<p>Injuries resulting from minimum stress and strain (simple, natural and nonviolent body positions or actions, as in dressing, sleeping, coughing or sneezing). Those are injuries unrelated to mishap-producing agents or environments normally associated with active participation in daily work or recreation.</p> <p>Amplification: Significant injury or illness (e.g., cancer, chronic irreversible diseases, fractured or cracked bones) that was diagnosed by a physician or other licensed health care professional as work-related, even if the injury or illness did not result in death, days away from work, restricted work or job transfer, medical treatment beyond first aid or loss of consciousness is not exempt.</p>
13	<p>Injuries or fatalities to persons in the act of escaping from or eluding military or civilian custody or arrest.</p>
14	<p>Death due to natural causes unrelated to strenuous acts performed at work or to physical training associated with the requirement to pass physical standards.</p>
15	<p>Intentional, expected or anticipated damage to DoD equipment or property incurred during authorized research, development, testing and evaluation or combat training, including missile and ordnance firing or functioning.</p>
16	<p>Foreign object damage to aircraft, air-breathing missiles or drone engines discovered during scheduled engine disassembly.</p>
17	<p>Property damage, death or injury as a result of vandalism, riots, civil disorders, sabotage, terrorist activities or criminal acts, such as arson.</p>

Exemption Number	Exemption Condition Description
	Amplification: This exemption applies to off-duty deaths or injuries.
18	Adverse bodily reactions resulting directly from the use of drugs under the direction of competent medical authority.
19	Death or injury resulting directly from the illegal use of drugs or other substance abuse. Amplification: Exemption does not apply to fatalities or injuries due to alcohol use or prescription drug use. An event involving an on- or off-duty fatality (excluding suicide) or injury (excluding attempted suicide), that resulted from the use of alcohol, prescription drug or other substance being suspected as the sole contributing factor is not exempt. Additionally, unintentional alcohol or prescription drug overdose, etc., regardless of age or potential disciplinary actions is also not exempt.
20	Normal residual damage as a result of a missile launch.
21	Contractor mishaps in which the contractor employee is not under the direct supervision of DoD personnel.
22	Fatality, injury or illness of a military animal. Notes: A military animal is an animal owned by the DoD <u>for use in support of military operations</u> . Examples include military working dogs, horses, bottlenose dolphins and sea lions. It does not include service animals used for medical-related activities. SECNAVINST 3900.41H, OPNAVINST 5585.3B / MCO 5585.6 and other DoD Component directives cover military animal related mishaps.

Table 2-4. DoD and DON Mishap Reporting Exemptions

209. Step 3. Determine the Mishap Category and Subcategory. Use tables 2-5 through 2-8 to determine the mishap category and sub-categories. If the mishap has more than one category, identify the principal category.

a. Weapons Mishap Category and Subcategories.

Weapons Mishaps Involving Explosives, Small Arms, Guided Missiles or Directed Energy	
Subcategory	Subcategory Characteristics
Explosives	A mishap resulting in damage or injury from an explosion or functioning of explosive materials or devices (except as a result of enemy action); inadvertent actuation, jettisoning and releasing or launching of explosive devices; and impacts of ordnance off-range.

Weapons Mishaps Involving Explosives, Small Arms, Guided Missiles or Directed Energy	
Subcategory	Subcategory Characteristics
	<p>Note: Includes mishaps where the ordnance system worked as designed and human error contributed to the mishap.</p> <p>A mishap in which explosives are present, even if there is no explosion.</p> <p>Note: Explosives present at the site of a mishap must have had direct involvement with the occurrence for this characteristic to be relevant; the proximity of explosives at a mishap site, by itself, does not qualify as a characteristic for this subcategory.</p>
Small Arms	<p>A mishap resulting from the use of small arms.</p> <p>Note: Includes mishaps involving negligent discharges and off-range ordnance impacts at small arm ranges where ricochets cause bullets to impact outside surface danger zones.</p>
Guided Missiles	<p>A mishap that:</p> <ul style="list-style-type: none"> •Involves guided missiles or missile support equipment or •Includes missiles that are damaged or destroyed after launch from an aircraft where there is no aircraft damage.
Directed Energy	<p>A mishap involving directed energy:</p> <ul style="list-style-type: none"> •Applying directed energy primarily as a weapon to damage, disrupt, disable or destroy enemy resources. Directed energy weapons include, but are not limited to high-power lasers and microwave systems and sonic and ultrasonic beam weapon systems. •Applying electromagnetic radiation primarily for purposes other than as a weapon.

Table 2-5. Weapons Mishaps Involving Explosives, Small Arms, Guided Missiles or Directed Energy

b. Space Mishap Category and Subcategories. Space mishap categories and subcategories are defined in DoDI 6055.07 of 6 June 2011, but omitted from this manual.

c. Motor Vehicle Mishap Category and Subcategories.

Motor Vehicle Mishaps Involving the Operations of a Motor Vehicle	
Subcategory	Subcategory Characteristics
Government Motor Vehicle (GMV)	<p>A mishap involving a motor vehicle that is:</p> <ul style="list-style-type: none"> •Owned, leased or rented by a DoD Component (not individuals). •Primarily designed for over-the-road operations. •For the general purpose of the transportation of cargo or personnel.

Motor Vehicle Mishaps Involving the Operations of a Motor Vehicle	
Subcategory	Subcategory Characteristics
	Notes: Examples of GMVs are passenger cars, station wagons, vans, ambulances, buses, motorcycles, trucks and tractor-trailer trucks. 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.
Government Vehicle, Other (GVO)	A mishap involving a vehicle that is owned, leased or rented by a DoD Component (not individuals) designed primarily for off-the-highway operation such as: <ul style="list-style-type: none"> •Construction tracked vehicles. •Powered industrial trucks (e.g., fork lifts). •Road graders. •Agricultural-type wheeled tractors. •Aircraft tugs. •All-terrain vehicles, utility terrain vehicles, <u>dune buggies, off-road motorcycles, golf carts and snowmobiles.</u> •Military combat and tactical vehicles (e.g., tanks, self-propelled weapons, armored personnel carriers, amphibious vehicles ashore and high-mobility multipurpose wheeled vehicles).
Private Motor Vehicle (PMV)	A motor vehicle mishap, regardless of the identity of the operator that does not involve a GMV or GVO.

Table 2-6. Motor Vehicle Mishaps Involving the Operations of a Motor Vehicle

d. Ground Mishap Category and Subcategories.

Ground Mishaps Occurring on Land and Involving Department of Defense Operations*	
Subcategory	Subcategory Characteristics
Industrial and Occupational	A ground mishap involving operations similar to those performed in private industry. Includes, but is not limited to, equipment maintenance, facility construction and maintenance, health care provision, laboratory research and administrative and clerical tasks.
Sports, Recreation, and Individual Fitness	A mishap associated with an activity that: <ul style="list-style-type: none"> •Requires physical exertion and skill that is governed by a set of rules or customs and is often undertaken competitively. •Refreshes one’s mind or body through activity that amuses or stimulates. •Involves the activity of exerting muscles in various ways to keep fit through the performance of exercise. This includes all fitness activities that do not meet the criteria for command-directed or organized fitness programs.

Ground Mishaps Occurring on Land and Involving Department of Defense Operations*	
Subcategory	Subcategory Characteristics
Combat Support and Training	A mishap associated with a non-combat military exercise or training activity designed to develop a military member's physical ability, maintain or increase individual or collective combat and peacekeeping skills and is due to either a mishap or the result of natural causes when the medical event occurs during or within one hour after any training activity where the exercise or activity could be a contributing factor. This includes all training activities that do not meet the definition or are not included as values in sports, recreation and individual fitness.
Miscellaneous	A ground mishap not assigned to another subcategory.
*See Glossary for detailed definition of ground mishaps.	

Table 2-7. Ground Mishaps Occurring on Land and Involving DoD Operations

e. Afloat Mishap Category and Subcategories.

Afloat Mishaps Resulting from or During the Operation of a DoD Vessel, Including DoD Diving or Swimmer Operations*	
Subcategory	Subcategory Characteristics
Industrial and Occupational	<p>A mishap occurring:</p> <ul style="list-style-type: none"> •Aboard a vessel involving operations similar to those performed in private industry (e.g., boiler maintenance). • Includes, but is not limited to, equipment maintenance, facility construction and maintenance, health care provision, laboratory research and administrative and clerical tasks. <p>Note: A mishap occurring aboard a vessel that results from shipyard, repair facility or private contractor operations is a ground (i.e., industrial) mishap.</p>
Sports, Recreation and Individual Fitness	<p>A mishap associated with an activity that:</p> <ul style="list-style-type: none"> •Requires physical exertion and skill that is governed by a set of rules or customs and is often undertaken competitively. •Refreshes one's mind or body through activity that amuses or stimulates. •Involves the activity of exerting muscles in various ways to keep fit through the performance of exercise. This includes all fitness activities that do not meet the criteria for command-directed or organized fitness programs.
Combat Support and Training	A mishap associated with a non-combat military exercise or training activity designed to develop a military member's physical ability, maintain or increase individual or collective combat and peacekeeping skills and is due to either a mishap or the result of natural causes when the medical event occurs during or within 1 hour after any training activity where the exercise or activity could be a contributing factor. This includes all training activities that do not meet

Afloat Mishaps Resulting from or During the Operation of a DoD Vessel, Including DoD Diving or Swimmer Operations*	
Subcategory	Subcategory Characteristics
	the definition or are not included as values in sports, recreation and individual fitness.
Miscellaneous	An afloat mishap not assigned to another subcategory.
*See Glossary for detailed definition of afloat mishaps.	

Table 2-8. Afloat Mishaps Resulting from or During the Operation of a DoD Vessel, Including DoD Diving or Swimmer Operations

f. Exposure to Chemical Agents. Military munitions containing chemical agents are not in the U.S. Navy and U.S. Marine Corps inventory; however, personnel could be injured if exposed to old chemical agents accidentally during either recovery or clean-up operations. In the unlikely event that this occurs, refer to DoDI 6055.07 of 6 June 2011 to determine the correct mishap category, DoD special reporting requirements and notification requirements.

210. Step 4a. Determine the Estimated Mishap Cost.

Note: The process outlined here will be used both to determine initial estimated costs and to finalize mishaps costs during the mishap investigation process.

a. The total cost of an event is determined by adding all actual or estimated costs. For initial estimates, include costs that are both known and reasonably available. Actual costs are preferred, if known. When determining final mishap costs, use actual costs.

b. Calculated personnel costs resulting from fatalities, injuries and illnesses (i.e., to include disabilities) must not be used to determine a mishap class. However, unplanned military and civilian labor costs will be used to determine a mishap class.

Note: Calculated personnel costs resulting from fatalities, injuries and illnesses will be collected when applicable but will only be used for internal DoD analysis, not for mishap class determination.

c. Cost estimates are prepared solely for safety purposes. They are not intended to reflect, in any way, the extent of any party's damages or liability for purposes of administrative claims or litigation. Therefore, when prepared in written form, all cost estimates must 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."

d. When damage occurs to Navy or Marine Corps property as a result of non-U.S. Government (i.e., contractor or private citizen) activities, any damage to non-U.S. Government property is not considered in determining costs. For example, a parked Navy van is damaged, while off base, by a light pole knocked over by a private vehicle. Only the Navy van damage costs would be considered.

e. Property damage cost information, including estimates, will be provided by the activity experiencing the loss.

f. Use table 2-9 to determine mishap costs. Additional amplification on determining mishap property costs is provided subparagraph 210g and in The Navy and Marine Corps Safety Investigations and Reporting Guide.

Cost Category	Cost Subcategory
Personnel	<p>Labor</p> <p>Notes: Includes any unplanned labor costs (military or civilian personnel) incurred due to a non-personnel mishap. It <u>does not include</u> the labor cost of the resulting personnel fatality, injury or illness. Includes the cost of man-hours spent to remove undamaged parts to gain access to those that are damaged. Does not include the man-hours spent removing or disassembling undamaged parts to gain access to areas where damage is suspected unless damage is found. Includes man-hours spent in anticorrosive work following salt water immersion, as the result of the mishap. Does not include those man-hours spent setting up or staging support equipment in preparation for the repair effort.</p>
Property (DoD and non-DoD)	<p>Repair (when property is damaged due to a mishap, <u>to the extent that it must be repaired</u>).</p> <p>Notes: Includes components <u>damaged to the extent they must be returned to a repair facility</u>. Does not include the costs to rent commercial equipment or space to perform repair work.</p> <p>Replacement (when property is lost or destroyed due to a mishap <u>and will be replaced</u>).</p> <p>Note: Includes components (including engines or engine modules) <u>damaged beyond economical repair</u>.</p> <p>Acquisition (when property is lost or destroyed due to a mishap <u>and will not be replaced</u>)</p>

Cost Category	Cost Subcategory
	<p data-bbox="415 411 695 443">Parts Cannibalization</p> <p data-bbox="415 485 1409 585">Note: Only include costs associated with the removal of a part from an asset due to a mishap, which is then installed into another asset and the losing asset then has to replace that same part.</p> <hr/> <p data-bbox="415 611 760 642">Fuel Consumption or Loss</p> <p data-bbox="415 684 1409 863">Notes: Includes fuel consumed or lost by vessels, vehicles or aircraft due to a mishap (e.g., search and rescue operations, recovery operations, salvage operations, construction, demolition, remediation, spills, leaks, etc.). Does not include intentionally jettisoned fuel or further DoD fuel loss resulting from rescue or salvage.</p> <hr/> <p data-bbox="415 888 813 919">Cargo, Stores or Materiel Loss</p> <p data-bbox="415 961 1338 1062">Notes: Includes unintentional loss of cargo, stores and materiel due to a mishap. Does not include intentionally jettisoned items or further DoD property damage resulting from rescue or salvage.</p> <hr/> <p data-bbox="415 1087 643 1119">Decontamination</p> <p data-bbox="415 1161 1300 1230">Note: Includes consumable materials used for decontamination (e.g., absorbents, filters, cleansers, etc.) of property due to a mishap.</p> <hr/> <p data-bbox="415 1255 781 1287">Environmental Remediation</p> <p data-bbox="415 1329 1403 1398">Note: Includes the removal of pollution or contaminants from environmental media (i.e., soil, ground water, sediment or surface water) due to a mishap.</p>
Miscellaneous	<p data-bbox="415 1409 630 1440">Production Loss</p> <p data-bbox="415 1482 1305 1514">Note: Includes any unplanned production downtime due to a mishap.</p> <hr/> <p data-bbox="415 1539 865 1570">Compensation for Damage or Loss</p> <p data-bbox="415 1612 1386 1713">Note: Includes a monetary or non-monetary payment made to a claimant or giving something of equivalent value, in order to compensate that claimant for damages or loss due to a mishap.</p> <hr/> <p data-bbox="415 1738 561 1770">Restitution</p>

Cost Category	Cost Subcategory
	Notes: Includes restoring something to its former or original state or returning something to its lawful owner due to a mishap. Restitution does not focus on a claimant's losses.

Table 2-9. Mishap Cost Determination

g. Mishap property cost determination. Use the guidance in subparagraphs 210g(1) through 210g(10) to determine the total costs of damage to DoD property and non-DoD property as a result of a mishap.

(1) Calculate the total property cost of a mishap by adding all of the costs associated with one or more relevant cost subcategories listed in table 2-9.

(2) Do not include the costs in subparagraphs 210g(2)(a) or 210g(2)(b) when calculating the cost of a mishap:

- (a) Any further DoD property damage or fuel loss resulting from rescue or salvage.
- (b) The cost of intentionally jettisoned items.

(3) Computing the direct cost of damage to DoD or non-DoD property. Use the actual cost of repair or replacement (including work hours for repair) or the best official estimate available. When multiple plausible total cost estimates are available, use the estimate most likely to represent the actual mishap cost to the government.

(4) When components are damaged to the extent they must be sent to a repair facility, the cost of damage must be reported as the actual cost for repairs, if such figures are available.

(5) If actual repair costs cannot be determined:

- (a) Use the established standard repair costs of the repair facility, if available or
- (b) Use the standard repair costs disseminated by NAVSAFECEN, if available or
- (c) If neither of the repair costs figures in subparagraphs 210g(5)(a) and 210g(5)(b) are available, the reported cost for repair will be computed at 15 percent of the initial unit cost.

(6) For components, including engines or engine modules that are damaged beyond economical repair use the replacement cost, not the initial cost. The man-hours required to remove and replace the engines or engine modules must also be included.

(7) Include in the cost the man-hours spent to remove undamaged parts to gain access to those that are damaged. Do not include man-hours spent removing or disassembling undamaged parts to gain access to areas where damage is suspected unless damage is found.

(8) Include man-hours spent in anticorrosive work following salt water immersion, as the result of the mishap.

(9) Do not include those man-hours spent setting up or staging support equipment in preparation for the repair effort.

(10) Do not include the costs to rent commercial equipment or space to perform repair work.

211. Step 4b. Determine the Estimated Personnel Illness or Injury Category. The definitions in subparagraphs 211a through 211k, available both here and in the glossary, will assist in making an estimated personnel illness or injury determination that may be needed in Step 5.

a. Fatality. A death resulting from a mishap or work-related injury or illness.

b. First Aid. First aid means doing any of the actions in subparagraphs 211b(1) through 211b(14).

(1) 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);

(2) Administering tetanus immunizations (other immunizations, such as hepatitis B vaccine or rabies vaccine, are considered medical treatment);

(3) Cleaning, flushing or soaking wounds on the surface of the skin;

(4) 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);

(5) Using hot or cold therapy;

(6) 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);

- (7) Using temporary immobilization devices while transporting an accident victim (e.g., splints, slings, neck collars, back boards, etc.);
- (8) Drilling of a fingernail or toenail to relieve pressure or draining fluid from a blister;
- (9) Using eye patches;
- (10) Removing foreign bodies from the eye using only irrigation or a cotton swab;
- (11) Removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs or other simple means;
- (12) Using finger guards;
- (13) Using massages (physical therapy or chiropractic treatment are considered medical treatment for record keeping purposes); or
- (14) Drinking fluids for relief of heat stress.

c. Hospitalization. The admission of personnel to a hospital or shipboard medical facility on an in-patient basis.

d. Illness and Disease. A non-traumatic physiological harm or loss of capacity produced by systemic; continued or repeated stress or strain; exposure to hazardous noise, 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 (i.e., work-related) illness or disease are any reported condition that does not meet the definition of injury. Illness includes both acute (i.e., extremely severe, short-term and dangerous) and chronic illnesses (i.e., present over a long period of time, recurring, cumulative effects or habitual), such as, but not limited to, noise-induced hearing loss, a skin disease or disorder, respiratory conditions or poisoning. Illnesses include:

(1) Skin Diseases or Disorders. Illnesses involving a worker's skin that are caused by work exposure to chemicals, plants or other substances. Examples: Contact dermatitis, eczema or rash caused by primary irritants and sensitizers or poisonous plants; oil acne; friction blisters, chrome ulcers; and inflammation of the skin.

(2) Respiratory Conditions. Illnesses associated with breathing hazardous biological agents, chemicals, dust, gases, vapors or fumes at work. Examples: Silicosis, asbestosis, pneumonitis, pharyngitis, rhinitis or acute congestion; farmer's lung, beryllium disease, tuberculosis, occupational (i.e., work-related) asthma, reactive airways dysfunction syndrome, chronic obstructive pulmonary disease, hypersensitivity pneumonitis, toxic inhalation injury, such as metal fume fever, chronic obstructive bronchitis and other pneumoconioses.

(3) **Poisoning.** Disorders evidenced by abnormal concentrations of toxic substances in blood, other tissues, other bodily fluids or the breath that are caused by the ingestion or absorption of toxic substances into the body. Examples: Poisoning by lead, mercury, cadmium, arsenic or other metals; chemical asphyxiation by carbon monoxide, hydrogen sulfide or other gases; poisoning by benzene, benzol, carbon tetrachloride or other organic solvents; poisoning by insecticide sprays, such as parathion or lead arsenate; and poisoning by other chemicals, such as formaldehyde.

(4) **Noise-Induced Hearing Loss.** A change in hearing threshold relative to the baseline audiogram of an average of 10 decibels (dB) or more in either ear at 2000, 3000 and 4000 hertz (Hz) and the employee's total hearing level is 25 dB or more above audiometric zero (also averaged at 2000, 3000 and 4000 Hz) in the same ear(s).

Note: Hearing losses from either a punctured eardrum or an acoustic trauma from a one-time blast or over-pressure are injuries, not illnesses.

(5) **All Other Occupational Illnesses.** All other occupational (i.e., work-related) illnesses. Examples: Heatstroke, sunstroke, heat exhaustion, heat stress and other effects of environmental heat; freezing, frostbite and other effects of exposure to low temperatures; decompression sickness; effects of ionizing radiation (e.g., isotopes, X-rays, radium); effects of nonionizing radiation (e.g., welding flash, ultraviolet rays, lasers); anthrax; bloodborne pathogenic diseases, such as acquired immune deficiency syndrome (AIDS), human immunodeficiency virus (HIV), hepatitis B or C; brucellosis; malignant or benign tumors; histoplasmosis; and coccidioidomycosis.

e. **Injury.** A traumatic wound or other condition of the body caused by external force or deprivation (e.g., fractures, lacerations, sprains, dislocations, concussions, compressions, drowning, suffocation, simple asphyxiation, punctured eardrum and acoustic trauma from a one-time blast or over-pressure), including stress or strain, which results from an unplanned event. The injury is identifiable as to the time and place of occurrence and member or function of the body affected and is caused by a specific event or series of events in a single day or work shift.

f. **Light Duty.** Applicable only to military personnel. The civilian equivalent of light duty is restricted work activity or job transfer. A duty status recommended after treatment of an injury that stipulates exactly the limitations on a military member during the recommended period, equivalent to placing a civilian in a restricted work status. When an injury or work-related 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.

g. **Limited Duty.** Applicable only to military personnel. The civilian equivalent of limited duty is restricted work activity or job transfer. 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 may be reassigned from their permanent duty station to a temporary duty station until the medical issue is resolved.

h. **Medical Treatment.** The management and care of a patient to combat disease or disorder. For the purposes of this manual, medical treatment does not include the actions in subparagraphs 211h(1) through 211h(3).

(1) Visits to a physician, other licensed health care professional or an independent duty corpsman solely for observation or counseling;

(2) The conduct of diagnostic procedures, such as X-rays and blood tests, including the administration of prescription medications used solely for diagnostic purposes (e.g., eye drops to dilate pupils); or

(3) Administering “first aid,” as defined in this glossary. Medical treatment does not include first aid treatment even though provided by a physician or other licensed health care professional.

i. **Permanent Partial Disability.** An injury or work-related illness that does not result in death or permanent total disability, but, in the opinion of competent medical authority, results in permanent impairment through loss of the use of any part of the body with the following exceptions: teeth, fingernails, toe nails, tips of fingers or tips of toes without bone involvement, repairable hernia, disfigurement or sprains or strains that do not cause permanent loss of motion.

Note: OSHA’s definition of “amputation” for civilian personnel includes fingertip amputations with or without bone loss, medical amputations resulting from irreparable damage and amputations of body parts that have since been reattached.

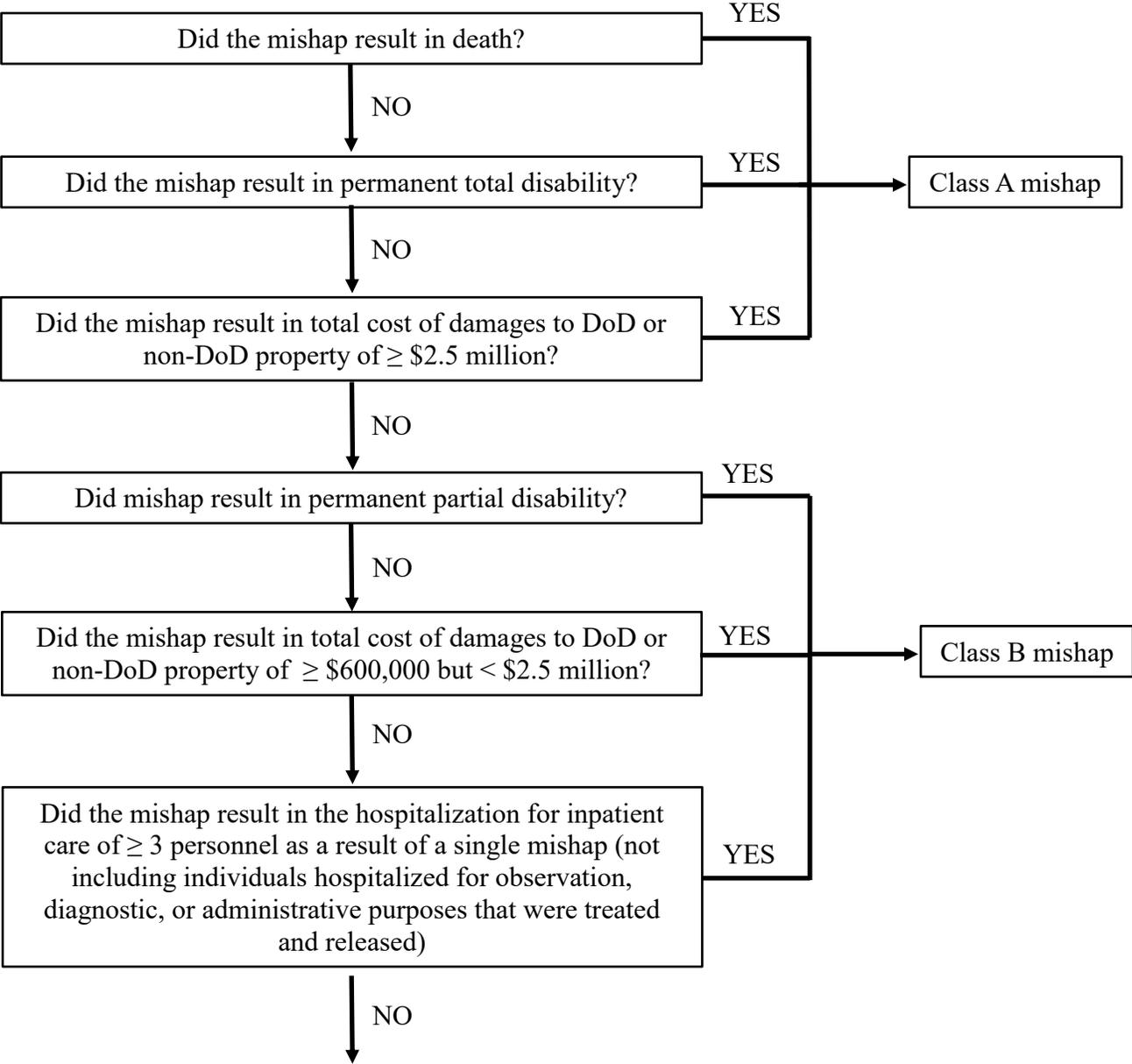
j. **Permanent Total Disability.** A non-fatal injury or work-related illness, in the opinion of competent medical authority, permanently and totally incapacitates a person to the extent that he or she cannot follow any gainful occupation.

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, must be considered as a permanent total disability.

k. **Restricted Work Activity or Job Transfer.** Applicable only to civilian personnel. 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 or full work shift 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 either light duty or limited duty.

212. Step 5. Determine a DON Mishap Class. Use figure 2-2 to assign a DON mishap class.



(Figure 2-2 continued on the next page)

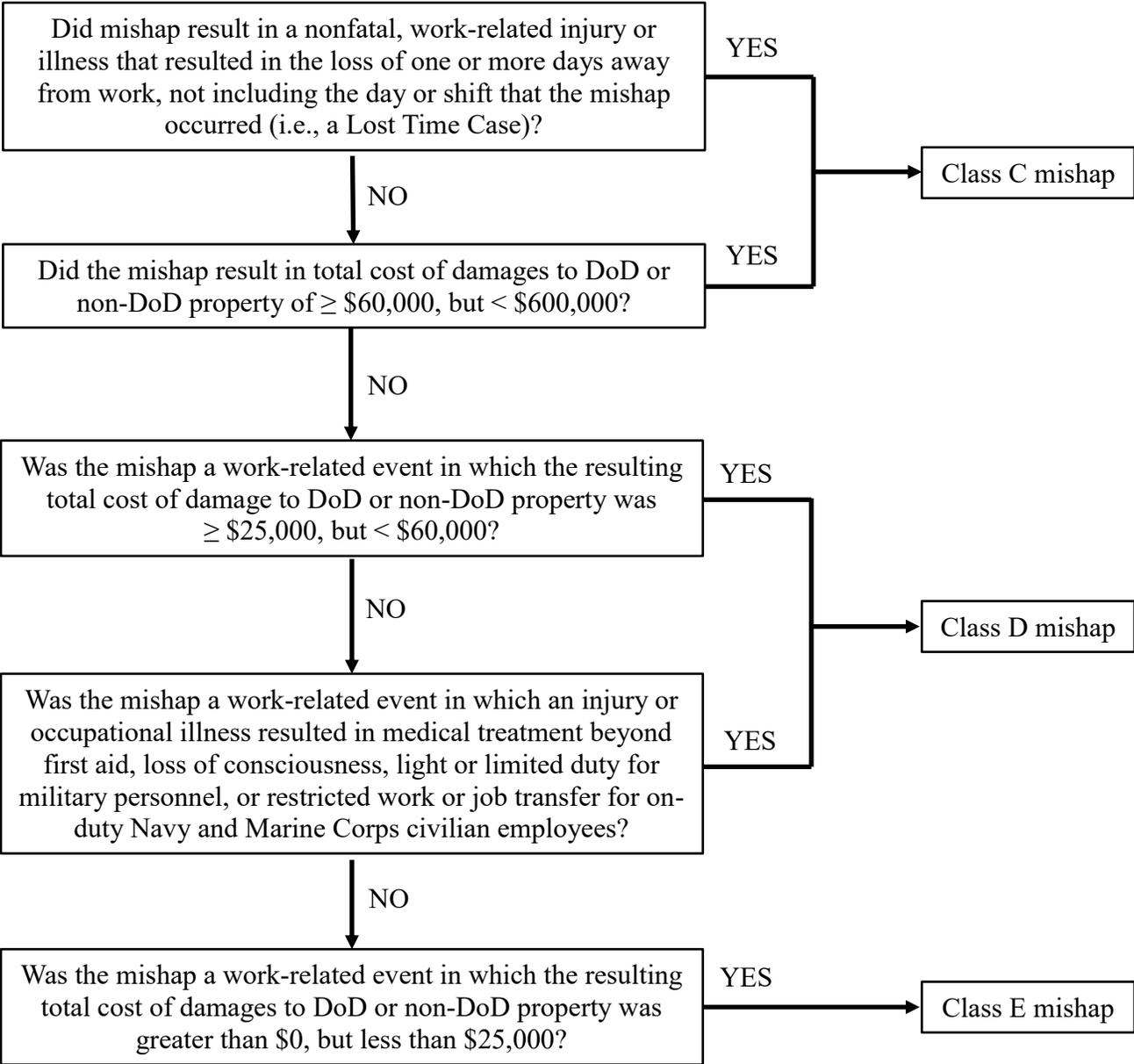


Figure 2-2. Assigning a DON Mishap Class

Notes: Class E mishap reporting is only a DON requirement under certain specific circumstances that are explained in this manual or when a controlling command directs its subordinates to report Class E mishaps. Controlling commands must put such a requirement in writing.

213. Step 6. Determine Whether the Mishap is in a DoD Special Reporting Group. Use table 2-10 to determine if the mishap falls into a DoD special reporting group. DoD special reporting groups will help you determine who must be notified. Notification requirements are in chapter 3.

DoD Special Reporting Group*	Characteristics of DoD Special Reporting Group
Serious	A Class A mishap; OR A Class B mishap resulting in inpatient hospitalization of three or more personnel.
Civilian Catastrophic	A mishap involving a civilian fatality; OR A mishap resulting in inpatient hospitalization of three or more personnel where at least one is a civilian.
Mishap with Fatality	A mishap associated with death.
Explosives	A Class A, B, C or D mishap resulting in damage or injury from: <ul style="list-style-type: none"> •An explosion or functioning of explosive materials or devices (except as a result of enemy action); •Inadvertent actuation, jettisoning and releasing or launching explosive devices; or <ul style="list-style-type: none"> •Impacts of ordnance off-range. OR A mishap in which explosives are present, even if there is no explosion. Note: Explosives present at the site of a mishap must have had direct involvement with the occurrence for this characteristic to be relevant; the proximity of explosives at a mishap site, by itself, does not qualify as a characteristic for this subcategory.
Serious Explosives	A serious mishap AND an explosives mishap. OR An explosives mishap including: <ul style="list-style-type: none"> •DoD military, civilian or contractor fatality; •Greater than \$600,000 property damage; •Greater than 72 hours lost production; •Major weapons system loss (tank, aircraft, ship or large missile); or •Probable high public interest.
Friendly Fire	Friendly fire incidents

DoD Special Reporting Group*	Characteristics of DoD Special Reporting Group
*A mishap may be included in more than one DoD Special Reporting Group.	

Table 2-10. DoD Special Reporting Groups

214. Step 7. Notify Appropriate Officials Based on Mishap Class, Category, DoD Special Reporting Group and Amplifying Instructions. Using the information from step 6, follow the notification requirements provided in chapter 3.

215. Step 8. Investigate the Mishap. Investigate the mishap using the guidelines provided in chapter 4.

216. Step 9. Report the Mishap. Prepare and submit the SIREP using the guidelines provided in chapter 4. SIREPs must be submitted in the RMI within 30 calendar days of the mishap for SIO investigations or 30 calendar days of convening for SIB investigations.

217. Step 10. Enter Required Information into the RMI for OSHA Recordable Events Involving Civilian Personnel.

a. The OSHA is only concerned with events involving work-related fatalities, injuries or illnesses of on-duty Navy or Marine Corps civilian personnel. All work-related fatalities, injuries or illnesses of military personnel, regardless if they are on- or off-duty, are not OSHA recordable. Lastly, the OSHA is not concerned with events involving only property damage.

b. Enter the required information in RMI for each OSHA recordable event so that an OSHA 301 Injury and Illness Incident Report and OSHA 300 can be generated. If the user cannot access RMI, manually fill out OSHA 300 and OSHA 301 or an equivalent form as a temporary measure until RMI access is reestablished. See Appendix D for details about obtaining copies of the OSHA forms. Paragraphs 217b(1) and 217b(2) provide a brief description of each form.

(1) OSHA 300 is a tabulation of work-related injuries and illnesses for civilians assigned to that establishment. See paragraph 705 for additional details.

(2) OSHA 301 is used to document the details of each recordable event. See paragraph 706 for additional details.

c. Paragraphs 217b(1) through 217b(15) list all fifteen of the OSHA’s record keeping requirements for recordable events involving new cases (i.e., not a reoccurrence of an existing one) of work-related civilian personnel fatalities, injuries or illnesses:

- (1) Death;
 - (2) Loss of consciousness;
 - (3) Days away from work;
 - (4) Restricted work activity;
 - (5) Job transfer;
 - (6) Medical treatment beyond first aid;
 - (7) Significant injury or illness that was diagnosed by a physician or other licensed health care professional;
 - (8) Cancer;
 - (9) Chronic irreversible disease;
 - (10) Fractured or cracked bone;
 - (11) Punctured eardrum;
 - (12) Needlestick injury or cut from sharp objects that are contaminated with another person's blood or other potentially infectious material;
- Note: "Sharps" refers to medical sharps such as scalpels, blades, disposable scissors, suture equipment, stylets and trocars, broken test tubes and glass.
- (13) Any case requiring an employee to be medically removed under the requirements of an OSHA health standard (e.g., asbestos, beryllium, bloodborne pathogens, chromium (VI), formaldehyde, ionizing radiation, lead, etc.);
 - (14) 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; or
 - (15) An employee's hearing test (i.e., audiogram) reveals that the employee has experienced a standard threshold shift (STS) in hearing in one or both ears (i.e., averaged at 2000, 3000 and 4000 hertz); and the employee's total hearing level is 25 dB or more above audiometric zero (i.e., also averaged at 2000, 3000 and 4000 hertz) in the same ear(s) as the STS.

218. Step 11. Determine if an Event Not Classified as a Mishap Still Requires a Mandatory Safety Report. Some events may not meet Class A through D mishap investigation and reporting thresholds, but require a mandatory safety report. The events in subparagraphs 218a through 218l are typically investigated and reported as either Class E mishaps, HAZREPs, incidents or reported by OPREP-3 message. These events are also included in the tables in chapter appendices 2-A through 2-E.

a. Afloat Cases of Groundings, Collisions and Allisions Not Meeting Class A through D Mishap Criteria. These must be investigated and reported. Investigate and report as a Class E mishap. See definitions of “collision” and “allision” in the glossary.

b. Afloat Cases of Flooding Not Meeting Class A through D Mishap Criteria. Flooding is defined as the intrusion of any fluid (e.g., water, fuel or sewage) into a compartment caused by a misalignment, negligence, failure to follow operating procedures, component failure or overflow caused by an unplanned event that causes the implementation of emergency flooding action. Investigate and report as a Class E mishap.

c. Diving Hazard, Including Near Miss Not Meeting Class A through D Mishap Criteria. These include, but are not limited to execution of emergency plan (e.g., unplanned shifting to secondary air, aborted dive due to unexpected issue or event, fouling and lost diver); exceeding any prescribed limits regardless of the consequences (e.g., unplanned exceptional exposure dives, maximum depth, bottom time, omitted decompression and oxygen exposures above allowed pulmonary oxygen limits); any out-of-specification condition discovered after equipment and systems are prepared for use (e.g., carbon dioxide (CO₂) canister installed or filled improperly, CO₂ canister not installed, exhaust valves installed improperly and system aligned improperly); and any external systems, equipment and conditions that may adversely affect or impair diver safety (e.g., ship's equipment operated or tags cleared without proper authorization before, during or after divers enter the water; unauthorized cranes operated overhead of divers; small boat operations conducted over or in the vicinity of divers; and unauthorized discharges while divers are in the water). Investigate and report as either a Class E mishap or HAZREP, as appropriate.

d. Electrical Shock (i.e., with no reportable injury). Investigate and report as a HAZREP.

e. Fall from Height (i.e., with no reportable injury). Any on-duty ashore fall from height of four feet or greater, any on-duty afloat or shipyard operations fall from height of five feet or greater, any on-duty vessel long shoring (i.e., cargo operations) fall from height of eight feet or greater, any impact or activation of fall arrest equipment or any failure of in-use fall protection equipment. Investigate and report as a HAZREP.

f. Fires Not Meeting Class A through D Mishap Criteria (i.e., but do meet the criteria in subparagraphs 218f(1) and 218f(2)). Investigate and report as either a Class E mishap or HAZREP, as appropriate. See definition of “Fire, Reportable” in the glossary.

(1) Reportable fires are any unintentional fires occurring on any naval installation (i.e., includes shipyards and industrial operations), ship or submarine to include small fires in which no personnel were injured and the material property damage was limited to the originally ignited materiel and not propagated to other materials. Evidence of previously unreported combustion or explosion must also be reported upon discovery. Reports solely based on acrid odor (i.e., no evidence of combustion upon inspection) are not required.

(2) Materiel damage of mechanical or structural systems. Fiscal thresholds for reporting based on replacement or repair costs that is caused solely by an overheat condition (e.g., materiel warping, discoloration, etc.) must be reported as a materiel failure mishap. Overheat conditions are where materiel destruction is solely due to high temperature and there is no evidence of self-sustained combustion. Electrical or electronic overheat conditions where there is evidence of combustion must be reported as a fire.

g. Helicopter Rope Suspension Technique (HRST), Air-Cargo Drop and Parachuting (i.e., with no reportable injury). Incidents, malfunctions and cut-aways, regardless of extent of injuries. Include any action or event preventing an airdrop item from functioning as it was intended or designed; any malfunctions where the failure of an airdrop item to function as it was intended or designed. Investigate and report as a Class E mishap if there was any injury or damage below the Class D mishap threshold or a HAZREP if there was no injury or damage.

h. Man Overboard (recovered). On-duty man overboard events. Investigate and report as either a Class E mishap or HAZREP, as appropriate.

i. Negligent Discharge of Weapon (i.e., with no reportable injury). On-duty or off-duty unintentional firing of a weapon for any reason, including mechanical failure, equipment malfunction or human error. Marine Corps commands must report as a Class E mishap. If the event does not meet mishap reporting thresholds, Navy commands must report by OPREP-3 message.

j. Tactical vehicle roll overs without injury when vehicle was being driven within the scope of normal operation. Investigate and report as a HAZREP.

k. Workplace Violence. See chapter appendices 2-A and 2-B for more information. If the event is below Class D mishap thresholds, report as an incident.

l. Explosive mishaps. Investigate and report explosive mishaps without injury as a Class E mishap. An explosion or functioning of explosive materials or devices (except as a result of enemy action); inadvertent actuation, jettisoning and release or launching explosive devices; or impacts of ordnance off-range.

Note: Includes mishaps where the ordnance system worked as designed and human error contributed to the mishap; live fire; inadvertent launch of a weapon; negligent discharges of all

guns, including small arms, marine location markers, flares, et cetera; and off-range ordnance impacts including all small arm ranges where ricochets cause bullets to impact outside surface danger zones.

Note: Hazard investigation and reporting, including investigation and reporting of near misses, is an essential component of a comprehensive mishap prevention program. The list of events in subparagraphs 218a through 218l that requires a mandatory safety report must not be construed as the exhaustive list of events that should be investigated and reported as a HAZREP.

APPENDIX 2-A
MILITARY PERSONNEL
EVENT REPORTABILITY AND RECORDABILITY CRITERIA

1. Applicability. Events where at least one of the involved personnel is a military member assigned to the U.S. Navy or U.S. Marine Corps.

Note: The definition of military personnel is provided in both chapter 2, subparagraph 207e and the glossary.

2. Special Instructions. Events may involve more than one type of mishap. If more than one type applies, then use the most severe one for classification purposes. Be sure to consult each of the applicable chapter 2 appendices for the criteria for all event types that may be applicable.

a. This chapter has separate appendices for reportable and recordable event criteria involving Military Personnel (Appendix 2-A), Civilian Personnel (Appendix 2-B), Contractors (Appendix 2-C), Non-Department of the Navy (DON) Civilians (Appendix 2-D) and Materiel and Property Damage (Appendix 2-E). As such, users should consult each of the various chapter 2 appendices on reportable and recordable criteria for other possible event types that may be applicable.

b. If an event occurs and that same event involves either on-duty civilian personnel and off-duty military personnel or on- and off-duty military personnel, then that event will be categorized as being on-duty.

c. If an event type or event circumstance is not listed in the table, refer to the detailed guidance provided in chapter 2.

3. How to Determine if an Event is Reportable or Recordable. Enter table 2-A-1 based upon the one or more applicable event type(s) involving military personnel. The notes in some event descriptions provide examples, important clarifications, exceptions, etc. The columns indicate whether the event is DON reportable and whether it is Occupational Safety and Health Administration (OSHA) recordable.

Note: Only events that involve a civilian on-duty injury or illness are OSHA recordable.

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Act of God (i.e., Natural Phenomenon) Injury	<p>On- or off-duty injury that resulted from an act of God (i.e., natural phenomenon) <u>and</u> adequate preparation, forecasting or communication actions <u>were not</u> taken.</p> <p>Notes: Examples include earthquakes, tornadoes, hurricanes, violent winds, extraordinarily high tides, mud slides, floods, etc.</p> <p>In order to determine if adequate actions <u>were not</u> taken, an investigation must be initiated.</p>	Yes	No
	<p>On- or off-duty injury that resulted from an act of God (i.e., natural phenomenon) <u>and</u> adequate preparation, forecasting or communication actions <u>were</u> taken.</p> <p>Notes: Examples include earthquakes, tornadoes, hurricanes, violent winds, extraordinarily high tides, mud slides, floods, etc.</p> <p>In order to determine if adequate actions <u>were</u> taken, an investigation must be initiated.</p>	No	No
Alcohol or Prescription Drug Use Fatality or Injury	<p>On- or off-duty fatality (<u>excluding suicide</u>) or injury (<u>excluding attempted suicide</u>), where a safety investigation determined that the use of alcohol, prescription drug or other substance was suspected as the <u>sole</u> contributing factor.</p> <p>Note: Includes unintentional alcohol or prescription drug overdose, etc., <u>regardless of age or potential disciplinary actions.</u></p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Bloodborne Pathogenic Disease	Work-related* illness that involved a bloodborne pathogenic disease. Notes: A “Privacy Concern Case.” Includes AIDS, HIV, hepatitis B or hepatitis C.	Yes	No
Chemical Agent Fatality, Injury or Illness	Class A, B, C or D fatality, injury or illness that involved any <u>unintentional or uncontrolled release</u> of a chemical agent where: individuals exhibit physiological symptoms of agent exposure; or the agent quantity released to the atmosphere was such that a serious potential for exposure was created by exceeding the applicable maximum allowable concentration-time levels for exposure of unprotected workers or the general population or property.	Yes	No
Cold Illness	On-duty low temperature exposure illness that required medical treatment beyond first-aid. Note: Includes hypothermia, frostbite, chilblain and cold water immersion foot.	Yes	No
Combat Zone Injury	Injury that occurred in a combat zone <u>and</u> was the result of <u>actual or suspected case of “friendly fire.”</u>	Yes	No
	Injury that occurred in a combat zone <u>and</u> was the result of the following: <u>Direct enemy action; or, a maneuver conducted relative to hostile fire, a perceived hostile threat or a perceived hostile force.</u>	No	No
Criminal Act Fatality or Injury	Off-duty fatality, injury or illness as a result of sexual assault**, vandalism, riots, civil disorders, sabotage, terrorist activities, arson or other criminal acts.	No	No
Diving Fatality, Injury,	On-duty diving operation that resulted in a fatality; hyperbaric/ recompression	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Near Miss or Hazard	<p>treatment (i.e., for any reason); loss of consciousness; or placing military personnel in a limited duty, non-dive duty (i.e., not physically qualified) or light duty status, <u>regardless of the amount of time lost</u>, with the exception of non-repetitive diving restrictions.</p> <p>Notes: Causes of diving mishaps include, but are not limited to, thermal exposure, dehydration, altitude sickness, excessive fatigue and breath-hold diving.</p> <p>For further guidance on diving mishaps, consult OPNAVINST 3150.27C.</p>		
	<p>On-duty diving operation that resulted in a near miss or hazard.</p> <p>Notes: Includes, but not limited to execution of emergency plan (e.g., unplanned shifting to secondary air, aborted dive due to unexpected issue or event, fouling and lost diver); exceeding any prescribed limits regardless of the consequences (e.g., maximum depth, bottom time, omitted decompression and oxygen exposures above allowed pulmonary oxygen limits); any out-of-specification condition discovered after equipment and systems are prepared for use (e.g., carbon dioxide (CO2) canister installed or filled improperly, CO2 canister not installed, exhaust valves installed improperly and system aligned improperly); and any external systems, equipment and conditions that may adversely affect or impair diver safety (e.g., ship's equipment operated or tags cleared without proper authorization before, during</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>or after divers enter the water; unauthorized cranes operated overhead of divers; small boat operations conducted over or in the vicinity of divers; and unauthorized discharges while divers are in the water).</p> <p>For further guidance on diving near misses and hazards (including near misses), consult OPNAVINST 3150.27D.</p>		
Drug Reaction	Death or injury that resulted directly from the <u>illegal</u> use of drugs or <u>other substance abuse</u> .	No	No
Electrical Shock	<p>On-duty electrical shock from electrical or electronic equipment, regardless of voltage or current source, regardless of intensity and regardless of whether intentional or unintentional.</p> <p>Note: Does not include a shock from static electricity.</p>	Yes	No
Electronic Cigarette Injury	On- or off-duty injury that resulted from use of an electronic cigarette (i.e., e-cigarette, personal vaporizer or electronic nicotine delivery system).	Yes	No
Escaping from or Eluding Custody or Arrest Fatality or Injury	Fatality or injury in the act of escaping from or eluding military or civilian custody or arrest.	No	No
Explosives Fatality, Injury or Illness	<p>Class A, B, C or D fatality, injury or illness that resulted from: an explosion or functioning of explosive materials or devices (except as a result of enemy action); inadvertent actuation, jettisoning and release or launching explosive devices; or impacts of ordnance off-range.</p> <p>Note: Includes mishaps where the ordnance system worked as designed and</p>	Yes (Weapons Mishap)	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	human error contributed to the mishap; live fire; inadvertent launch of a weapon; negligent discharges of all guns, including small arms (this includes discharge of weapon in government quarters or negligent discharges and ricochets during training on ranges), marine location markers, flares, et cetera; and off-range ordnance impacts including all small arm ranges where ricochets cause bullets to impact outside surface danger zones.		
Fall from Height	<p>On-duty <u>ashore</u> fall from height of <u>four feet or greater</u>, any deployment of fall arrest equipment or any failure of in-use fall protection equipment.</p> <p>Notes: At construction sites, workers (contractors only) must adhere to the threshold height no greater than six feet, per U.S. Army Corps of Engineers, Safety and Health Requirements Manual EM 385-1-1 and 29 CFR 1926.500, subpart M, Fall Protection in Construction Industry. When Navy and Marine Corps personnel visit construction sites to inspect contractor's work, they may comply with the six-foot threshold height because it would be infeasible to install guardrails at four foot height just for Navy and Marine Corps Personnel, when the OSHA Standards require a six-foot threshold height for construction workers.</p>	Yes	No
	On-duty <u>afloat</u> or <u>shipyard operations</u> fall from height of <u>five feet or greater</u> , any deployment of fall arrest equipment or any failure of in-use fall protection equipment.	Yes	No
	On-duty vessel <u>long shoring</u> (i.e., cargo operations) fall from height of <u>eight feet or</u>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<u>greater</u> , any deployment of fall arrest equipment or any failure of in-use fall protection equipment.		
Fatality or Permanent Total Disability	On- or off-duty injury or work-related* illness that resulted in a fatality or permanent total disability. In the case of a permanent total disability, in the opinion of a competent medical authority, the injury or work-related illness results in the permanent and total incapacitation of 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, must be considered as a permanent total disability.	Yes	No
	On-duty fatality or permanent total disability that, in the opinion of a competent medical authority, was associated with a medical event (e.g., chest pain, heart attack, coma, etc.) that commenced <u>during or after</u> a command-sponsored physical training (PT), physical readiness test (PRT), physical fitness test (PFT) or physical fitness assessment (PFA), <u>regardless of any pre-existing medical condition</u> .	Yes	No
Government Motor Vehicle (GMV) or Government Vehicle Other (GVO) Fatality or Injury	An incident or accident where a DoD government motor vehicle (GMV) or a DoD government vehicle other (GVO) was the cause and the incident or accident resulted in a fatality or injury of DoD personnel.	Yes	No
Hearing Loss	Work-related* hearing loss <u>illness</u> that resulted in either a permanent threshold shift (PTS) or significant threshold shift	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>(STS).</p> <p>Note: If an event or exposure in the work environment either caused or contributed to the hearing loss or significantly aggravated a pre-existing hearing loss, it is work-related.</p>		
	Work-related* hearing loss <u>injury</u> that resulted from a punctured eardrum.	Yes	No
	Work-related* hearing loss <u>injury</u> that resulted from an instantaneous event (e.g., acoustic trauma from a one-time blast or over-pressure).	Yes	No
Heat Illness	<p>On- or off-duty heat-related illness that required medical treatment beyond first-aid.</p> <p>Note: Includes the entire heat-related illness spectrum of conditions from heat rash, heat cramps, heat syncope (i.e., fainting), heat exhaustion, to heat stroke.</p>	Yes	No
Helicopter Rope Suspension Technique (HRST), Air-Cargo Drop or Parachuting Injury	<p>On-duty injury or illness that involved a HRST), air-cargo drop or parachuting (to include incidents, malfunctions and cut-aways) regardless of extent of injuries.</p> <p>Notes: An <u>incident</u> is defined as “any action or event preventing an airdrop item from functioning as it was intended or designed.” Some examples of incidents include, but are not limited to: Improperly setting the automatic opening device (AOD) that resulted in a dual canopy deployment; inadvertent or premature activations; entanglements resulting in reserve parachute deployment; high flair of the canopy resulting in jumper injury; parachutist loss of consciousness during</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>jump sequence; failure to hook up static line to anchor line cable for container delivery system (CDS); improper rigging procedures before, during or after the airdrop equipment was loaded in the aircraft; Joint Precision Aerial Delivery System (JPADS) with improperly loaded data; misrouted static lines that resulted in a towed jumper (cutaway or retrieved); and improper lock setting resulting in a loose platform or no-drop of equipment.</p> <p>A <u>malfunction</u> is defined as “the failure of an airdrop item to function as it was intended or designed.” Some examples of malfunctions include, but are not limited to: Failure of a main canopy to properly deploy, static line breaking, parachute panel or gore blowout, cargo parachute release failure and a JPADS that lands off the drop zone for reasons other than improperly loaded data.</p>		
Formal School Training (CIN Courses) Loss, Rollback or Disenrollment	Formal school training related injury, illness or other non-administrative occurrence that resulted in the loss of one or more training days, a rollback in training or disenrollment from a course.	Yes	No
Laser or Other Non-Ionizing Radiation Exposure, Suspected or Observed	<p>On-duty illness that resulted from either suspected or observed exposure to laser, radiofrequency (RF), ultra-violet rays or broadband sources, regardless of intensity or duration.</p> <p>Notes: Laser exposures include those resulting in temporarily blindness, flash blindness or disorientation. Other non-ionizing radiation exposures include welding flash.</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Light Duty or Limited Duty	<p>Work-related* injury or illness that resulted in light duty or limited duty.</p> <p>Notes: -<u>Light duty</u> is a status recommended after treatment of an injury that stipulates exactly the limitations on a military member during the recommended period, equivalent to placing a civilian in a restricted work status. When an injury or work-related 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.</p> - <u>Limited duty</u> is a 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 may be reassigned from their permanent duty station to a temporary duty station until the medical issue is resolved.	Yes	No
Loss of Consciousness	On-duty loss of consciousness, <u>regardless of the length of time unconscious.</u>	Yes	No
Man Overboard	On-duty man overboard (including suicide) incidents.	Yes	No
Medical Removal per Occupational Health Standard	Member medically removed from work by a physician or other licensed health care professional***, <u>under the requirements of an occupational health standard.</u>	Yes	No
Medical Treatment Beyond First Aid	Work-related* injury or illness, that resulted in <u>medical treatment beyond first aid.</u>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>Note: The injury may not have resulted in light duty, limited duty, sick in quarters, etc., but injured person received medical treatment.</p>		
Medically Diagnosed Significant Injury or Illness	<p>Significant injury or illness that was <u>diagnosed by a physician or other licensed health care professional*** as work-related*</u>, even if the injury or illness did not result in death, days away from work, restricted work or job transfer, medical treatment beyond first aid or loss of consciousness.</p> <p>Note: Examples of significant injury or illness include cancer, chronic irreversible diseases and fractured or cracked bones.</p>	Yes	No
Minimum Stress or Strain Injury	<p>Injury that resulted from <u>minimum stress or strain</u> that was <u>unrelated to mishap-producing agents or environments</u> normally associated with active participation in daily work or recreation.</p> <p>Note: Includes simple, natural and nonviolent body positions or actions, as in dressing, sleeping, coughing or sneezing.</p>	No	No
Murder	Attempted or consummated murder.	No	No
Natural Cause Death	Death due to natural causes <u>unrelated</u> to strenuous acts performed at work or to physical training associated with the requirement to pass physical standards.	No	No
Needlestick and Sharps Injury or Illness	<p>Work-related* needlestick or cut from sharp objects that were <u>contaminated</u> with another person’s blood or other potentially infectious material.</p> <p>Notes: “Sharps” refers to medical sharps</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>such as scalpels, blades, disposable scissors, suture equipment, stylets and trocars, broken test tubes and glass.</p> <p>A “Privacy Concern Case.” If the contaminated blood or other potentially infectious material is diagnosed as being infectious, then reclassify the injury as an illness.</p>		
Negligent Discharge of Weapon	<p>On- or off-duty unintentional firing of a weapon for any reason, including mechanical failure, equipment malfunction or human error.</p> <p>Note: A grenade “milking” is a negligent discharge of a weapon.</p>	Yes (Weapons Mishap)	No
Nuclear Propulsion Plant Fatality, Injury or Illness	Fatality, injury or work-related* illness associated with <u>non-nuclear-related machinery or components</u> on the <u>secondary side</u> of a naval nuclear propulsion plant.	Yes	No
	Fatality, injury or work-related* illness associated with the <u>primary side</u> of a naval nuclear propulsion plant.	Yes (Only by CNO N00N)	No
Nuclear Weapon, System or Component Fatality or Injury	Fatality or work-related* injury involving the handling of nuclear weapons, nuclear weapon systems or nuclear weapon components.	No	No
One or More Days Away from Work (i.e., lost time case)	<p>On- or off-duty injury or work-related* illness that resulted in one or more <u>full calendar days, weekends included</u>, that a person was unable to work, excluding the day of the mishap and the day returned to duty or work.</p> <p>Notes: Includes periods of time for sick in quarters, inpatient hospitalization,</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>convalescent leave and command-directed removal from duties. <u>If the Service Member is out for an extended period of time, use an estimate of the days that they will be away and update the day count when the actual number of days is known. You may "cap" the total days away at 180 calendar days. Include the number of calendar days away recommended by a physician or other licensed health care professional***. However, the days away must be recorded whether the injured or ill Service Member follows a physician or licensed health care professional's recommendation or not. End the count of days away from work on the date the physician or other licensed health care professional recommends that the Service Member return to work.</u></p> <p>Also includes Navy and Marine Corps reserve personnel, in a not physically qualified status sustained as a result of an injury at any time en route to, during or returning from drill or during annual training.</p>		
Permanent Partial Disability	<p>On- or off-duty injury or work-related* illness that resulted in permanent impairment or loss of any part of the body.</p> <p>Note: Exceptions include loss of teeth, loss of tips of fingers/toes <u>without bone loss</u>, repairable hernia, disfigurement and sprains or strains that do not cause permanent limitation of motion.</p>	Yes	No
Pre-Existing Condition	<p>An injury sustained before entry into Military Service, <u>unless the injury was specifically aggravated or accelerated by current tenure of service.</u></p>	No	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	An injury that resulted from a pre-existing musculoskeletal disorder, <u>unless the injury was specifically aggravated or accelerated by current tenure of service.</u>	No	No
	An injury or illness that was a pre-existing condition and resulted <u>solely</u> from a non-work-related event or exposure that occurred outside the work environment.	No	No
Private Motor Vehicle (PMV) Fatality or Injury	On- or off-duty fatality or injury of active duty military personnel as either a vehicle operator or passenger in a PMV accident. Note: Reservist military personnel under orders for annual training (AT), active duty training (ADT) or active duty for operational support (ADOS) are “active duty” for safety reporting purposes.	Yes	No
	On- or off-duty fatality or injury of reservist military personnel under inactive duty training (IDT) orders, as either a vehicle operator or passenger in a PMV accident.	Yes	No
	Fatality or injury of reservist military personnel <u>not under orders</u> , as either a vehicle operator or passenger in a PMV accident.	No	No
Self-Inflicted Injury	<u>Intentionally</u> self-inflicted injury.	No	No
Suicide	Attempted or consummated suicide.		
	Note: Except for man overboard. See on-duty “Man Overboard” Event Type or Event Circumstances.	No	No
Three or More Personnel Hospitalized for Inpatient Care	On- or off-duty injury or work-related* illness where three or more personnel were hospitalized for inpatient care (i.e., beyond observation, diagnostic testing,	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	administrative reasons or counseling) <u>as a result of a single mishap.</u>		
Tuberculosis Infection	Work-related* Tuberculosis (Tb) infection, as evidenced by a positive skin test or diagnosis by a physician or other licensed health care professional***, <u>after exposure to a known case of active tuberculosis.</u> Note: A “Privacy Concern Case.”	Yes	No
Workplace Violence**** Injury or Illness	An injury or illness resulting from violence or the threat of violence, against <u>on-duty</u> personnel. Notes: Examples of workplace violence include <u>on-duty</u> cases of injury or illness resulting from <u>sexual assault**</u> , being assaulted while standing duty or conducting an inspection, civil disorders, riots, sabotage, terrorist activities and arson. Sexual assault is a “Privacy Concern Case.”	Yes	No

Notes:

*All military personnel fatalities or injuries occurring aboard a public vessel are considered “work-related,” regardless if the affected person was on- or off-duty. An injury or illness is considered work-related if an event or exposure in the work environment either caused or contributed to the resulting condition or significantly aggravated a pre-existing injury or illness. Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless an exception specifically applies. These exceptions are listed in this table.

**See DoDI 6495.02, Volume 1 of 28 March 2013 (Sexual Assault Prevention and Response Program Procedures), OPNAVINST 1752.1C (Navy Sexual Assault Prevention and Response Program) (i.e., for Navy) and MCO 1752.5C (Sexual Assault Prevention and Response (SAPR) Program) (i.e., for Marine Corps) for program and reporting requirements for sexual assaults.

***A physician or other licensed health care professional is an individual whose legally permitted scope of practice (i.e., license, registration or certification) allows him or her to

independently perform or be delegated the responsibility to perform, the activities described by this manual. For purposes of this manual, Navy Independent Duty Corpsmen in operational environments without a licensed health care professional present, are considered to meet the criteria of a licensed health care professional.

****See DoDI 1438.06 of 16 January 2014 (DoD Workplace Violence Prevention and Response Policy).

Table 2-A-1. Military Personnel Event Reportability and Recordability Criteria

APPENDIX 2-B
CIVILIAN PERSONNEL
EVENT REPORTABILITY AND RECORDABILITY CRITERIA

1. Applicability. All of the civilian personnel in subparagraphs 1a through 1c, when on duty, where at least one of the personnel (i.e., military or civilian) involved in an event is assigned to the Navy or Marine Corps.
 - 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 U.S. Government 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 foreign nationals employed by the U.S. Government in direct (appropriated or non-appropriated funds) or indirect hire (contract or fee basis) status when the U.S. Government 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 must review and determine if the host nation injury and illness reporting and compensation systems supersede Department of Defense (DoD) requirements per the status of forces' agreement.
2. Special Instructions. Events may involve more than one type of mishap. If more than one type applies, then use the most severe one for classification purposes. Be sure to consult each of the applicable chapter 2 appendices for the criteria for all event types that may be applicable.
 - a. This chapter has separate appendices for reportable and recordable event criteria involving Military Personnel (Appendix 2-A), Civilian Personnel (Appendix 2-B), Contractors (Appendix 2-C), Non-Department of the Navy (DON) Civilians (Appendix 2-D) and Materiel and Property Damage (Appendix 2-E). As such, users should consult each of the various chapter 2 appendices on reportable and recordable criteria for other possible event types that may be applicable.
 - b. If an event occurs and that same event involves either on-duty civilian personnel and off-duty military personnel or on- and off-duty military personnel, then that event will be categorized as being on-duty.

c. If an event type or event circumstance is not listed in the table, refer to the detailed guidance provided in chapter 2.

3. How to Determine if an Event is Reportable or Recordable. Enter table 2-B-1 based upon the one or more applicable event type(s) involving civilian personnel. The notes in some event descriptions provide examples, important clarifications, exceptions, etc. The columns indicate whether the event is DON reportable and whether it is (Occupational Safety and Health Administration) OSHA recordable.

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Act of God (i.e., Natural Phenomenon) Injury	On-duty injury that resulted from an act of God (i.e., natural phenomenon) <u>and</u> adequate preparation, forecasting or communication actions <u>were not</u> taken. Notes: Examples include earthquakes, tornadoes, hurricanes, violent winds, extraordinarily high tides, mud slides, floods, etc. In order to determine if adequate actions <u>were not</u> taken, an investigation must be initiated.	Yes	Yes
	On-duty injury that resulted from an act of God (i.e., natural phenomenon) <u>and</u> adequate preparation, forecasting or communication actions <u>were</u> taken. Notes: Examples include earthquakes, tornadoes, hurricanes, violent winds, extraordinarily high tides, mud slides, floods, etc. In order to determine if adequate actions <u>were</u> taken, an investigation must be initiated.	Yes	Yes
Alcohol or Prescription Drug Use Fatality or Injury	On-duty fatality (<u>excluding suicide</u>) or injury (<u>excluding attempted suicide</u>), where a safety investigation determined that the <u>legal use</u> of alcohol, a prescription drug or	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>other substance was suspected as the <u>sole</u> contributing factor.</p> <p>Note: Includes unintentional alcohol or drug overdose, etc.</p>		
<p>Amputation (OSHA term)</p>	<p>On-duty traumatic loss of a limb or other external body part, that <u>occurred within 24 hours of a work-related* injury or illness</u>. Amputations include a part, such as a limb or appendage that has been severed, cut off, amputated (either completely or partially); fingertip amputations <u>with or without bone loss</u>; medical amputations resulting from irreparable damage; and amputations of body parts that have since been reattached.</p> <p>Note: Amputations do not include avulsions, enucleations, degloving, scalpings, severed ears or broken or chipped teeth.</p>	<p>(see Permanent Total Disability and Permanent Partial Disability)</p>	<p>Yes</p>
<p>Bloodborne Pathogenic Disease</p>	<p>Work-related* illness that involved a bloodborne pathogenic disease.</p> <p>Notes: A “Privacy Concern Case.” Includes AIDS, HIV, hepatitis B or hepatitis C.</p>	<p>Yes</p>	<p>Yes</p>
<p>Chemical Agent Fatality, Injury or Illness</p>	<p>Class A, B, C or D fatality, injury or illness that involved any <u>unintentional or uncontrolled release</u> of a chemical agent where: individuals exhibit physiological symptoms of agent exposure; or the agent quantity released to the atmosphere was such that a serious potential for exposure was created by exceeding the applicable maximum allowable concentration-time levels for exposure of unprotected workers or the general population or property.</p>	<p>Yes</p>	<p>Yes</p>

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Cold Illness	On-duty work-related* low temperature exposure illness that required medical treatment beyond first-aid. Note: Includes hypothermia, frostbite, chilblain and cold water immersion foot.	Yes	Yes
Combat Zone Injury	Injury that occurred in a combat zone <u>and</u> was the result of <u>actual or suspected case of “friendly fire.”</u>	Yes	No**
	Injury that occurred in a combat zone <u>and</u> was the result of the following: <u>Direct enemy action; or, a maneuver conducted relative to hostile fire, a perceived hostile threat or a perceived hostile force.</u>	No	No**
Common Cold	Illness was the common cold.	No	No
Commuting to/from Work on U.S. Government Property Injury or Illness	Injury or illness was caused by a motor vehicle accident and occurred on a U.S. Government parking lot or U.S. Government access road <u>while the employee was commuting</u> between their home and main or regular place of work.	No	No
Criminal Act Fatality, Injury or Illness	Off-duty fatality, injury or illness as a result of sexual assault***, vandalism, riots, civil disorders, sabotage, terrorist activities, arson or other criminal acts.	No	No
Diving Fatality, Injury, Near Miss or Hazard	On-duty diving operation that resulted in a fatality; hyperbaric or recompression treatment (i.e., for any reason); loss of consciousness; or placing civilian personnel in a restricted work or non-dive duty (i.e., not physically qualified), regardless of the amount of time lost, with the exception of non-repetitive diving restrictions. Notes: Causes of diving mishaps include, but are not limited to, thermal exposure,	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>dehydration, altitude sickness, excessive fatigue and breath-hold diving.</p> <p>For further guidance on diving mishaps, consult OPNAVINST 3150.27D.</p>		
	<p>On-duty diving operation that resulted in a near miss or hazard.</p> <p>Notes: Includes, but not limited to execution of emergency plan (e.g., unplanned shifting to secondary air, aborted dive due to unexpected issue or event, fouling and lost diver); exceeding any prescribed limits regardless of the consequences (e.g., maximum depth, bottom time, omitted decompression and oxygen exposures above allowed pulmonary oxygen limits); any out-of-specification condition discovered after equipment and systems are prepared for use (e.g., carbon dioxide (CO2) canister installed or filled improperly, CO2 canister not installed, exhaust valves installed improperly and system aligned improperly); and any external systems, equipment and conditions that may adversely affect or impair diver safety (e.g., ship's equipment operated or tags cleared without proper authorization before, during or after divers enter the water; unauthorized cranes operated overhead of divers; small boat operations conducted over or in the vicinity of divers; and unauthorized discharges while divers are in the water).</p> <p>For further guidance on diving near misses and hazards (including near misses), consult OPNAVINST 3150.27C.</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Drug Reaction	<p>On-duty unexpected adverse bodily reaction that resulted directly from the use of <u>legally prescribed medicines taken as a condition of employment</u>, that occurred <u>outside of a medical facility</u>.</p> <p>Note: Includes drug-drug interactions, drug-food interactions, drug-beverage interactions and drug-disease interactions.</p>	Yes	No**
	<p>Death or injury that resulted directly from the <u>illegal</u> use of drugs or <u>other substance abuse</u>.</p>	No	No
Electrical Shock	<p>On-duty electrical shock from electrical or electronic equipment, regardless of voltage or current source, regardless of intensity and regardless of whether intentional or unintentional.</p> <p>Note: Does not include a shock from static electricity.</p>	Yes	No**
Escaping from or Eluding Custody or Arrest Fatality or Injury	Fatality or injury in the act of escaping from or eluding military or civilian custody or arrest.	No	No
Explosives Fatality, Injury or Illness	<p>On-duty Class A, B, C or D fatality, injury or illness that resulted from: an explosion or functioning of explosive materials or devices (except as a result of enemy action); inadvertent actuation, jettisoning and release or launching explosive devices; or impacts of ordnance off-range.</p> <p>Note: Includes live fire, inadvertent launch of a weapon; negligent discharges of all guns, including small arms (this includes discharge of weapon in government quarters or negligent discharges and ricochets during training on ranges), marine location markers, flares, et cetera; and off-</p>	Yes (Weapons Mishap)	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	range ordnance impacts including all small arm ranges where ricochets cause bullets to impact outside surface danger zones.		
Fall from Height	<p>On-duty <u>ashore</u> fall from height of <u>four feet or greater</u>, any deployment of fall arrest equipment or any failure of in-use fall protection equipment.</p> <p>Notes: At construction sites, workers (contractors only) must adhere to the threshold height no greater than six feet, per U.S. Army Corps of Engineers, Safety and Health Requirements Manual EM 385-1-1 and 29 CFR 1926.500, subpart M, Fall Protection in Construction Industry. When Navy and Marine Corps personnel visit construction sites to inspect contractor’s work, they may comply with the six-foot threshold height because it would be infeasible to install guardrails at four foot height just for Navy and Marine Corps Personnel, when the OSHA Standards require a six-foot threshold height for construction workers.</p>	Yes	No**
	On-duty <u>afloat</u> or shipyard operations fall from height of <u>five feet or greater</u> , any deployment of fall arrest equipment or any failure of in-use fall protection equipment.	Yes	No**
	On-duty vessel <u>long shoring</u> (i.e., cargo operations) fall from height of <u>eight feet or greater</u> , any deployment of fall arrest equipment or any failure of in-use fall protection equipment.	Yes	No**
Fatality	<p>On-duty work-related* injury or illness that resulted in a fatality <u>occurring within 30 days of that work-related injury or illness.</u></p> <p>Note: Includes heart attacks.</p>	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Flu	Illness was the flu (i.e., influenza virus).	No	No
Food or Beverage Consumption Injury or Illness	Illness that resulted from ingesting a food or beverage contaminated by workplace contaminants (e.g., lead) or resulted in food poisoning from a food or beverage <u>supplied by the employer</u> .	Yes	Yes
	Injury or illness was <u>solely</u> the result of an employee eating, drinking or preparing food or drink for <u>personal consumption</u> (whether bought on the employer’s premises or brought in).	No	No
	Note: Includes if the employee was injured by choking on food while in the employer’s establishment.		
Government Motor Vehicle (GMV) or Government Vehicle Other (GVO) Fatality or Injury	An incident or accident where a DoD government motor vehicle (GMV) or a DoD government vehicle other (GVO) was the cause and the incident or accident resulted in a fatality or injury of DoD personnel.	Yes	Yes or No**
Hearing Loss	Work-related* hearing loss <u>illness</u> that resulted in either a permanent threshold shift (PTS) or significant threshold shift (STS).	Yes	Yes (OSHA uses the term “Standard Threshold Shift (STS)”)
	Notes: If an event or exposure in the work environment either caused or contributed to the hearing loss or significantly aggravated a pre-existing hearing loss, it is work-related.		
	Work-related* hearing loss <u>injury</u> that resulted from a punctured eardrum.	Yes	Yes
	Work-related* hearing loss <u>injury</u> that resulted from an instantaneous event (e.g., acoustic trauma from a one-time blast or over-pressure).	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Heat Illness	<p>On-duty work-related* heat-related illness that required medical treatment beyond first-aid.</p> <p>Note: Includes the entire heat-related illness spectrum of conditions from heat rash, heat cramps, heat syncope (i.e., fainting), heat exhaustion, to heat stroke.</p>	Yes	Yes
Helicopter Rope Suspension Technique (HRST), Air-Cargo Drop or Parachuting Injury	<p>On-duty injury or illness that involved a helicopter rope suspension technique (HRST), air-cargo drop or parachuting (to include incidents, malfunctions and cut-aways) regardless of extent of injuries.</p> <p>Notes: An <u>incident</u> is defined as “any action or event preventing an airdrop item from functioning as it was intended or designed.” Some examples of incidents include, but are not limited to: Improperly setting the automatic opening device (AOD) that resulted in a dual canopy deployment; inadvertent or premature activations; entanglements resulting in reserve parachute deployment; high flair of the canopy resulting in jumper injury; parachutist loss of consciousness during jump sequence; failure to hook up static line to anchor line cable for container delivery system (CDS); improper rigging procedures before, during or after the airdrop equipment was loaded in the aircraft; Joint Precision Aerial Delivery System (JPADS) with improperly loaded data; misrouted static lines that resulted in a towed jumper (cutaway or retrieved); and improper lock setting resulting in a loose platform or no-drop of equipment.</p> <p>A <u>malfunction</u> is defined as “the failure of</p>	Yes	No**

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>an airdrop item to function as it was intended or designed.” Some examples of malfunctions include, but are not limited to: Failure of a main canopy to properly deploy, static line breaking, parachute panel or gore blowout, cargo parachute release failure and a JPADS that lands off the drop zone for reasons other than improperly loaded data</p>		
<p>High-Risk or Moderate-Risk Formal School Training Loss, Rollback or Disenrollment</p>	<p>On-duty high-risk or moderate-risk formal school training-related injury or illness that resulted in the loss of one or more training days, a rollback in training or a disenrollment of the student from a course.</p>	<p>Yes</p>	<p>No**</p>
<p>In-Patient Hospitalization</p>	<p>On-duty work-related* injury or illness that resulted in the in-patient hospitalization (i.e., beyond observation, diagnostic testing, administrative reasons or counseling) of one or more employees, <u>occurring within 24 hours of that work-related injury or illness.</u></p> <p>Note: See also “One or More Days Away from Work (i.e., lost time)” consequence type.</p>	<p>Yes</p>	<p>Yes</p>
<p>Job Transfer</p>	<p>On-duty work-related* injury or illness that resulted in a job transfer.</p> <p>Note: Does not include a transfer made <u>only</u> for the day on which the injury occurred or the illness began.</p>	<p>Yes</p>	<p>Yes</p>
<p>Laser or Other Non-Ionizing Radiation Exposure, Suspected or Observed</p>	<p>On-duty work-related* illness that resulted from either suspected or observed exposure to laser, radiofrequency (RF), ultra-violet rays or broadband sources, regardless of intensity or duration.</p> <p>Notes: Laser exposures include those</p>	<p>Yes</p>	<p>Yes</p>

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	resulting in temporarily blindness, flash blindness or disorientation. Other non-ionizing radiation exposures include welding flash.		
Loss of An Eye	On-duty loss of an eye, that <u>occurred within 24 hours of a work-related* injury or illness.</u>	Yes	Yes
Loss of Consciousness	On-duty work-related* injury or illness that resulted in a loss of consciousness, <u>regardless of the length of time unconscious.</u>	Yes	Yes
Man Overboard	On-duty man overboard (including suicide) incidents.	Yes	No**
Medical Removal per Occupational Health Standard	Member medically removed from work by a physician or other licensed health care professional****, <u>under the requirements of an occupational health standard.</u>	Yes	Yes
Medical Treatment Beyond First Aid	On-duty work-related* injury or illness that resulted in <u>medical treatment beyond first aid.</u>	Yes	Yes
Medically Diagnosed Significant Injury or Illness	Significant injury or illness that was <u>diagnosed by a physician or other licensed health care professional**** as work-related*</u> , even if the injury or illness did not result in death, days away from work, restricted work or job transfer, medical treatment beyond first aid or loss of consciousness. Notes: Examples of significant injury or illness include cancer, chronic irreversible diseases and fractured or cracked bones. When an employee reports symptoms that have appeared gradually and the medical determination is that the injury or illness is a result of chronic work-related exposure, the date of the first medical visit and	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	diagnosis becomes the respective “date of injury” or “date of illness.”		
Mental Illness	Illness was a mental illness. Notes: A “Privacy Concern Case” only if work-related. Mental illness will not be considered work-related* unless the employee voluntarily provides the employer with an opinion from a physician or other licensed health care professional**** with appropriate training and experience (e.g., psychiatrist, psychologist, psychiatric nurse practitioner, etc.) stating that the employee has a mental illness that is work-related.	No	No
Minimum Stress or Strain Injury	Injury that resulted from <u>minimum stress or strain</u> that was <u>unrelated to mishap-producing agents or environments</u> normally associated with active participation in daily work or recreation. Note: Includes simple, natural and nonviolent body positions or actions, as in dressing, sleeping, coughing or sneezing.	No	No
Murder	Attempted or consummated murder.	No	No
Natural Cause Death	Death due to natural causes <u>unrelated</u> to strenuous acts performed at work or to physical training associated with the requirement to pass physical standards.	No	No
Needlestick and Sharps Injury or Illness	Work-related* needlestick or cut from sharp objects that were <u>contaminated</u> with another person’s blood or other potentially infectious material. Notes: “Sharps” refers to medical sharps such as scalpels, blades, disposable scissors, suture equipment, stylets and	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	trocars, broken test tubes and glass. A “Privacy Concern Case.” If the contaminated blood or other potentially infectious material is diagnosed as being infectious, then reclassify the injury as an illness.		
Negligent Discharge of Weapon	On-duty unintentional firing of a weapon for any reason, including mechanical failure, equipment malfunction or human error. Note: A grenade “milking” is a negligent discharge of a weapon.	Yes (Weapons Mishap)	No**
Non-Work-Related Event or Exposure	An injury or illness that involved signs or symptoms that surface at work, but resulted <u>solely from a non-work-related event or exposure that occurs outside the work environment.</u>	No	No
Nuclear Propulsion Plant Fatality, Injury or Illness	On-duty fatality or work-related* injury associated with <u>non-nuclear-related machinery or components on the secondary side</u> of a naval nuclear propulsion plant.	Yes	Yes
	On-duty fatality or work-related* injury or illness associated with the <u>primary side</u> of a naval nuclear propulsion plant.	Yes (Only by CNO N00N)	Yes (Only by CNO N00N)
Nuclear Weapon, System or Component Fatality, Injury or Illness	On-duty fatality or work-related* injury involving the <u>handling</u> of nuclear weapons, nuclear weapon systems or nuclear weapon components.	Yes	Yes
One or More Days Away from Work (i.e., lost-time case)	On-duty work-related* injury or illness that resulted in one or more <u>full calendar days, weekends included or a full work shift</u> , that a person was unable to work, excluding the day of the mishap and the day returned to duty or work.	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>Notes: Includes periods of time for inpatient hospitalization and any leave associated with the mishap (e.g., annual leave, sick leave, continuation of pay leave, leave without pay granted, etc.). <u>If the employee is out for an extended period of time, use an estimate of the days that the employee will be away and update the day count when the actual number of days is known. You may "cap" the total days away at 180 calendar days.</u> Include the number of calendar days away recommended by a physician or other licensed health care professional****. However, the days away must be recorded whether the injured or ill employee follows a physician or licensed health care professional's recommendation or not. <u>End the count of days away from work on the date the physician or other licensed health care professional recommends that the employee return to work.</u></p>		
<p>Permanent Partial Disability (DoD term)</p>	<p>On-duty work-related* injury or illness that resulted in permanent impairment or loss of any part of the body.</p> <p>Notes: For civilian personnel, see also "Amputation" consequence type. Exceptions include loss of teeth, loss of tips of fingers/toes <u>without bone loss</u>, repairable hernia, disfigurement and sprains or strains that do not cause permanent limitation of motion.</p>	<p>Yes</p>	<p>(see Amputation)</p>
<p>Permanent Total Disability (DoD term)</p>	<p>On-duty work-related* injury or illness, in the opinion of competent medical authority, that resulted in the permanent and total incapacitation of a person to the extent that he or she cannot follow any gainful</p>	<p>Yes</p>	<p>(see Amputation)</p>

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>occupation.</p> <p>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, must be considered as a permanent total disability.</p>		
Personal Grooming Injury or Illness	Injury or illness was <u>solely</u> the result of personal grooming.	No	No
Pre-Existing Condition	An injury sustained before entry into employment by the U.S. Government, <u>unless the injury was specifically aggravated or accelerated by current tenure of service.</u>	No	No
	An injury that resulted from a pre-existing musculoskeletal disorder, <u>unless the injury was specifically aggravated or accelerated by current tenure of service.</u>	No	No
	An injury or illness that was a pre-existing condition and resulted <u>solely</u> from a non-work-related event or exposure that occurred outside the work environment.	No	No
Restricted Work Activity	<p>On-duty work-related* injury or illness that resulted in one or more <u>full calendar days</u> or <u>full work shifts</u> of restricted work activity <u>beyond the day or shift on which the injury occurred or the illness began.</u></p> <p>Notes: Restricted work activity occurs when, as the result of a work-related injury or illness, a supervisor or health care professional keeps or recommends keeping, a civilian employee from doing all of the routine functions of his or her job or from working the full workday or <u>full work shift</u> that the employee would have been</p>	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p>scheduled to work before the injury or illness occurred.</p> <p><u>Routine functions</u> are those <u>work activities</u> the employee regularly performs at least once per week.</p>		
Self-Inflicted Injury	<u>Intentionally</u> self-inflicted injury.	No	No
Self-Medication Injury or Illness	Injury or illness was <u>solely</u> the result of self-medication for a <u>non-work-related condition</u> .	No	No
Suicide	<p>Attempted or consummated suicide.</p> <p>Note: Except for man overboard. See on-duty “Man Overboard” Event Type or Event Circumstances.</p>	No	No
Travel Status Injury or Illness	<p>Injury or illness that occurred <u>while an employee was on travel status</u>, if at the time of the injury or illness, <u>the employee was engaged in work activities “in the interest of the employer.”</u></p> <p>Note: Includes activities such as travel to and from customer contacts, conducting job tasks and entertaining or being entertained to transact, discuss or promote business (work-related* entertainment includes only entertainment activities being engaged in at the direction of the employer).</p>	Yes	Yes
	Injury or illness that occurred <u>while an employee was on travel status</u> and was on a <u>personal detour from a reasonably direct route of travel</u> (e.g., has taken a side trip for personal reasons).	No	No
	Injury or illness that occurred <u>while an employee was on travel status</u> and was <u>checked into a hotel, motel or other temporary residence</u> [funded in whole or in	No	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p><u>part, by the employer]; whereby, establishing a “home away from home.”</u></p> <p>Note: When the employee begins work each day, they re-enter the work environment. <u>An exception would be if the employee was engaged in work activities “in the interest of the employer” even while inside the hotel, motel or other temporary residence [funded in whole or in part, by the employer].</u></p>		
Tuberculosis Infection	<p>Work-related* Tuberculosis (Tb) infection, as evidenced by a positive skin test or diagnosis by a physician or other licensed health care professional****, <u>after exposure to a known case of active tuberculosis.</u></p> <p>Note: A “Privacy Concern Case.”</p>	Yes	Yes
Voluntary Participation Activities Injury or Illness	<p>The injury or illness resulted <u>solely</u> from <u>voluntary participation</u> in a wellness program or in a medical, fitness or recreational activity such as blood donation, physical examination, flu shot, exercise class, racquetball or baseball.</p>	No	No
Work Outside Assigned Work Hours Injury or Illness	<p>Injury or illness was <u>solely</u> the result of an employee doing <u>personal tasks</u> (i.e., unrelated to their employment) at their work establishment <u>outside of the employee’s assigned working hours.</u></p>	No	No
Workplace Violence***** Injury or Illness	<p>An injury or illness resulting from violence or the threat of violence, against <u>on-duty</u> civilian personnel.</p> <p>Notes: Examples of workplace violence include <u>on-duty</u> cases of injury or illness resulting from <u>sexual assault***</u>, being assaulted while standing duty or conducting</p>	Yes	Yes

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	an inspection, civil disorders, riots, sabotage, terrorist activities and arson. Sexual assault is a “Privacy Concern Case.”		

Notes:

*All civilian personnel fatalities or injuries occurring aboard a public vessel are considered “work-related,” regardless if the affected person was on- or off-duty. An injury or illness is considered work-related if an event or exposure in the work environment either caused or contributed to the resulting condition or significantly aggravated a pre-existing injury or illness. Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless an exception specifically applies. These exceptions are listed in this table.

****Unless work-related* and also resulted in at least one of the following:** Fatality, cancer, chronic irreversible disease, fractured or cracked bone, punctured eardrum, significant work-related* injury or illness that is diagnosed by a physician or other licensed health care professional***, medical removal under the requirements of an OSHA health standard, loss of consciousness, days away from work, restricted work activity or job transfer or medical treatment beyond first aid.

*****See DoDI 6495.02, Volume 1 of 28 March 2013 (Sexual Assault Prevention and Response Program Procedures), OPNAVINST 1752.1C (Navy Sexual Assault Prevention and Response Program) (i.e., for Navy) and MCO 1752.5C (Sexual Assault Prevention and Response (SAPR) Program) (i.e., for Marine Corps) for program and reporting requirements for sexual assaults.**

******A physician or other licensed health care professional is an individual whose legally permitted scope of practice (i.e., license, registration or certification) allows him or her to independently perform or be delegated the responsibility to perform, the activities described by this manual. For purposes of this manual, Navy Independent Duty Corpsmen in operational environments without a licensed health care professional present, are considered to meet the criteria of a licensed health care professional.**

*******See DoDI 1438.06 of 16 January 2014 (DoD Workplace Violence Prevention and Response Policy).**

Table 2-B-1. Civilian Personnel Event Reportability and Recordability Criteria

APPENDIX 2-C
CONTRACTOR-INVOLVED
EVENT REPORTABILITY AND RECORDABILITY CRITERIA

1. Applicability. All personnel, facilities, equipment, property or materiel associated with a Navy or Marine Corps contract.

2. Special Instructions. Events may involve more than one type of mishap. If more than one type applies, then use the most severe one for classification purposes. Be sure to consult each of the applicable chapter 2 appendices for the criteria for all event types that may be applicable.

a. This chapter has separate appendices for reportable and recordable event criteria involving Military Personnel (Appendix 2-A), Civilian Personnel (Appendix 2-B), Contractors (Appendix 2-C), Non-Department of the Navy (DON) Civilians (Appendix 2-D) and Materiel and Property Damage (Appendix 2-E). As such, users should consult each of the various chapter 2 appendices on reportable and recordable criteria for other possible event types that may be applicable.

b. If an event type or event circumstance is not listed in the table, refer to the detailed guidance provided in chapter 2.

3. How to Determine if an Event is Reportable or Recordable. Enter table 2-C-1 based upon the one or more applicable event type(s) that involved contractors. The notes in some event descriptions provide examples, important clarifications, exceptions, etc. The columns indicate whether the event is DON reportable and whether it is Occupational Safety and Health Administration (OSHA) recordable.

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Combat Zone Fatality or Injury	On-duty contractor employee fatality or work-related* injury that occurred in a combat zone <u>and</u> was the result of <u>actual or suspected case of "friendly fire."</u>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	On-duty contractor employee fatality or injury that occurred in a combat zone <u>and</u> was the result of the following: <u>Direct enemy action; or, a maneuver conducted relative to hostile fire, a perceived hostile threat or a perceived hostile force.</u>	No	No
Contractor Caused Damage	Public or private property damage <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee that was <u>under the direct supervision of DON personnel**</u> and the Navy or Marine Corps <u>had the means</u> to correct, control, eliminate or prevent the damage. Note: Mishaps that occur aboard a DON vessel that resulted from private contractor operations are ground (industrial) mishaps, not afloat mishaps. The contracting Navy or Marine Corps command, unit or activity will record the mishap within the DON.	Yes	No
	Public or private property damage <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee that was <u>under the direct supervision of DON personnel**</u> and the Navy or Marine Corps <u>did not have the means</u> to correct, control, eliminate or prevent the damage.	No	No
	Public or private property damage <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee that was <u>not under the direct supervision of DON personnel**</u> .	No	No
	Public or private property damage <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee and the <u>damage was fully restored by the contractor</u> at the contractor's <u>sole</u> expense.	No	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Contractor Caused Fatality, Injury or Illness	<p>Any fatality, injury or illness <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee that was <u>under the day-to-day supervision of DON personnel</u>** and the Navy or Marine Corps <u>had the means</u> to change the work environment or correct, control, eliminate or prevent the workplace hazard or mishap.</p> <p>Notes: Mishaps that occur aboard a DON vessel that resulted from private contractor operations are ground (industrial) mishaps, not afloat mishaps. The contracting Navy or Marine Corps command, unit or activity will record the mishap within the DON.</p>	Yes	No
	<p>Any fatality, injury or illness <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee that was <u>under the day-to-day supervision of DON personnel</u>** and the Navy or Marine Corps <u>did not have the means</u> to change the work environment or correct, control, eliminate or prevent the workplace hazard or mishap.</p> <p>Note: The contractor is responsible for OSHA notification and reports.</p>	No	No
	<p>Any fatality, injury or illness <u>caused</u> by a Navy or Marine Corps <u>contractor</u> operation, activity or employee that was <u>not under the day-to-day supervision of DON personnel</u>**.</p> <p>Note: The contractor is responsible for OSHA notification and reports.</p>	No	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Navy or Marine Corps Caused Contractor Fatality, Injury or Illness	<p>On-duty contractor employee fatality or work-related* injury or illness <u>caused wholly or in part</u>, by a Navy or Marine Corps operation, activity or evolution.</p> <p>Notes: The Navy or Marine Corps command, unit or activity responsible for the operation, activity or evolution that <u>caused</u> the fatality, injury or work-related illness of an affected contractor employee will record the mishap within the DON.</p>	Yes	No***
Navy or Marine Corps Supervised Contractor Fatality, Injury or Illness	<p>On-duty contractor employee fatality or work-related* injury or illness; whereby, the contractor employee was <u>under the day-to-day supervision of DON personnel**</u> and the Navy or Marine Corps <u>had the means</u> to change the work environment or correct, control, eliminate or prevent the workplace hazard or mishap.</p> <p>Notes: The Navy or Marine Corps command, unit or activity that <u>provided the day-to-day supervision</u> of the affected contractor employee will record the mishap within the DON and is responsible for OSHA notification and reports.</p>	Yes	Yes (29 CFR 1904.31(b)(3))
Navy or Marine Corps	<p>On-duty contractor employee fatality or work-related* injury or illness; whereby, the contractor employee was <u>under the day-to-day supervision of DON personnel**</u> and the Navy or Marine Corps <u>did not have the means</u> to change the work environment or correct, control, eliminate or prevent the workplace hazard or mishap.</p> <p>Note: The Navy or Marine Corps command, unit or activity that <u>provided the day-to-day supervision</u> of the affected contractor employee is responsible for OSHA notification and reports.</p>	No	Yes (29 CFR 1904.31(b)(3))
Navy or Marine Corps	On-duty contractor employee fatality or work-related* injury or illness; whereby, the contractor	No	No (29 CFR

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Unsupervised Contractor Fatality, Injury or Illness	<p>employee was <u>not under the day-to-day supervision of DON personnel</u>**.</p> <p>Note: The contractor is responsible for OSHA notification and reports.</p>		1904.31(b)(3)

Notes:

*An injury or illness is considered work-related if an event or exposure in the work environment either caused or contributed to the resulting condition or significantly aggravated a pre-existing injury or illness. Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless an exception specifically applies. These exceptions are listed in this table.

**Department of the Navy (DON) personnel includes all personnel assigned to Navy or Marine Corps commands, units or activities, as follows:

- U.S. military personnel on active duty (including U.S. Coast Guard), 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 accession program students when engaged in directed training activities and foreign national military personnel assigned to Department of Defense (DoD) components.
- DoD civil service employees (including National Guard and Reserve technicians, unless in military duty status), Non-Appropriated Fund (NAF) 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.

***See also “Navy or Marine Corps Supervised Contractor Fatality, Injury or Illness” in this table.

Table 2-C-1. Contractor-Involved Event Reportability and Recordability Criteria

APPENDIX 2-D
NON-DEPARTMENT OF THE NAVY CIVILIAN
EVENT REPORTABILITY AND RECORDABILITY CRITERIA

1. Applicability. Off-duty Department of Defense (DoD) civilian personnel, off-duty DON civilian personnel, personnel employed by other Federal or Department of Defense agencies not assigned to the Navy or Marine Corps and all other civilians and foreign nationals not employed by the Navy or Marine Corps (e.g., civilian guest, patron, military family member, etc.). For purposes of this manual, these groups will be collectively referred to as Non-DON Civilians.
2. Special Instructions. Events may involve more than one type of mishap. If more than one type applies, then use the most severe one for classification purposes. Be sure to consult each of the applicable chapter 2 appendices for the criteria for all event types that may be applicable.
 - a. This chapter has separate appendices for reportable and recordable event criteria involving Military Personnel (Appendix 2-A), Civilian Personnel (Appendix 2-B), Contractors (Appendix 2-C), Non-DON Civilians (Appendix 2-D) and Materiel and Property Damage (Appendix 2-E). As such, users should consult each of the various chapter 2 appendices on reportable and recordable criteria for other possible event types that may be applicable.
 - b. If an event type or event circumstance is not listed in the table, refer to the detailed guidance provided in chapter 2.
3. How to Determine if an Event is Reportable or Recordable. Enter table 2-D-1 based upon the one or more applicable event type(s) that involved non-Department of the Navy civilians. The notes in some event descriptions provide examples, important clarifications, exceptions, etc. The columns indicate whether the event is DON reportable and whether it is Occupational Safety and Health Administration (OSHA) recordable.

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Navy or Marine Corps Caused Non-DON Civilian Fatality, Injury or Illness	<p>A non-DON civilian fatality, injury or illness caused <u>wholly or in part</u>, by a Navy or Marine Corps operation, activity or evolution.</p> <p>Notes: Examples include family fun day; “Day in Their Boots Day”; “Jane Wayne Day”; Tiger Cruise; command-sponsored retirement ceremony; tent sale; military ball; static display; demonstration of operational capability; Morale, Welfare and Recreation event; Marine Corps Community Services event; etc.</p> <p>The Navy or Marine Corps command or activity responsible for the operation, activity or evolution that caused the fatality, injury or illness of affected non-DON civilians will record the mishap.</p>	Yes	No

Table 2-D-1. Non-Department of Navy Civilian Event Reportability and Recordability Criteria

APPENDIX 2-E
MATERIEL AND PROPERTY DAMAGE
EVENT REPORTABILITY AND RECORDABILITY CRITERIA

1. Applicability. All public or private facilities, equipment, property or materiel.

2. Special Instructions. Events may involve more than one type of mishap. If more than one type applies, then use the most severe one for classification purposes. Be sure to consult each of the applicable chapter 2 appendices for the criteria for all event types that may be applicable.
 - a. This chapter has separate appendices for reportable and recordable event criteria involving Military Personnel (Appendix 2-A), Civilian Personnel (Appendix 2-B), Contractors (Appendix 2-C), Non-Department of the Navy (DON) Civilians (Appendix 2-D) and Materiel and Property Damage (Appendix 2-E). As such, users should consult each of the various chapter 2 appendices on reportable and recordable criteria for other possible event types that may be applicable.

 - b. If an event type or event circumstance is not listed in the table, refer to the detailed guidance provided in chapter 2.

3. How to Determine if an Event is Reportable or Recordable. Enter table 2-E-1 based upon the one or more applicable event type(s) that involved any combination of materiel damage, public property damage or private property damage. The notes in some event descriptions provide examples, important clarifications, exceptions, etc. The columns indicate whether the event is DON reportable and whether it is Occupational Safety and Health Administration (OSHA) recordable.

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Allision (Vessels)	The <u>unintentional</u> striking or collision of a moving vessel against a stationary object; of which, either the vessel or the object or both, are DON property. Notes: Examples of stationary objects include a vessel made fast to a pier, a vessel at anchor (i.e., not dragging anchor), a moored buoy (i.e., not dragging anchor), a bridge, a pier, etc. A vessel or buoy dragging anchor is a moving vessel or buoy, respectively. <u>The important distinction between an allision and a collision, is that a moving vessel can play an active role in avoiding collision; whereas, a</u>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<p><u>stationary object cannot.</u></p> <p>If the moving vessel is DON property, then that command or activity will be responsible for recording the mishap.</p>		
Chemical Agent Damage	<p>Class A, B, C or D public or private property damage that involved any <u>unintentional or uncontrolled release</u> of a chemical agent where <u>recordable damage occurred</u> to property from contamination or costs were incurred for decontamination.</p>	Yes	No
Collision (Vessels)	<p>The <u>unintentional</u> striking together of two or more moving vessels; of which, at least one of those vessels is a DON vessel.</p> <p>Notes: See also “Allision” consequence type for collisions between moving vessels and stationary objects.</p> <p>The mishap convening authority will determine which one of the vessels involved in a collision will be responsible for recording the mishap. A safety reporting exception to the “moving vessel” requirement: A collision also includes the case of two anchored vessels, neither dragging anchor nor veering or surging additional rode, that strike each other. In this particular case, the last vessel to anchor that was involved in the collision, if a DON vessel, will be responsible for recording the mishap.</p>	Yes	No
Combat Zone Damage	<p>Any public or private property damage that occurs in a combat zone and is the result of <u>actual or suspected friendly fire.</u></p>	Yes	No
	<p>Any public or private property damage that occurs in a combat zone and is the result of the following: <u>direct enemy action; or, a maneuver conducted</u></p>	No	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	<u>relative to hostile fire, a perceived hostile threat or a perceived hostile force.</u>		
Component Part Normal Wear and Tear	Damage to a component part that <u>resulted from damage associated to the normal wear and tear of another component part.</u>	Yes	No
	Replacement of component parts <u>due to normal wear and tear</u> , which is beyond the scope or definition of the affected time between overhaul of component and when <u>any associated damage is confined to the component part.</u> Note: This exemption only applies to items that are normally used until they fail or until predetermined wear limits are reached. The need for replacement may not be evident until malfunction or failure of the part.	No	No
Criminal Act Damage	Public or private property damage as a result of vandalism, riots, civil disorders, sabotage, terrorist activities, arson or other criminal acts.	No	No
Environmental Spill, Release or Discharge	Unintentional spill, discharge or release of an oil, hazardous substance, sewage or solid waste into the environment that <u>met or exceeded reportable quantities</u> as specified by Federal or State law or regulation or in foreign nations with Final Governing Standards.	Yes (OPNAV M-5090.1 of 25 June 2021, appendix C)	No
	Environmental damage to public or private property due to a spill, discharge or release of an oil or hazardous substance, with a total cost of \$25,000 or more and was <u>caused by a Navy or Marine Corps operation, activity, evolution, vessel or vehicle.</u> Note: Includes cost for decontamination, environmental restoration and restitution.	Yes	No
Electronic Cigarette Damage	Public property damage that results from use of an electronic cigarette (i.e., e-cigarette, personal vaporizer or electronic nicotine delivery system).	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Explosives Damage	<p>Class A, B, C or D public or private property damage that resulted from: an explosion or functioning of explosive materials or devices (except as a result of enemy action); inadvertent actuation, jettisoning and release or launching explosive devices; or impacts of ordnance off-range.</p> <p>Note: Includes mishaps where the ordnance system worked as designed and human error contributed to the mishap; live fire; inadvertent launch of a weapon; negligent discharges of all guns, including small arms (this includes discharge of weapon in government quarters or negligent discharges and ricochets during training on ranges), marine location markers, flares, et cetera; and off-range ordnance impacts including all small arm ranges where ricochets cause bullets to impact outside surface danger zones.</p>	Yes (Weapons Mishap)	No
Fire	<p>Any <u>unintentional</u> fire that involved Navy or Marine Corps property.</p> <p>Note: Includes small fires in which the material property damage was limited to the originally ignited material and did not propagate to other materials; and evidence of a previously unreported combustion or explosion.</p>	Yes	No
	<p>Electrical or electronic <u>overheat conditions where there is evidence of combustion.</u></p> <p>Note: See also “Overheat Condition” consequence type for electrical or electronic overheat conditions where there is <u>no</u> evidence of self-sustained combustion.</p>	Yes	No
	<p>Reports of fire <u>solely based on acrid odor</u> (i.e., no evidence of combustion upon inspection).</p>	No	No
Flooding	<p>All cases of DON vessel flooding that involved the <u>intrusion of any fluid</u> (e.g., water, fuel, lube oil,</p>	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
(Vessel)	sewage, etc.) into a compartment caused by misalignment, negligence or <u>failure to follow operating procedures</u> (e.g., engineering operational sequencing system, engineering operating procedure, valve line-ups, etc.) or <u>component failure</u> (e.g., valve, O-ring, etc.) or overflow caused by an <u>unplanned event that caused the implementation of emergency flooding action</u> .		
Foreign Object Damage	Foreign object damage to air-breathing missiles or drone engines discovered during scheduled engine disassembly.	No	No
Government Motor Vehicle (GMV) or Government Vehicle Other (GVO) Damage	An incident or accident where a Department of Defense (DoD) government motor vehicle (GMV) or a DoD government vehicle other (GVO) was involved and the incident or accident resulted in \$5,000 or more in total public and private property damage. Note: Public property includes a DoD GMV or GOV. Private property includes a private vehicle.	Yes	No
Grounding (Vessel)	<u>Unintentional</u> contact of a DON vessel hull or hull appendages, with the bottom of a body of water. Notes: Includes soft or hard grounding (i.e., stranding). Does not include dry docking, beaching or careening (i.e., heaving down).	Yes	No
Military Animal Death, Substantial Injury or Illness or Unrelieved Pain or Distress	An incident that leads to unintended and substantial injury or illness, unrelieved pain or distress or death of a military animal. Note: For safety reporting purposes, a military animal is an animal owned by the DoD <u>for use in support of military operations</u> . Examples include military working dogs, horses, bottlenose dolphins and sea lions. It does not include service animals used for medical-related activities. DoDI 3216.01 of 20 March 2019, SECNAVINST 3900.41H,	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
	OPNAVINST 5585.3B / MCO 5585.6 and other DoD Component directives cover military animal related mishaps and consultations with DoD Component oversight offices.		
Missile Launch Damage	<u>Normal residual</u> damage as a result of a missile launch.	No	No
Navy or Marine Corps Operation, Activity, Evolution, Vessel or Vehicle Caused Damage	Mishap that resulted in damaged, lost or destroyed public or private property with a total cost of damages of \$25,000 or more and was <u>caused by a Navy or Marine Corps operation, activity, evolution, vessel or vehicle.</u> Note: Includes cost for repair, replacement and acquisition.	Yes	No
Nuclear Propulsion Plant Damage	Public property damage of <u>non-nuclear-related machinery or components on the secondary side</u> of a naval nuclear propulsion plant.	Yes	No
	Public or private property damage associated with the <u>primary side</u> of a naval nuclear propulsion plant.	Yes (Only by CNO N00N)	No
Nuclear Weapon, System or Component Damage	<u>Unintentional destruction</u> or <u>serious damage</u> to nuclear weapons, nuclear weapon systems or nuclear weapon components, resulting in actual or potential threat to national security or life and property.	No	No
Overheat Condition (Materiel Failure Mishap, DoD Vessel)	Materiel damage of mechanical or structural systems aboard a DON vessel with a total <u>replacement or repair cost of \$25,000 or more</u> , the damage was caused <u>solely</u> by an <u>overheat condition</u> (e.g., materiel warping, discoloration, etc.) and there was <u>no</u> evidence of self-sustained combustion. Note: See also “Fire” consequence type for electrical or electronic overheat conditions.	Yes	No

Event Type or Event Circumstances	Description	DON Reportable	OSHA Recordable
Testing or Training Damage	<u>Intentional or expected</u> damage to DoD equipment or property incurred during <u>authorized</u> testing or combat training, including missile and ordnance firing.	No	No

Table 2-E-1. Materiel and Property Damage Event Reportability and Recordability Criteria

CHAPTER 3 NOTIFICATIONS

301. Purpose. To explain when mishap and event notifications are required, who must be notified, the methods to complete notification and the timeliness of notifications for selected Navy and Marine Corps mishaps and events.

302. General. For certain categories and types of mishaps and events, timely notification is required. Notifications are necessary to inform leaders of important events and serve as a trigger for activities that need to begin immediately after a mishap or event has occurred such as environmental response operations, public affair preparations and safety investigations. Notifications also ensure experts from certain specialties become involved very quickly, to minimize damage (e.g., laser events, explosive mishaps, mishaps with environmental impact) or to ensure essential actions are taken quickly following a mishap.

303. Notification Requirements. Some notification requirements are set in Federal law or regulation (e.g., Occupational Safety and Health Act), others are established in Department of Defense (DoD), Department of the Navy (DON) or Service policy (e.g., Navy policy or Marine Corps policy). Policies establishing notification requirements can be grouped into three broad categories:

- a. Official DoD, Navy and Marine Corps notification requirements using the OPREP-3 reporting system found in DoDI 6055.07 of 6 June 2011, OPNAVINST F3100.6J of 22 December 2009, MCO 3504.2A of 7 August 2013 and this manual.
- b. Special reporting group notification requirements found in DoDI 6055.07 of 6 June 2011 and other DON directives.
- c. Occupational Safety and Health Administration (OSHA) notification requirements applicable only for work-related illness and injuries to Navy and Marine Corps civilian personnel found in 29 CFR 1904.

Note: OSHA notification requirements are also reiterated in OPNAV M-5100.23 of 5 June 2020.

304. Notification Methods. There are four methods used to complete notification: voice, naval message, electronic mail and the Risk Management Information (RMI).

305. Initial Notification Considerations.

- a. For some mishaps, it may be unclear initially the extent of the damages and injuries and the classification of the mishap, raising questions whether notifications are required. In these instances, if the mishap has the potential to cross the threshold, complete the notifications.

b. Since complete information is often not available immediately after a mishap, commands must strive to meet the notification timeline even if all of the details are not known. Additional information may be provided later as it becomes known.

c. Follow-up notifications should be used, as necessary, to report essential information.

306. Official Notifications. Official notifications for mishaps and other selected safety events use the Operational Report-3 (OPREP-3) Reporting System. Voice reports are also required.

a. OPREP-3 reporting guidance is not explained in detail in this manual. Instead, commands must consult the authoritative Service instruction to ensure full compliance with OPREP-3 reporting. See the Safety Reporting Resources section in this manual for on-line availability of these policy directives. This manual reiterates when OPREP-3 notification is required for mishaps and selected safety-related events and explains who must be notified.

(1) The Navy policy directive governing the OPREP-3 reporting system is OPNAVINST F3100.6K (Special Incident Reporting Procedures).

(2) The Marine Corps policy directive governing the OPREP-3 reporting system is MCO 3504.2A (Operations Event/Incident Report (OPREP-3) Reporting).

b. Commands must ensure that the plain language address designator COMNAVSAFECEN NORFOLK VA is an INFO addressee on any naval message notifications when COMNAVSAFECEN notification is required.

c. Commands must ensure that NAVSAFECEN_SDO@navy.mil (i.e., COMNAVSAFECEN) is a copy addressee on any electronic mail notifications when COMNAVSAFECEN notification is required.

d. Prior to submitting the “last report this incident,” units should check with their operational chain of command to ensure there are no other requests for information by higher authority.

e. Review the mishap reporting guidance to determine if the event meets safety reporting requirements. On the final record message report, include a mandatory “RMKS” set, which must include one of the statements in subparagraphs 306e(1) through 306e(3), as appropriate.

(1) “MISHAP REPORT NOT REQUIRED”

(2) “MISHAP REPORT TO FOLLOW”

(3) “MISHAP REPORT SUBMITTED”

Note: While the OPREP-3 reporting system is used to make official notification of mishaps and other safety-related events, OPREP-3 reporting does not relieve commands of the requirement to investigate and submit SIREPs per this manual.

307. Special Reporting Group Notifications. Some safety-related events are not specifically addressed in the OPREP-3 reporting system but notifications are required to ensure specific commands and activities receive notice in a timely manner.

308. OSHA Notifications.

a. Navy and Marine Corps Civilian Personnel. OSHA notification requirements are specified in OPNAV M-5100.23 of 5 June 2020 and in this chapter. OSHA notifications are in addition to official notifications and special reporting group notifications and apply only to work-related injuries and illnesses to Navy and Marine Corps civilian personnel.

b. Contractor Employees. Contractors are responsible for making notifications to the OSHA for their employees. If the contractor's employee is under the day-to-day supervision of the contractor, then the contractor is responsible for recording the injury or illness. If the DON command supervises the contractor employee's work on a day-to-day basis, then it must be recorded by the DON command. Day-to-day supervision includes supervising not only the output, product or result to be accomplished by the person's work, but also the details, means, methods and processes by which the work objective is accomplished.

309. Notifications. Use the information in chapter appendix 3-A to complete required notifications. Eventually, the content of notifications must be entered into the RMI for proper event record keeping. However, until RMI entries are completed, any notifications made outside of the RMI must reference the date-time-group of the initial notification and any previous follow-up notifications. This requirement ensures an accurate account of all notifications made.

Note: Some mishap and event types may meet multiple notification requirements.

APPENDIX 3-A
NOTIFICATION REQUIREMENTS
FOR MISHAPS, EVENTS AND DOD SPECIAL REPORTING GROUPS

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
<p>Civilian Personnel Fatality (on-duty)</p>	<p>Occurring within 30 days of work-related event (includes a work-related fatality caused by a heart attack). (only within the United States or U.S. territories)</p>	<p>Occupational Safety and Health Administration (OSHA)</p>	<ul style="list-style-type: none"> • Voice by telephone or in person to OSHA Area Office nearest to site of mishap; or • Voice by telephone to OSHA toll-free 24-hour hotline at (800) 321-6742 (OSHA); or • Online reporting application at www.osha.gov 	<p>Within 8 hours of knowledge of occurrence</p>	<ul style="list-style-type: none"> • Command name. • Location of work-related mishap. • Time and date of the work-related mishap. • Type of reportable event (e.g., fatality). • Number of employees affected. • Names of employees affected. • Point of contact name and phone number. • Circumstances or brief description of the work-related mishap.

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
Civilian Personnel In-Patient Hospitalization ^[2] , Amputation ^[3] or Loss of an Eye (on-duty)	<p>One or more civilian personnel in-patient hospitalization; an amputation; or, the loss of an eye.</p> <p>Occurring within 24 hours of work-related event (includes an in-patient hospitalization caused by a heart attack).</p> <p>(only within the United States or U.S. territories)</p>	OSHA	(See this column for Civilian Personnel Fatality)	Within 24 hours of knowledge of occurrence	<ul style="list-style-type: none"> • Command name. • Location of work-related mishap. • Time and date of the work-related mishap. • Type of reportable event (e.g., in-patient hospitalization, amputation or loss of an eye). • Number of employees affected. • Names of employees affected. • Point of contact name and phone number. • Circumstances or brief description of the work-related mishap.
Civilian Traffic Accident Death or Serious Personal Injury	Death or serious personal injury of a civilian, including civilian traffic	See OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	<ul style="list-style-type: none"> • Per OPREP-3 Service guidance.^[4,5]

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
Caused by Military Personnel	accident deaths, caused by military personnel.	Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages ^[3]			
Class A Mishap	(See Class A mishap definition)	COMNAVSAFECEN	Voice by telephone to (757) 444-3520, ext. 7017	Within 1 hour of knowledge of occurrence	<ul style="list-style-type: none"> • Unit(s) involved. • Location of mishap. • Date and time of mishap. • Brief description. • Command POC. • Contact information.
		See OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance. ^[4,5]	Per OPREP-3 Service guidance. ^[4,5]
		Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages			
		<u>For Fatalities:</u> Military Service Casualty Headquarters Office	<u>Navy:</u> Voice or electronic mail (800) 368-3202 or	On initiation of investigation and at a 30-day	At a minimum, provide: <ul style="list-style-type: none"> •Name of the organization conducting the investigation. •Type of investigation being conducted.

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
			MILL_SPT-LOD@navy.mil <u>Marine Corp:</u> Voice (800) 847-1597	frequency until investigation is completed.	<ul style="list-style-type: none"> • Existence of any reports by the investigating organization that have been or will be issued as a result of the investigation. • Investigating organization's Point(s) of Contact that can provide information on the status of the completion of any investigative reports. • Procedures for family members to obtain a copy of the completed report(s) and to obtain assistance in obtaining a copy of the completed report(s). • The procedures for family members to obtain answers to their questions on the completed investigation from a fully qualified representative.

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
		<p><u>COMNAVSAFECEN</u> <u>Makes Report to:</u> Office of the Deputy Under Secretary of Defense (Personnel & Readiness) through Director (Environmental Readiness & Safety)</p>	Voice	Within 45 days of occurrence.	<ul style="list-style-type: none"> • Date and time of mishap. • DoD Component, unit and OSHA establishment name. • Location of the mishap. • Number and employment category of fatalities and hospitalized personnel. • Description of operation. • Description of mishap. • Causal factors. • Applicable OSHA standards and their effectiveness. • Corrective actions.
Class B Mishap resulting in inpatient hospitalization ^[2] of three or more personnel	At least one of the personnel (i.e., military or civilian) involved in the mishap is assigned to the Navy or Marine Corps.	<p>See OPREP-3 Service guidance^[4,5]</p> <p>Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages^[3]</p>	Per OPREP-3 Service guidance. ^[4,5]	Per OPREP-3 Service guidance. ^[4,5]	Per OPREP-3 Service guidance. ^[4,5]

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
		<p><u>COMNAVSAFECEN</u> <u>Makes Report to:</u> Office of the Deputy Under Secretary of Defense (Personnel & Readiness) through Director (Environmental Readiness & Safety)</p>	Voice	Within 45 days of occurrence	<ul style="list-style-type: none"> • Date and time of mishap. • DoD Component, unit and OSHA establishment name. • Location of the mishap. • Number and employment category of fatalities and hospitalized personnel. • Description of operation. • Description of mishap. • Causal factors. • Applicable OSHA standards and their effectiveness. • Corrective actions.
Environmental Spills, Releases or Discharges	DON vessels and shore facilities worldwide with expected resultant costs (e.g., fuel and lubricant loss, property damage, decontamination,	Notifications made per response plan or spill contingency plan, as applicable and	Per OPREP-3 Service guidance ^[4,5]	Within 8 hours of knowledge of occurrence	Per OPREP-3 Service guidance ^[4,5]

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
	environmental restoration or restitution) of \$25,000 or more.	COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages ^[3]			
Explosives Mishap	A Class A mishap or a Class B mishap resulting in inpatient hospitalization ^[2] of three or more personnel; and An explosives mishap.	<u>Navy:</u> <ul style="list-style-type: none"> • Chain of Command; • Department of Defense Explosives Safety Board (DDESB); • Naval Ordnance Safety and Security Activity (Code 00); • OPNAV (N411); and <ul style="list-style-type: none"> • COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages^[3] <u>Marine Corps:</u> <ul style="list-style-type: none"> • Chain of Command; • DDESB; • MARCOR-SYSCOM (PM-AMMO); 	Per OPREP-3 Service guidance ^[4,5] (See also Defense Explosives Safety Regulation (DESR) 6055.09 Edition 1 of 13 January 2019)	Within 24 hours of occurrence or as soon as practical	<ul style="list-style-type: none"> • Name and location of the reporting activity. • Location of accident (i.e., activity, city, installation, building number or designation, road names or similar information). • Item nomenclature or description (e.g., mark, model, Federal supply class, national identification number, DoD identification code, Navy ammunition logistic code, ammonium nitrate and fuel oil). • Quantity involved (number of items and net explosive weight for quantity-distance).

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
		and <ul style="list-style-type: none"> • COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages^[3] 			<ul style="list-style-type: none"> • Day, date and local time of initial significant event and when discovered. • Narrative of the event (include type of operation involved). • Number of fatalities (i.e., military, DoD civilian or other civilian). • Number of persons injured (military, DoD civilian or other civilian). • Description of material damage (i.e., government or non-government). • Immediate action taken or planned (i.e., corrective, investigative or explosive ordnance disposal assistance). • Description of news media attention.

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
		<p><u>COMNAVSAFECEN</u> <u>Makes Report to:</u></p> <ul style="list-style-type: none"> Office of the Deputy Under Secretary of Defense (Personnel & Readiness) through Director (Environmental Readiness & Safety) 	Voice	Within 45 days of occurrence	<ul style="list-style-type: none"> Date and time of mishap. DoD Component, unit and OSHA establishment name. Location of the mishap. Number and employment category of fatalities and hospitalized personnel. Description of operation. Description of mishap. Causal factors. Applicable OSHA standards and their effectiveness. Corrective actions
	<p>An explosives mishap including:</p> <ul style="list-style-type: none"> DoD military, civilian or contractor fatality; Greater than \$600,000 property damage; 	(See top of this column for Explosives Mishap)	(See top of this column for Explosives Mishap)	Within 24 hours of occurrence or as soon as practical	(See top of this column for Explosives Mishap)

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
	<ul style="list-style-type: none"> • Greater than 72 hours lost production; • Major weapons system loss (e.g., tank, aircraft, ship or large missile); or • Probable high public interest. 				
	<p>A Class A, B, C or D mishap resulting in damage or injury from:</p> <ul style="list-style-type: none"> • An explosion or functioning of explosive materials or devices (except as a result of enemy action); • Inadvertent actuation, jettisoning and releasing or 	(See top of this column for Explosives Mishap)	(See top of this column for Explosives Mishap)	As soon as practical	(See top of this column for Explosives Mishap)

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
	launching explosive devices; or <ul style="list-style-type: none"> Impacts of ordnance off-range. 				
Firearm Incident	Any incident involving a firearm, regardless if the firearm was discharged.	See OPREP-3 Service guidance ^[4,5] Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages ^[3]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]
Friendly Fire	Friendly fire incidents.	Joint Staff (J-6), Joint Fires Integration Division, Friendly Fire Reporting and Investigation Process (FFRIP) Action Officer (757) 203-8603, DSN 668-8603 <u>Non-Classified Internet Protocol Router Network (NIPRNet):</u>	Voice or electronic mail	Within 48 hours of occurrence	<ul style="list-style-type: none"> Date and time of mishap. DoD Component and unit. Location of the mishap. Number and employment category of fatalities and hospitalized personnel. Description of operation. Description of mishap. Causal factors.

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
		js.norfolk.j6.list.dd-c5i-jf-div-ffrip@mail.mil <u>Secret Internet Protocol Router Network (SIPRNet):</u> js.norfolk.j6.list.dd-c5i-jf-div-ffrip@mail.smil.mil			
Laser Exposure (Suspected or Observed)	Laser exposure events.	Tri-Service Laser Safety Hotline	Voice by telephone to toll-free 24-hour hotline at (800) 473-3549	As soon as possible	<ul style="list-style-type: none"> • Names of personnel affected. • Estimation of laser exposure received to the eyes or skin as related to the applicable maximum permissible exposure (MPE) per ANSI Z136.1. • Details of the laser exposure incident, if known. Include the laser's parameters as applicable: wavelength, power or energy, pulse repetition

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
					frequency, pulse length, beam size and divergence. <ul style="list-style-type: none"> • Details of safety procedures and personal protective equipment used at the time of the laser exposure incident.
Motor Vehicle Accidents	Motor vehicle accidents related to the use of alcohol or illegal substances.	See OPREP-3 Service guidance ^[4,5] Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages ^[3]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	<ul style="list-style-type: none"> • Per OPREP-3 Service guidance^[4,5]
	Class A and B motorcycle mishaps	See OPREP-3 Service guidance ^[4,5] Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages ^[3]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	<ul style="list-style-type: none"> • Per OPREP-3 Service guidance^[4,5]

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
Multiple DoD Component Event	Navy or Marine Corps and one or more other DoD Components (i.e., Army, Air Force or Space Force).	<u>Commands Make Reports to:</u> <ul style="list-style-type: none"> Chain of Command; and COMNAVSAFECEN 	Voice	Within 20 minutes of knowledge of occurrence	<ul style="list-style-type: none"> What happened? Who is or was involved? Where did it happen? When did it happen? Why did it happen? What action is ongoing? What future action is contemplated? What is the impact on the command's mission capability? Is any assistance required? Is media attention anticipated?
		<u>COMNAVSAFECEN Makes Report to:</u> <ul style="list-style-type: none"> Other involved DoD Component safety center(s) 	Voice	As soon as possible after knowledge of occurrence	
Operational Incident	The loss at sea of any Navy vessel, rigid hull inflatable boat or other small craft.	See OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[4,5]	Per OPREP-3 Service guidance ^[2]	Per OPREP-3 Service guidance ^[4,5]
	An incident involving damage to Navy or MSC vessels that results	Include COMNAVSAFECEN NORFOLK VA as an INFO addressee on naval messages ^[3]			

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
	in loss or degradation in the ability of a command to perform its mission, as determined by the commanding officer.				
	Fires, flooding, explosions, collisions, allisions, groundings or other major incidents to Navy ships, submarines or MSC vessels resulting in major damage to spaces, equipment, injury or death to personnel.				
	Unintentional launch of a missile, torpedo other live ordnance.				

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
	<p>Any discharge of a government weapon that causes a fatality or injury to personnel.</p> <p>Near or actual collisions or allisions of minor significance involving Navy vessels. Devices attached to, deployed from or towed by a vessel, are to be considered an extension of the reporting unit. Such devices include, but are not limited to, communication buoys, towed arrays, Nixie, dipping sonar, magnetic anomaly</p>				

Mishap Class, Event Type or DoD Special Reporting Group ^[1]	Characteristics	Who to Notify	How to Notify	When to notify	Contents of Initial Notification
	detectors and objects or vessels under tow.				

Notes:

[1] More than one mishap class, event type or DoD Special Reporting Group may apply.

[2] In-patient hospitalization is the formal admission to the in-patient service of a hospital or clinic for care or treatment. For safety reporting purposes only, inpatient hospitalization does not include observation or diagnostic testing.

[3] Amputation is the traumatic loss of a limb or other external body part. Amputations include a part, such as a limb or appendage that has been severed, cut off, amputated (either completely or partially); fingertip amputations with or without bone loss; medical amputations resulting from irreparable damage; amputations of body parts that have since been reattached. Amputations do not include avulsions, enucleations, deglovings, scalpings, severed ears or broken or chipped teeth.

[4] OPNAVINST F3100.6K, “Special Incident Reporting Procedures.” This directive has the classification of “Controlled Unclassified Information” and is not cleared for public release. See Safety Reporting Resources section for availability.

[5] MCO 3504.2A, “Operations Event/Incident Report (OPREP-3) Reporting.” See Safety Reporting Resources section for availability.

Table 3-A-1. Notification Requirements for Mishaps, Events and DoD Special Reporting Groups

CHAPTER 4
SAFETY INVESTIGATION REQUIREMENTS

401. Purpose. To provide guidance on when and by whom, a safety investigation board (SIB) is appointed or a single investigating officer (SIO) is directed, identifying the members of the board and their responsibilities and discussing the purpose of assistants. The chapter also includes the requirement to establish standing SIBs; the process for determining the controlling command and accounting organization for mishaps, including mishaps that involved multiple units; and provisions for joint SIBs.

402. General. An SIB or SIO is established to determine causal factors and make recommendations to prevent reoccurrence of reportable mishaps or to investigate the presence of hazards that could lead to mishaps. At the discretion of a convening authority, an SIB may also be appointed to determine causal factors and make recommendations to prevent reoccurrence of serious near misses (i.e., hazards) that had the potential of being serious recordable mishaps. The COMNAVSAFECEN and Director, CMC (SD) are the final authorities for determining deviations for any of the requirements in this chapter. Further guidance on SIBs or SIOs will be in The Navy and Marine Corps Safety Investigations and Reporting Guide.

403. Determining Responsibility for Oversight and Investigation.

a. Determining the Accounting Organization.

(1) The accounting organization is the reporting custodian that experienced the loss of or damage to, an owned asset; or the fatality, injury or work-related illness of an assigned person or persons in a mishap; and is responsible for or is assigned responsibility for, safety reporting, regardless of any determination as to the responsibility for the event's occurrence. There is one accounting organization for each mishap.

(2) When multiple Navy and Marine Corps commands are involved in a mishap, the accounting organization will normally be the command sustaining the highest level of loss in the event. The cognizant controlling command or controlling commands may determine other compelling reasons that exist for assigning investigative responsibility differently. If agreement cannot be reached, CNO N09F will make the determination.

b. Determining the Controlling Command. Controlling command determination is typically based upon the administrative control chain of command of the accounting organization. The controlling command will act as the convening authority, unless that responsibility has been delegated per subparagraph 107i(3). Use table 4-1 for additional guidance in making controlling command determinations.

Rule Number	If a mishap involves...	Then, the controlling command...
1	the armed forces of friendly nations <u>and</u> Navy or Marine Corps units and the <u>only forces lost or injured were by the armed forces of friendly nations,</u>	will be determined by the combatant commander.
2	the armed forces of friendly nations <u>and</u> Navy or Marine Corps units and the <u>forces lost or injured were by both the armed forces of friendly nations and Navy or Marine Corps units,</u>	will be determined by chief of naval operations (CNO) N09F, after consulting with the Assistant Secretary of Defense for Readiness (ASD (Readiness)) and the combatant commander as to what role the other involved nations will play in the investigation.
3	a friendly fire incident while Navy or Marine Corps units were under the operational control of a combatant command,	is Marine Corps or Navy controlling command whose forces suffered the preponderance of loss or injury. Note: Unless otherwise agreed or as the combatant commander may direct.
4	both Navy <u>and</u> Marine Corps units,	is the controlling command whose subordinate unit in the administrative control (ADCON) chain of command suffered the preponderance of loss or injury.
5	only a Marine Corps unit,	is the Marine Corps controlling command in the operational control (OPCON) chain of command of the subordinate unit involved.
6	only a shore Navy unit,	is the controlling command in the ADCON chain of command of the subordinate unit involved.
7	only afloat Navy units under a single type commander (TYCOM),	is normally the TYCOM of the subordinate unit(s) involved.
8	only afloat Military Sealift Command units,	is COMSC (PM1) for Naval Fleet Auxiliary Force civilian mariner manned vessels.
		is COMSC (PM2) for special mission civilian mariner manned vessels.
		is COMSC (PM3) for USNS Kaiser.
9	only afloat Navy units under multiple TYCOMs, but the same fleet commander,	will be determined by that fleet commander.

Rule Number	If a mishap involves...	Then, the controlling command...
10	Navy units under different echelon 2 commanders,	is the controlling command whose subordinate unit in the ADCON chain of command suffered the preponderance of loss or injury.
11	only afloat Navy units under different fleet commanders,	will be determined by CNO N09F after consultation with the fleet commanders.
12	a ship during a defined CNO Maintenance Availability Period and Naval Sea Systems Command is the contracting authority for the work related to the mishap, Note: Outside of this occurrence, the guidelines in subparagraphs 403a(1) and 403b apply.	is Naval Sea Systems Command. Note: A mishap occurring aboard a DoD vessel that resulted from shipyard, vessel repair facility or private contractor operations is a ground (industrial) mishap, not an afloat mishap.

Note: In the event of disagreement over controlling command assignment, CNO N09F has the authority to make the final determination for mishaps involving only Navy units and for mishaps involving both Navy and Marine Corps units. Director, CMC (SD) has the authority to make the final determination for mishaps involving only Marine Corps units.

Table 4-1. Controlling Command Determination

c. Use table 4-2 as additional guidance for the assignment of accounting organizations for mishaps involving military personnel.

Rule Number	If a military personnel mishap occurs...	Then, the accounting organization...
1	at a DoD or DON command, unit, activity or establishment.	will be that DoD or DON command, unit, activity or establishment.
2	on official travel between the affected person's parent command (i.e., per permanent duty station orders) and another DoD or DON command, unit, activity or establishment; and the affected person is in an on-duty status.	will be the affected person's parent command.
3	on official travel between the affected person's additional duty (ADDU) command (i.e., per permanent duty station orders) and	will be the affected person's ADDU command.

Rule Number	If a military personnel mishap occurs...	Then, the accounting organization...
	another DoD or DON command, unit, activity or establishment; and the affected person is in an on-duty status.	
4	to an affected person and that affected person was subsequently either transferred or temporarily assigned to either a medical hold unit or to a transient personnel unit.	will be the command where the affected person was originally injured.
5		will be the command where the affected person was originally injured for any follow-on reports.
6	to an affected person and that affected person was subsequently permanently transferred from the command where the original injury occurred.	will be the command where the affected person was originally injured.
7		will be the affected person's gaining command for any follow-on reports.
8	in an area that is not remote and the affected person is in an off-duty status.	will be the affected person's parent command.
9	in a remote area; the affected person is assigned to a DON permanent duty station; and the affected person is in an off-duty status.	will be the commander of the nearest Navy or Marine Corps activity, when requested by the affected person's permanent duty station.
10	while the affected person is en route to a new duty station under permanent change of station orders.	will be the affected person's gaining command.
RESIDENT STUDENTS		
11	while the affected person is an on-duty resident student, under official orders assigned to a DON-operated post-secondary education institution and away from that institution on non-DoD or non-DON property. Note: Examples of DON-operated post-secondary education institutions include Service colleges (e.g., Naval Postgraduate School, U.S. Naval War College and Marine Corps University), U.S. Naval Academy, Naval Academy Preparatory School, etc.	will be that DON-operated post-secondary education institution.

Rule Number	If a military personnel mishap occurs...	Then, the accounting organization...
12	<p>while the affected person is a Navy or Marine Corps on-duty resident student, under official orders assigned to a DoD-operated (i.e., non-DON) post-secondary education institution and away from that institution on non-DoD or non-DON property.</p> <p>Note: Examples of DoD-operated (i.e., non-DON) post-secondary education institutions include Service colleges (e.g., Joint Forces Staff College, National Defense University, U.S. Army War College, Air War College and Uniformed Services University of Health Sciences), U.S. Military Academy, U.S. Air Force Academy, etc.</p>	<p>will be that DoD-operated (i.e., non-DON) post-secondary education institution.</p>
13	<p>while the affected person is a Navy or Marine Corps on-duty resident student, under official orders assigned to a non-DoD or non-DON operated post-secondary education institution and on non-DoD or non-DON property.</p>	<p>will be the naval activity already assigned by Commander, Naval Personnel Command (PERS-44) to provide administrative support for that resident student.</p>

Table 4-2. Accounting Organization Determination for Mishaps Involving Military Personnel

404. Required Safety Investigation Board. The mishaps or hazards listed in table 4-3 require an SIB investigation.

Line Number	Navy or Marine Corps Mishap or Hazard (Including Near Miss) Requiring a Safety Investigation Board
1	<p>All on-duty Class A personnel mishaps occurring on a U.S. Government installation.</p> <p>Note: Includes an on-duty injury where death or permanent total disability is likely to occur.</p>

Line Number	Navy or Marine Corps Mishap or Hazard (Including Near Miss) Requiring a Safety Investigation Board
2	All on-duty Class A personnel mishaps occurring off a U.S. Government installation, while performing official duties. Note: Includes an on-duty injury where death or permanent total disability is likely to occur.
3	All on- or off-duty Class A personnel mishaps occurring aboard a public vessel. Note: Includes an injury where death or permanent total disability is likely to occur.
4	Military personnel fatality or permanent total disability that, in the opinion of a competent medical authority, was associated with a medical event (e.g., chest pain, heart attack, coma, etc.) that commenced <u>during or after</u> any on-duty physical training (PT), remedial physical training (PT), physical readiness test (PRT), physical fitness testing (PFT), physical fitness assessment (PFA) or command-sponsored physical activity (e.g., conditioning hikes, screening, etc.), <u>regardless of any pre-existing medical condition.</u>
5	Training-related fatality.
6	Public and private property damage estimates meet or exceed or may be expected to meet or exceed, two and a half million dollars.
7	All afloat Class A mishaps involving allision, collision, fire, flooding or grounding.
8	All Class A explosives mishaps.
9	All Class A chemical agent mishaps.
10	All live fire mishaps resulting in an injury.
11	Any mishap or hazard (including near miss) that a controlling command; the Commander, Naval Safety Center (COMNAVSAFECEN); or the Commandant of the Marine Corps (safety division) (CMC (SD)) determines that the mishap or hazard (including near miss) requires a more thorough investigation and report, beyond that provided by a single investigating officer.
12	Special circumstances, as determined by either COMNAVSAFECEN or Director, CMC (SD), where an independent NAVSAFECEN or CMC (SD) safety investigation board is established on behalf of the CNO or the CMC.

Table 4-3. Navy or Marine Corps Mishaps or Hazards (Including Near Misses) Requiring a Safety Investigation Board

405. Appointment of a Safety Investigation Board.

a. Convening authorities (discussed in chapter 1) are responsible for directing an SIB to investigate any of the mishaps or hazards (including near misses), under their cognizance.

b. Required Use of Event Numbers. The RMI POR database mandated by this manual automatically generates an event number that is unique to each particular mishap or hazard. All naval messages, reports and correspondence related to a particular mishap or hazard will include use of this event number. This requirement must be followed from initial notification through the final endorsement (i.e., to include record keeping and disposition).

Note: For situations in which the safety officer or safety manager does not have access to the RMI to submit the initial RMI entry, OPREP-3 notifications can be released without the event number.

c. Assigning the SIB and Initial Endorsing Chain. The convening authority will use the RMI to direct a mishap investigation that requires an SIB and to assign the initial recommended endorsing chain.

d. Appointment Letters. Members of SIBs should be appointed in writing by the convening authority within 24 to 48 hours, but not to exceed 96 hours of the convening authority's knowledge of the mishap or hazard. Guidance on the appointment letter format is in The Navy and Marine Corps Safety Investigations and Reporting Guide.

e. Restrictions.

(1) Activities of the SIB become the primary duty of all appointed members until the completion and release of the SIREP, by the senior member, via the RMI POR database mandated by this manual.

(2) Personnel appointed to an SIB or acting as a consultant SME to an SIB, may not be appointed to, nor serve on, any other investigative board associated with the same mishap or hazard.

(3) Personnel appointed to an SIB or acting as a consultant SME to an SIB, may not participate in drafting any endorsement related to the mishap or hazard that the SIB is investigating.

406. Standing Mishap Investigation Boards.

a. Controlling commands will establish and maintain at least one standing board to enable rapid investigative response to mishaps within their command that require a safety investigation by an SIB.

b. A standing board consists of a minimum of two personnel, a senior member and a safety representative, who are assigned to the standing board in writing.

c. Standing board members must meet the training requirements in subparagraphs 406c(1) and 406c(2):

(1) Complete either the Ground Mishap Investigation Course (CIN: A-493-0078 equivalent), Mishap Investigation Course (CIN: A-493-0078) or an equivalent course approved by either the NAVSAFECEN or CMC (SD).

(2) Be familiar with the requirements of this manual.

d. A standing board must be deployed to a mishap location within 72 hours of their knowledge of that mishap in order to begin the safety investigation process. The standing board will continue the investigation until properly relieved by the SIB appointed to investigate that specific mishap.

Note: Convening authorities may choose to use standing board members on the appointed SIB.

407. Composition of a Safety Investigation Board.

a. The convening authority or the Marine Corps general officer delegated responsibility for appointing SIB members and the senior member of an SIB, may confer and agree on board appointees based on the type and severity of the consequence of the mishap or hazard. Table 4-4 lists the minimum composition requirements for an SIB.

Minimum Composition	Mishap or Hazard Type		
	Marine Corps Only	Navy or Military Sealift Command Afloat	Navy Shore
One senior member	-If a <u>military</u> senior member, then must be equal to or senior in grade to the commander,	-Not be a superior to the commander, commanding officer or officer-in-charge of the mishap or	-If a military senior member, must be equal to or senior in grade to the commander,

Mishap or Hazard Type			
Minimum Composition	Marine Corps Only	Navy or Military Sealift Command Afloat	Navy Shore
	<p>commanding officer or officer-in-charge of the mishap or hazard unit; <u>and</u></p> <p>-Not be a superior to the commander, commanding officer or officer-in-charge of the mishap or hazard unit; <u>and</u></p> <p>-Not be from the mishap or hazard unit; <u>and</u></p> <p>-Be either a Marine Corps officer (O-5 or above) or senior Marine Corps civilian personnel (GS-13 or higher).</p>	<p>hazard unit; <u>and</u></p> <p>-Not be from the mishap or hazard unit; <u>and</u></p> <p>-Be a <u>current or post-command at sea Navy line officer senior to the commanding officer of the unit(s) involved or a senior Navy civilian (GS-15).</u></p>	<p>commanding officer or officer-in-charge of the mishap or hazard unit; <u>and</u></p> <p>-Not be a superior to the commander, commanding officer or officer-in-charge of the mishap or hazard unit; <u>and</u></p> <p>-Not be from the mishap or hazard unit; <u>and</u></p> <p>-Be either a commissioned officer (O-5 or above) or senior Navy civilian personnel (GS-13 or higher).</p>
Two other members	<p>-One subject matter expert (SME) on equipment, systems or procedures; <u>and</u></p> <p>-One safety and occupational health professional (commissioned officer or GS-11 or above) who has completed either the Ground Mishap Investigation Course (CIN: A-493-0078),</p>	<p>-One SME (<u>E-7 through O-10</u>) on equipment, systems or procedures; <u>and</u></p> <p>-One safety representative (commissioned officer or GS-12 or above) who has completed either the Ground Mishap Investigation Course (CIN: A-493-0078), Mishap Investigation</p>	<p>-One SME on equipment, systems or procedures; <u>and</u></p> <p>-One safety and occupational health professional (commissioned officer or GS-12 or above) who has completed either the Ground Mishap Investigation Course (CIN: A-493-0078), Mishap Investigation</p>

Minimum Composition	Mishap or Hazard Type		
	Marine Corps Only	Navy or Military Sealift Command Afloat	Navy Shore
	Mishap Investigation Course (CIN: A-493-0078) or an equivalent course approved by either the Naval Safety Center or CMC (SD).	Course (CIN: A-493-0078) or an equivalent course approved by either the Naval Safety Center or CMC (SD).	Course (CIN: A-493-0078) or an equivalent course approved by either the Naval Safety Center or CMC (SD).

Table 4-4. Minimum Composition Requirements for a Safety Investigation Board

b. As required, a competent medical authority may provide valuable information, assist the board in collecting and coordinating the analysis of medical evidence, address medical issues on the specifics of the injuries or occupational (i.e., work-related) 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 that may reveal human causal factors of the mishap.

408. Safety Investigation Board Member Responsibilities. Activities of the SIB become the primary duty of all members until completion and release of the SIREP via the RMI 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. Detailed SIB responsibilities are provided in subparagraphs 408a through 408m:

a. Conduct a thorough and impartial investigation by visiting the mishap site immediately upon appointment and actively participate in the safety investigation.

b. Request technical assistance for the safety investigation from the convening authority, when required.

c. SIB members must not consult with the commander of the mishap command, mishap command’s chain of command or the SIB member’s chain of command regarding the content of a SIREP prior to its release. This does not prevent the senior member or other board member from interviewing the commander as a witness to the mishap.

Note: 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.

d. Extend to the NAVSAFECEN mishap advisor unrestricted access to all evidence, summaries of witness' statements and proceedings (including access to all witness interviews). Allow the advisor to keep either COMNAVSAFECEN or Director, CMC (SD), as appropriate, apprised of the status of the safety investigation.

e. Board members must not discuss privileged information in the presence of non-board members and must properly safeguard all PSI in their possession.

f. Determine, which witnesses will be offered a promise of confidentiality in strict compliance with guidelines found in paragraph 804.

g. Interview all witnesses. Ensure that all witnesses understand and sign either JNAVMAR 5102/1 Advice to Witness or JNAVMAR 5102/2 Advice to Witness (Promise of Confidentiality, if a written statement is provided).

Note: Individual interviews provide the best environment to ensure candid and forthright statements from witnesses or persons involved. Group interviews are not recommended because of the possible negative effect this technique might have on the willingness of some witnesses to speak openly and honestly. A witness that has been offered a promise of confidentiality must always be interviewed individually. See the Navy and Marine Corps Safety Investigations and Reporting Guide, which contains more information on interview techniques and best practices.

h. Members must not share any information with any other investigating team (e.g., Judge Advocate General, Naval Criminal Investigative Service, command, local authorities, etc.) without first discussing it with the appointed NAVSAFECEN mishap advisor.

i. Prepare and release a HAZREP for any hazard discovered during the course of the investigation that has the potential for widespread applicability. This requirement is separate from the release of the SIREP.

j. If, during the investigation, one of the non-reportable provisions of paragraph 208 appears to apply, then contact the convening authority and COMNAVSAFECEN to request permission to terminate the safety investigation.

k. If criminal conduct that is causal to the mishap is discovered in the course of conducting the safety investigation, the SIB must suspend the investigation, preserve the evidence and immediately notify the convening authority and COMNAVSAFECEN. Naval Criminal Investigative Service or Federal or local law enforcement, should also be notified, depending on jurisdiction at the location of the mishap and the mishap circumstances. The convening authority will review the pertinent circumstances and consult with COMNAVSAFECEN and the appropriate naval legal authority to determine whether the mishap investigation will proceed.

Note: The convening authority should consider various factors in making this decision, including the seriousness of the mishap, the seriousness of the alleged misconduct, the potential for litigation or prosecution and the potential adverse impact on the safety privilege. If the mishap investigation is terminated, the convening authority may determine that due to the unique circumstances of the event or the event's aftermath, a hazard investigation is warranted and direct the SIB to conduct this investigation.

l. Direct the preparation and release of the SIREP within 30 calendar days of convening the board. SIREPs must not refer to disciplinary or administrative action in connection with the mishap. If necessary, request an extension from the convening authority with the reasons.

m. Transfer custody of all relevant documentary evidence, board members' personal notes original copies of summaries of all statements, photographs, negatives and tape recordings to NAVSAFECEN. No copy must remain with the unit or in the possession of board members.

Note: The SIO or SIB should upload all pertinent explanatory figures, photos, tables, and other supporting documents in the exhibits section of RMI.

n. Development of a power point out-brief for use by the convening authority is recommended. The out-brief should be uploaded as an RMI investigation exhibit for preservation purposes.

409. Safety Investigation Board Assistants. To ensure a thorough safety investigation, the SIB may require assistance from personnel not officially appointed as a member of the SIB. The individuals requested by the board will proceed to the mishap site or other location as determined by the senior member.

a. Trained Safety Investigation Advisor. The COMNAVSAFECEN will appoint a trained safety investigation advisor for all Class A mishaps and all live fire mishaps resulting in an injury and may provide an advisor for other mishaps or hazards (including near misses) when it would be beneficial to the investigation. The advisor will meet the minimum training specified in table 4-4 and should be present at the convening of the board, when logistically feasible. The safety investigation advisor normally will not be a member of the SIB, but will serve to assist and advise the board in the safety investigation process (e.g., witness interviewing techniques, cause factor analysis, cause mapping and human factors analysis). The advisor may depart before the completion of the investigation if both the senior member and COMNAVSAFECEN agree. When agreed to by COMNAVSAFECEN and the convening authority, the COMNAVSAFECEN advisor may be appointed as a member of the SIB.

Note: NAVSAFECEN investigators are subject matter experts in the mishap investigation deliberative process and investigative techniques. While they are not members of the SIB, their full participation in all SIB activities and deliberations is required in order to facilitate

standardization of the investigative process; conduct of detailed causal factor analysis; development of sound mishap recommendations; and to protect PSI.

b. Consultant Subject Matter Expert. The consultant subject matter expert (SME) should be involved at a mishap site as early as possible for preliminary inspection of the wreckage or to inspect other end items, systems or processes where there may not be associated wreckage (e.g., small arms, shipboard systems) and for discussion with any personnel involved in the mishap or recovery operation. All non-Navy and non-Marine Corps personnel that are consultant SMEs will be asked to provide a written report to the board on their findings. All Navy and Marine Corps consultant SMEs will also provide a written report to the board on their findings. These reports may be added to the privileged evidence section of the SIREP. All non-Navy and non-Marine Corps personnel consultant SMEs will be asked to sign a non-disclosure agreement (NDA) to protect mishap information discussed during consultation.

Note: Consultant SMEs are permitted to provide information and reports to other concurrent investigators (e.g., from the legal investigation) provided PSI and discussions with the SIB are not part of the information provided.

c. Consultant Competent Medical Authority. All non-Navy and non-Marine Corps personnel that are consultant competent medical authority (CMA) SMEs will be asked to provide a written report to the board on their findings. All Navy and Marine Corps personnel consultant CMA SMEs will also provide a written report to the board on their findings. These reports may be added to the privilege evidence section of the SIREP. All non-Navy and non-Marine Corps personnel consultant CMA SMEs will be asked to sign an NDA to protect mishap information discussed during consultation.

410. Joint Safety Investigation Boards.

a. Mishaps involving two or more Service components are covered by a Memorandum of Understanding (MOU) between the U.S. Army Combat Readiness Center; Air Force and Naval Safety Centers; Commandant of the Marine Corps (Safety Division); and the U.S. Coast Guard Health, Safety and Work-Life Directorate per appendix C.

b. For maritime events 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.

411. National Transportation Safety Board Investigations. The National Transportation Safety Board (NTSB) will investigate Naval Introductory Flight Evaluation (NIFE) 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 NIFE mishaps per OPNAVINST 3750.16C (Participation in a Military or Civil Aircraft Accident Safety Investigation). The 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 safety 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 Director, CMC (SD), as long as it does not interfere with the NTSB accident investigation. NETC will conduct SIO investigations or establish an SIB to conduct a parallel but separate investigation, if military students or staff are involved.

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 then complete a SIREP through the RMI POR database mandated by this manual.

412. Single Investigating Officer Investigations. These are investigations where an SIO has been directed to perform a DON safety investigation by a convening authority. The individual is solely responsible for completing the safety investigation and drafting and submitting required reports and records. Essentially, an SIO investigates any mishap, near miss or hazard not investigated by an SIB. The SIO may receive assistance from subject matter experts (SME) in the performance of their duties. An SIO is often an individual assigned to a safety billet (e.g., safety officer or safety manager), but that is not always a requirement.

413. Safety Investigation Timeline. The safety investigation should be completed within 30 days of the mishap. The investigation should place a greater priority on a thorough, complete and accurate SIREP than on trying to finish in the 30-day timeline. If the investigation cannot be completed within the required time period, the SIB or SIO must request an extension from the convening authority in the RMI. The SIB should remain convened until all aspects of the investigation are completed. See figure 5-1 for a depiction of a nominal SIREP endorsement timeline.

414. Unclassified Information Collected During Safety Investigations. SIBs and SIOs must ensure that all unclassified information, privileged or not, collected by safety investigators, is not released outside safety channels except when expressly permitted in this manual. See chapter 8 for protection of PSI.

a. SIB senior members and SIOs will ensure that everyone working on the safety investigation is briefed on these restrictions.

b. The SIB or SIO is not prohibited from sharing information with technical experts who, although not members of the board, can analyze information or wreckage (e.g., small arms,

shipboard systems), on behalf of safety investigators. Non-DON personnel must have the applicable NDA in place with NAVSAFECEN prior to receiving access to privileged materials.

415. Classified Information Collected During Safety Investigations. SIBs and SIOs must ensure that all classified information, privileged or not, collected by safety investigators, is handled per its required security classification level and is not released outside safety channels except when expressly permitted in this manual. See chapter 8 for protection of classified information that includes PSI.

a. SIB senior members and SIOs will ensure that everyone working on the safety investigation is briefed on these restrictions.

b. The SIB or SIO is not prohibited from sharing information with technical experts who, although not members of the board, have the proper security clearance and need-to-know and can analyze information or wreckage or other end items, systems or processes where there may not be associated wreckage (e.g., small arms, shipboard systems), on behalf of safety investigators. Non-DON personnel must have the applicable NDAs in place with NAVSAFECEN prior to receiving access to privileged materials.

c. The SIB or SIO must omit any portion of a report that warrants security classification and substitute the word “CLASSIFIED” in its place and submit a classified supplement. In the unlikely event that a meaningful unclassified report cannot be produced, submit a classified report.

416. Safety Investigation Process. This paragraph provides an overview of the safety investigation process. Safety investigators should reference The Navy and Marine Corps Safety Investigations and Reporting Guide developed by NAVSAFECEN for a detailed explanation of this process.

a. Determining and Documenting Factors. The narrative of a SIREP is comprised of factors that collectively answer the “why” an event occurred. Factors are based on the weight of evidence, professional knowledge and good judgment of the investigators. The analysis contained in factors lead to the findings and recommendations. Factors that directly led to injury, damage or a hazardous event are considered causal and result in causal findings. All Class A and B mishaps must contain at least one causal factor.

(1) Factors. A factor is any action or condition, discovered in the course of an investigation, which in the investigator’s opinion, contributed to the eventual outcome. Determining factors (i.e. and eliminating non-factors) enables investigators to focus the investigation from all the issues under examination to those specific areas that are significant in the event sequence. Factors explain why causes, such as human error, supervision or equipment failure, occurred. Factors are not mutually exclusive, but are often interrelated; and in some

cases, influence each other. Factors are the basis for primary findings and recommendations. Most events involve multiple factors. When applicable, include a discussion of related human factors using the DoD Human Factors Analysis and Classification System (DoD HFACS).

(2) Non-Factors Worthy of Discussion. Non-factors worthy of discussion typically fall into one of three categories: areas uncovered during the investigation that did not cause the event or influence the outcome but should be fixed due to the potential to be a factor in a future event (e.g., incorrect information in a maintenance technical order), areas that were thoroughly investigated and subsequently ruled out as factors (i.e., in order to provide context to the audience on why these areas are not factors) and areas that may be considered an interest item to the convening authority (e.g., risk management and crew resource management). Non-factors worthy of discussion are the source for other findings and recommendations of significance. Not all non-factors worthy of discussion result in other findings and recommendations of significance; but, all other findings and recommendations of significance must have a corresponding non-factor worthy of discussion.

b. Determining and Documenting Causes. A cause is a condition, which, if corrected, eliminated or avoided, would likely have prevented or mitigated the event damage or injury. In most instances, a causal condition or factor is correctable by commanders, supervisors or individuals.

(1) Cause does not imply blame, it highlights that if the factor was corrected, eliminated or avoided, the mishap or hazard or incident would not have happened.

(2) Risk management is a persistent process that must be conducted in all organizations. Improper risk management at any level of command can be causal in an event. In cases where an event has identified hazards, there is a responsibility to assess the associated risks, evaluate risk mitigation options, implement risk management measures, evaluate the residual risks, document approval at the appropriate level to accept the expected residual risks in terms of consequences and probability of occurrence and monitor the effectiveness of the risk control measures implemented. Each recurrence of an event requires a reassessment of the prior risk management decisions. Do not cite risk acceptance as causal when all risk management functions were properly accomplished and a quantified level-of-risk was accepted at the appropriate level.

(3) Not every factor is causal. Some are effects or the expected result of a previously identified cause even though their inclusion only sustains the sequence leading to the event.

(4) Environmental conditions such as lightning, high wind, solar wind, meteorites or flooding may be causal only if all reasonable avoidance and damage and injury mitigation actions were taken.

(5) For human factors, the action that could have prevented a failure resides within the human realm and not on an object or publication. Publications or objects should almost never be found causal. Rather, the party responsible for ensuring the publications are correct or the party responsible for ensuring an object does not fail with catastrophic consequences, is causal. In such cases, there may be process or organizational failures and appropriate parties must be identified as responsible for these failures.

(6) Failure to provide a system or procedure may only be causal if a party should reasonably have been expected to know the omission was deficient prior to the mishap.

(7) Occasionally, an investigator may not be able to conclusively determine a specific causal action. In these special cases, the investigator may choose to list two or three of the most probable causes for each option. In rare instances, the causal event may be unknown.

c. Determining and Documenting Findings. Findings establish lines of evidence. Findings are used to establish factors. All Class A through Class E SIREPs must have findings.

(1) Each finding is a single event, condition or data point, which is important in the mishap or hazard. Each finding is an essential step in describing the complete event sequence; however, not every finding is causal. Findings must be concise (i.e., one sentence) and will not include any more information than is necessary to explain the event, condition or data point. Sequence-sustaining findings may be included and do not need to be linked to a factor.

(2) Each finding must have a logical connection to preceding findings. If no logical relationship exists, the sequence of the event has not been correctly described.

(3) Ensure that critical events required to sustain the event sequence have not been omitted. Conversely, do not include events interesting to the reader, but not necessary to sustain the event sequence.

(4) Ensure that the sequence starts when the initial action(s) occurred, which may be prior to the day of the mishap (e.g., design problems, improperly written directives, an inadequate training program).

(5) Ensure that the event sequence continues to the point where all damage or injury has occurred and the initial rescue or recovery actions have been accomplished.

Note: Do not include actions that follow rescue or recovery actions unless they specifically led to further damage or injury.

(6) Include injuries occurring during the event at the appropriate chronological point in the event sequence.

(7) Findings are arranged in chronological order and numbered consecutively.

(8) Write each finding as a full sentence, not a bullet or bullets. Use active voice where the subject accomplishes the action. Use past tense since the events occurred in the past. State the source of the findings at the end of each finding statement.

(9) Do not include people's names, call signs, DoD HFACS codes, gender pronouns or names of military bases or installations in the findings. Instead, use terms such as "the mishap vehicle," "the mishap vehicle operator," etc.

(10) After developing the findings, apply the "Findings Test" for validation as listed in subparagraphs 416c(10)(a) through 416c(10)(e).

(a) Is the Finding necessary to sustain the event sequence?

(b) Is the Finding a single event or condition?

(c) Is the Finding specific enough?

(d) Is the Finding relevant or simply interesting to the reader?

(e) Does the Finding logically connect to the preceding finding? Read the last finding. Ask "why?" Then, read the preceding finding. Does it answer the "why?" Continue for each finding.

d. Causal Findings. Identify causal findings by selecting the "Causal" button when entering findings in the RMI. Do not list causes under a separate heading. Word a causal finding as a clear and simple statement of a single condition or action. Causal findings must have a supporting causal factor detailed in the analysis and formal report.

(1) Causal findings will always be worded in an active voice and in past tense. A causal finding will identify the causal agent (i.e., who), the action taken (i.e., what) and the reason for the deficiency (i.e., why). Why the action or lack of action occurred should be fully explained in the narrative and may be included in the causal finding.

(2) After determining the causal findings, apply the "Cause Test" for validation as listed in subparagraphs 416d(2)(a) through 416d(2)(d).

(a) Is the causal finding correctable by commanders, supervisors or individuals?

(b) Is the causal finding a clear and simple statement of a single condition or event?

(c) Is the causal finding in the active voice and past tense and does it follow the format of who did what to whom or what and why?

(d) Is the causal finding an effect or an expected result of a previously identified cause, even though its inclusion sustains the event sequence? If so, it is not causal.

e. **Determining and Documenting Recommendations.** Recommendations are feasible and effective solutions to eliminate identified hazards; or, if the hazard cannot be eliminated, to mitigate the hazard's potential consequences. If no recommendations are made in an on-duty Class A or B investigation, then investigators will explain their rationale in the report narrative. Ensure that the investigation supports the recommendations. Do not make recommendations for the sole purpose of having recommendations. Recommendations require the assignment of a risk assessment code (RAC).

(1) Developing feasible and effective recommendations is a methodical process, which seeks to identify risk mitigation alternatives. It is essential to know precisely what deficiency or identified hazard, is being addressed; and, to stay focused on it.

(2) All recommendations should target one or more of the hazards identified and documented during the investigation. It is also sometimes prudent to make two or more recommendations against one hazard. Developing sound recommendations also requires recognition of the system safety hierarchy of controls (i.e., "order of precedence") concept (i.e., design changes, safety devices, warning devices or training and procedures) which recognizes that not all risk mitigation alternatives are equal. Figure 4-1 depicts a hierarchy of controls representation from the National Institute for Occupational Safety and Health Web site. Design fixes are among the most preferable solutions because they can often completely eliminate the hazard; however, these types of fixes often have the highest upfront costs. In all cases, use a hierarchy of controls to develop risk mitigation alternatives.

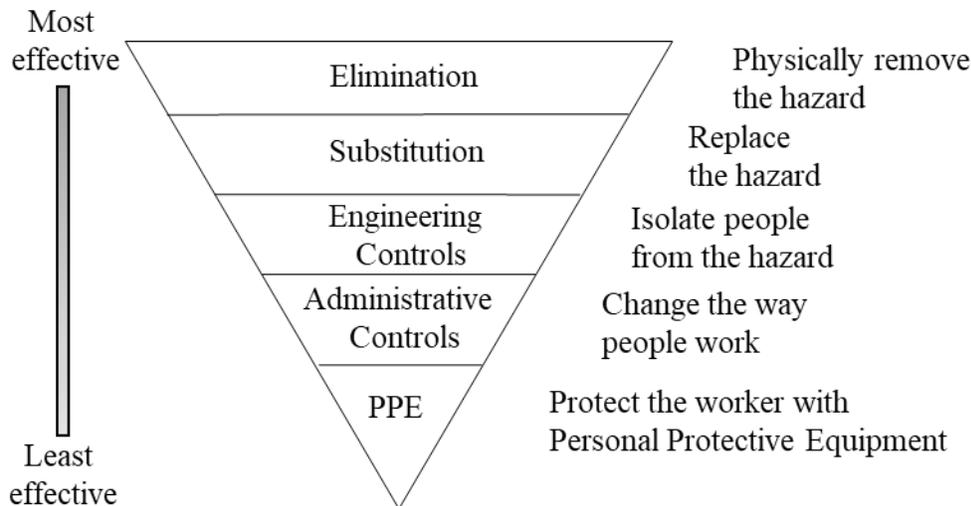


Figure 4-1. Hierarchy of Controls

(3) Based upon the specific information discovered during the investigation, selected alternatives should be formulated into feasible and effective recommendations and other alternatives discarded. The purpose of using the hierarchy of controls is to ensure investigators consider the entire range of available options and not just the cheap and easy ones...which, usually have the least mishap prevention value.

(4) A great deal of debate usually surrounds what is feasible and effective. Sometimes, a risk mitigation alternative is technically feasible and effective, but it is clearly not economically feasible or it has unacceptable mission consequences. In this case, discard the alternative. In other cases, it may not be clear that an alternative is either technically feasible or economically feasible. In these cases, include a recommendation for formal evaluation.

(5) Most recommendations will be associated with causal findings, but not all causal findings will have recommendations. For example, a causal finding may not have a recommendation if the deficiency is already prohibited in policy (i.e., instruction, technical order, etc.). Likewise, findings that are not causal may also have recommendations written against them.

(6) Recommendations may vary in scope. Some actions can be taken at unit level. Other recommendations require a TYCOM, SYSCOM or other agency actions.

(7) If a recommendation depends on tests or analyses that are incomplete when the report is transmitted, explain this and provide a reference to the tests or analyses (e.g., deficiency report, study or contract number).

(8) Recommendations should require the action agency to correct a deficiency rather than to implement a particular solution. The action agency normally has greater expertise than the investigators and should be given the opportunity to develop the optimal solution for a problem.

(9) Avoid recommendations that only require a study or evaluation. Action should be required based upon results of a recommended study. In most cases, it is not necessary to recommend a study or evaluation since studies or evaluations are implicit in the process. The recommendation can simply require corrective action.

(10) General, vague, sweeping or open-ended recommendations that cannot be closed by the action agency are not appropriate. Write recommendations that have a definitive closing action.

(11) Do not recommend briefing personnel on the event. Such a briefing is a basic commander responsibility and a normal function of safety offices at all levels of command.

(12) Do not recommend reminding personnel of the importance of simply doing their jobs properly. However, recommendations to place CAUTIONS and WARNINGS in technical order guidance relating to the adverse consequences of not doing one's job properly, may be appropriate. Recommendations for a specific action such as refresher training, implementing in-process inspections, etc., to ensure job duties are being properly performed, may also be appropriate since they are specific and can be closed.

(13) Include only one action for each recommendation. Rather than sub-grouping recommendations (e.g., 1a, 1b, 1c, etc.), use a new recommendation number. Do not create a recommendation in the RMI to state that there are no recommendations.

(14) Since recommendations are stand-alone items, when writing them, follow the guidance in subparagraphs 416e(14)(a) through 416e(14)(d).

(a) Spell out acronyms in each recommendation.

(b) Include the item to which the recommendation applies.

(c) Do not write "Recommend..." at the beginning of the recommendation.

(d) Do not write "NAVSEA should..." in the recommendation; just start with the required action. The action agencies are the office of primary responsibility (OPR) and office of collateral responsibilities (OCR).

(15) Determining the appropriate action agencies for each recommendation. Assign action agencies for all recommendations. An OPR is required for every recommendation. Although an OCR is not required, they are appropriate for many recommendations. List only

one OPR per recommendation. More than one OCR may be listed for an individual recommendation. OPRs and OCRs will be assigned by name and UIC for a given recommendation. OPRs will have the authority to update and recommend the recommendation for closure.

f. **Other Findings of Significance and Other Recommendations of Significance.** Guidance for developing and documenting primary findings and recommendations applies similarly to every Other Finding of Significance and Other Recommendation of Significance. Spell out acronyms in each Other Finding of Significance and Other Recommendation of Significance.

(1) Other Findings of Significance are findings that the safety investigators believe could contribute to future mishaps, but were not part of the event sequence. Other Findings of Significance are derived from Non-Factors Worthy of Discussion.

(2) Other Recommendations of Significance are recommendations resulting from Other Findings of Significance. Each Other Finding of Significance will be followed by one or more corresponding Other Recommendation of Significance. Assign an OPR and office of collateral responsibility (as required) to each Other Recommendation of Significance.

417. Hazard Reporting.

a. General. Hazard reporting provides a means for units to report a real or potential hazardous condition that could cause injury, illness or death to personnel or damage to or loss of equipment or property or mission degradation to the Naval Enterprise. Hazard reporting is an important part of the DON mishap prevention program because hazard reporting alerts NAVSAFECEN, CMC (SD) and safety officers and managers of hazardous conditions where risk is elevated so that risk controls can be devised and implemented before a mishap occurs. This approach to managing safety and risk aligns with an important goal of the Navy Safety Management System to transition from reactive safety and risk management to proactive safety and risk management. Hazard reporting also facilitates tracking, trending and widespread dissemination of hazard information to alert naval communities. Communication of hazards to Navy and Marine Corps systems command(s) and acquisition program manager(s) provides important information to systems safety processes so that newly developed and procured systems are designed with safety features already incorporated.

b. Hazard Categories. Hazards are divided into the two categories listed in subparagraphs 417b(1) and 417b(2):

(1) An act or event (i.e., near miss) that may have resulted in a mishap where the fatality, injury, illness, property damage or loss of an asset was avoided merely by chance, the actions of an individual or individuals, a small measure of distance or a few moments in time.

(2) A workplace condition that might result in injury, health impairment, illness, disease or fatality to any person who is exposed to the condition or which might result in damage to or loss of property or equipment.

c. Importance of Hazard Reporting. It is essential that commanding officers encourage and command safety programs foster, hazard reporting. Hazards that affect organizations outside the command or activity must be reported to higher authority. HAZREPs may include descriptions of corrective action (risk controls) undertaken by the command, which would benefit other commands facing similar problems. Local hazard reporting programs are not a substitute for reports outlined in this manual.

Note: HAZREPs do not replace hazard abatement program requirements found in either OPNAV M-5100.23 of 5 June 2020 or MCO 5100.29C, volume 6.

d. Purposes of Hazard Reports. Hazard reporting is used for five broad purposes listed in subparagraphs 417d(1) through 417d(5):

(1) To report a hazardous condition and the mitigating action taken, so that others may take similar action.

(2) To report a hazardous condition and recommend corrective action to others.

(3) To report a hazard condition so that another organization may determine and take appropriate corrective action.

(4) To document a continuing hazardous condition in order to establish risk severity and exposure for trending purposes.

(5) To report a hazardous act or event (i.e., near miss) that may have resulted in a mishap where the fatality, injury, illness, property damage or loss of asset was avoided merely by chance, the actions of a single person, a small measure of distance or a few moments in time. Recommended corrective actions should also be provided.

e. Hazard Identification. Individuals or commands with direct, first-hand knowledge of the circumstances surrounding a hazard are the most effective at identifying and reporting hazards and suggesting possible mitigating strategies. Some methods used in anticipating or identifying hazards before a mishap occurs include: Analysis of mishap data; observation and investigation of near misses; reports of unsafe acts or hazards by personnel; safety inspections; industrial hygiene surveys; safety assessments; job hazard analyses; and the review of policies, procedures, instructions and operations. Risk management, applied in the planning stages of an operation, will identify hazards at the earliest possible opportunity. An essential element of an effective command safety program, risk management includes a review of operating procedures, analysis

of equipment failures, etc., for hazard detection and assessment. Additional information on hazard identification is provided in OPNAV M-5100.23 of 5 June 2020, chapter B5.

f. Hazard Assessment. Two vital parts of hazard assessment are classifying the hazard according to the severity of the expected damage and determining the probability or likelihood that the identified hazard will occur. This assessment results in the assignment of a RAC. A RAC of 1 or 2 is considered a severe hazard while a RAC of 3, 4 or 5 is considered routine. Severe hazards should receive priority when allocating resources for corrective actions. For U.S. Navy, see OPNAVINST 3500.39D, enclosure (1), for detailed methods of determining severity and probability and a risk assessment matrix that is used to determine a RAC. For U.S. Marine Corps, see MCO 5100.29C, volume 2.

g. Hazard Investigations.

(1) The quality of a HAZREP depends directly on the quality of the investigation into its attendant circumstances. Typically, hazards are investigated by an SIO. However, for some hazardous conditions and events (e.g., near misses) potential severity of the condition or event may warrant more investigative rigor than what is typically provided by an SIO. In these circumstances, convening authorities are encouraged to consider appointing an SIB to conduct the investigation.

(2) HAZREPs are not privileged. Promises of confidentiality are prohibited for hazard investigations. See paragraph 804 of this manual for further guidance on promises of confidentiality.

(3) The contents of HAZREPs may be divulged to outside agencies in response to FOIA request. Therefore, when submitting a HAZREP, do not include information such as names, dates, locations or any other details that could be traced to a specific mishap. Do not include any PSI in HAZREPs. Do not provide any personally identifiable information in HAZREPs.

(4) Near miss events should be treated as a rare gift by commanders and safety professionals because they afford us the opportunity to examine both latent conditions and active failures that could have caused a mishap, but the event did not result in loss of life, injury or significant property damage. Near miss events should be investigated and reported whenever discovered.

h. HAZREP Submission Criteria. A HAZREP is intended to be submitted when the elimination and control of a given hazard has a command-wide or community-wide implication in reducing mishaps. Subparagraphs 417h(1) through 417h(9) provide specific submission criteria:

(1) All identified hazards and near misses where information is considered valuable if shared with other commands or communities or the Naval Enterprise.

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

(3) Any other unusual hazard discovered during maintenance, repair, inspections or evolutions where notifying other activities may prevent similar mishaps. The intent is not to conflict with other regular maintenance reporting requirements or any portion of the activity's overall safety program, but to assist in coordination of the total safety effort.

(4) Events that are not a DoD mishap, but still require a safety report per paragraph 218 of this manual.

Note: Hazards that involve a defined naval aircraft are reported using the procedures in OPNAVINST 3750.6S.

(5) The RMI must be used to submit HAZREPs described in this manual. HAZREPs should include recommending corrective action to eliminate the identified hazards and must include recommended corrective actions when a severe hazard has been identified (i.e., RAC 1 or 2). HAZRECs with recommendation actions beyond the submitting command must be endorsed using the process described in chapter 6 of this manual.

(6) SIBs must give careful consideration to using the HAZREP to disseminate important hazard information discovered during the course of their investigation. While hazards that are found to be causal will eventually be identified and discussed and that information disseminated as part of a SIREP, the importance of the hazard information may warrant earlier dissemination in a HAZREP before a SIREP has been released. SIBs should err on the side of early dissemination of hazard information. Additionally, during the course of their investigations, SIBs many times discover hazards that are not found to be causal in the mishap under investigation. SIBs must use the HAZREP to disseminate this hazard information.

(7) Submit HAZREPs with a severe RAC (i.e., RAC 1 or 2) within 72 hours of detecting the hazard. Submit all other HAZREPs as soon as possible.

(8) HAZREPs are usually unclassified. Omit any portion of a HAZREP that warrants a security classification; substitute the word "CLASSIFIED" in its place and submit a separate classified supplement. In the unlikely event that a meaningful unclassified HAZREP cannot be produced unless classified information is used, submit a classified message report. Send classified supplements and classified HAZREPs to NAVSAFECEN at NAVSAFECEN_CLASSIFIED_MISHAP@navy.smil.mil.

(9) Individuals reluctant to identify themselves may enter and submit an anonymous report to COMNAVSAFECEN using the NAVSAFECEN ANYMOUSE program. This method is pertinent when unique situations or embarrassing circumstances exist. NAVSAFECEN protects the confidentiality of these anonymous reports and takes action or coordinates action with the appropriate action agency. If the circumstances warrant, NAVSAFECEN may also submit the ANYMOUSE as a HAZREP after removing identifying information. Information about the NAVSAFECEN ANYMOUSE program, including how to submit an ANYMOUSE, is available online at Web site: <https://navalsafetycenter.navy.mil/Contact-Us/Anymouse-Submission/>.

i. HAZREP Censorship. It is contrary to the spirit of the Navy and Marine Corps mishap prevention program for personnel in the chain of command to edit, change or censor the contents of a HAZREP. The HAZREP endorsement process provides senior commands with the only acceptable method to express disagreement with the contents of a HAZREP.

j. Hazard Recommendation (HAZREC) Management. Open HAZRECs will be managed in the RMI following the procedures explained in chapter 6 of this manual.

CHAPTER 5
SAFETY INVESTIGATION ENDORSEMENT PROCESS

501. Purpose. To explain the process, roles, responsibilities and timelines to review, endorse, finalize and close out safety investigation reports Safety Investigation Reports (SIREP) and hazard reports (HAZREP), from the time the investigation is complete and the SIREP or HAZREP is released by the safety investigation board (SIB) or single investigating officer (SIO), until the release of the final endorsement to the SIREP or HAZREP.

502. Applicability. The endorsement process described in this chapter applies to all SIREPs and HAZREPs that require endorsement, whether the investigation was conducted by an SIB or by an SIO.

503. General.

a. The process described in this chapter to review, endorse and close out SIREPs represents a major break from the previous process. The previous endorsement process relied on a specifically defined endorsing chain that typically mirrored the operational chain of command, to conduct a formal and sequential review and endorsement of a SIREP, from an SIB investigation. Each command in the endorsing chain reviewed both the SIREP and the previous endorser(s) comments and recommendations, then added their own endorsement. This previous process was extremely lengthy, often requiring more than a year from mishap occurrence to final endorsement and closeout.

b. The new methodology described in this chapter adopts most of the U.S. Air Force's Memorandum of Final Evaluation (MOFE) process when SIREPs and HAZREPs require endorsement. The MOFE process relies on a concurrent 45-calendar day review and endorsement period (i.e., Concurrent Comment Period) for all endorsers and interested parties, except for the final endorser. While there remains a requirement for those identified as required endorsers to critically review the SIREP or HAZREP during the Concurrent Comment Period, there is no requirement for endorsers to provide comments if they concur with the entire SIREP or HAZREP as written by the SIB or SIO. The absence of a comment is considered tacit approval of the SIREP or HAZREP.

c. Once the Concurrent Comment Period ends, a second 45-calendar day review and endorsement period (i.e., Deliberation and Adjudication Period) begins for the final endorser. During this period, the final endorser will review and adjudicate all comments and recommendations that have been made by the endorsers, then complete and release the final endorsement. With the release of the final endorsement, the investigation is officially considered closed. The new endorsement process will dramatically shorten the timeline from the release of a SIREP or HAZREP, to the final endorsement and closeout.

d. The new, concurrent endorsement process does not minimize the importance of endorsers and is a critical final step to finalize a SIREP or HAZREP. For mishaps, endorsers must still carefully review and evaluate the SIREP and ensure that the SIB or SIO completed a sufficiently rigorous investigation that uncovered all of the root causes of the mishap. The same applies for hazard investigations requiring endorsement, except the endorsers should focus on the sufficiency of the investigation in describing the characteristics of the hazard and its underlying causes. Endorsers must also verify that the controls recommended by the SIB or SIO are sufficiently strong enough to mitigate the identified risks and are sufficiently practical and feasible to implement.

Note: The terms “review and endorsement process,” “endorsement process,” and “MOFE process” may be used interchangeably to describe the process explained in this chapter. The acronym “MOFE” and the term “final endorsement” may also be used interchangeably to describe the product released by the final endorser that finalizes the SIREP or HAZREP and officially closes the investigation.

504. Determination of the Requirement for Endorsement. All SIREPs and HAZREPs that contain recommendations or corrective actions must be endorsed.

505. SIREP Endorsement Process Steps and Timeline. This section describes each step in the endorsement (i.e., MOFE) process. Figure 5-1 illustrates a nominal endorsement timeline.

a. Step 1. Report Submission. The SIB or SIO completes the investigation and submits the SIREP or HAZREP into the RMI POR.

b. Step 2. Convening Authority Review. The convening authority safety officer or safety staff conducts an administrative review of the entire SIREP or HAZREP submitted by the SIB or SIO. This review must be completed within 10 business days. This review will:

(1) Ensure the investigative guidance and documentation standards established in this instruction have been met;

(2) Ensure adequate evidence and analysis is presented and sufficient to support the investigation’s findings, conclusions and accepted causal factors;

(3) Ensure Department of Defense (DoD) HFACS codes are assigned and sufficient;

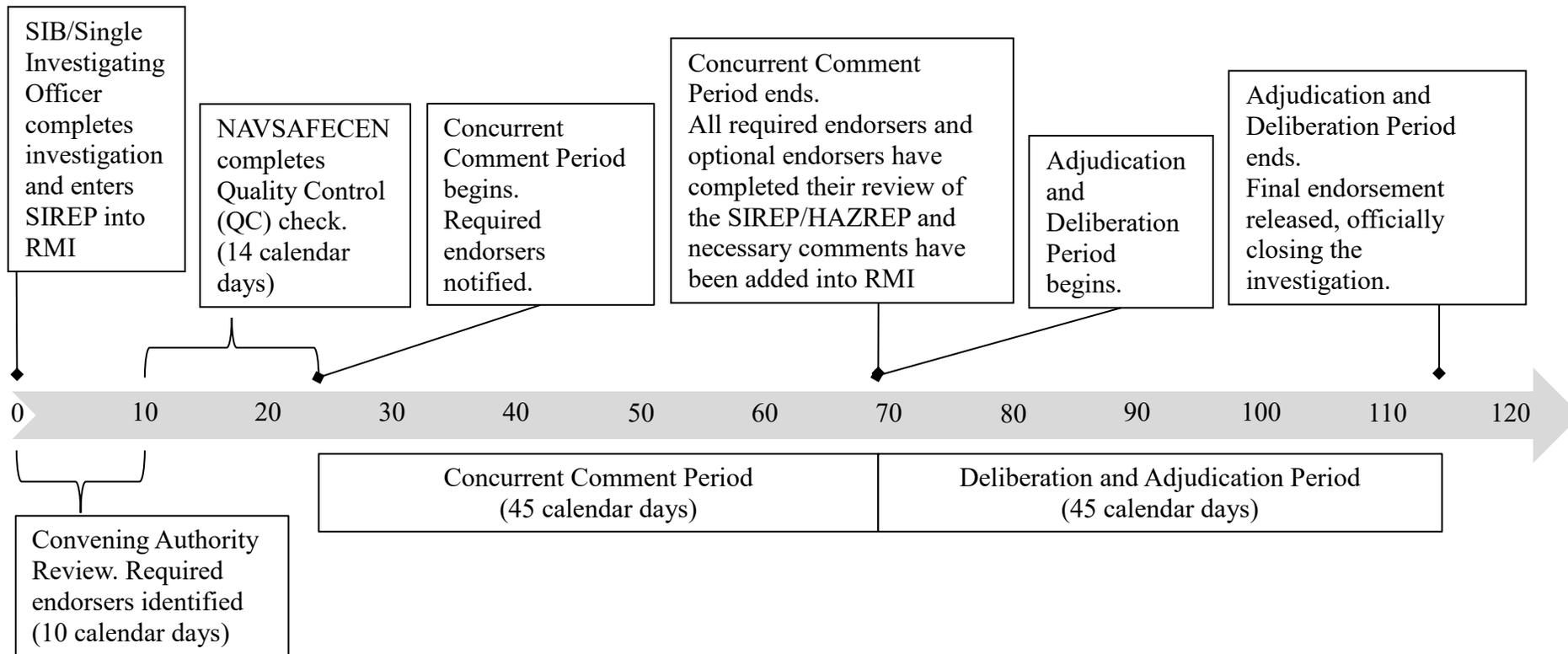


Figure 5-1. Nominal Endorsement Timeline

(4) Ensure recommendations and action agents are assigned for each accepted causal factor;

(5) Determine if the SIREP or HAZREP requires endorsement (i.e., requires entry into the MOFE process) per guidance in paragraph 504; and

(6) When an endorsement is required, identify the specific commands or activities that are required endorsers per paragraph 506 and enter the endorser information in the RMI.

Note: During Step 2, the convening authority identifies the specific commands or activities that are required endorsers and informally lists the commands or activities by name and UIC in the Comments for Approval Authority box.” The NAVSAFECEN will take the list provided by the convening authority and enter the list of commands and activities into the MOFE during its quality control review (Step 3).

c. Step 3. NAVSAFECEN Quality Control Review. The NAVSAFECEN conducts a quality control review of the SIREP or HAZREP. Omissions or deficiencies identified during this review are addressed with the SIB or SIO directly or through the convening authority safety officer or safety staff. This review must be completed within 14 business days. Once this review is complete, the SIREP or HAZREP will be released by the NAVSAFECEN and the report enters the concurrent comment period. The unendorsed SIREP or HAZREP is also available for viewing in the RMI database.

d. Step 4. Concurrent Comment Period. The 45-calendar day concurrent comment period begins when the NAVSAFECEN quality control checks are completed. During this period, all required endorsers must and other authorized individuals may, review the SIREP or HAZREP concurrently. Endorsers must assess the overall rigor and thoroughness of the safety investigation, evaluating the findings, causal factors, recommendations and DoD HFACS codes that were assigned by the SIB or SIO. Endorsers who have substantive comments must enter those comments into the RMI POR database within 45 calendar days. Endorsement comments should follow the format provided in chapter appendix 5-A. Required endorsers who concur with the findings, causal factors, recommendations and DoD HFACS codes in the SIREP or HAZREP and have no comments after completing their review, have no further required actions, with two exceptions as listed in subparagraphs 505d(1) and 505d(2).

(1) The convening authority must provide comments even if "concur as written" is the only applicable comment made.

Note: The RMI offers a free text box to enter comments during the concurrent comment period. Endorsers must first identify a reference point from the SIREP before entering comments. Typically, the reference point will be a finding, causal factor, DoD HFACS code or

recommendation. See chapter appendix 5-A for more information on organizing endorsement comments.

(2) Action agencies with OPRs that are assigned a recommendation or recommendations, must provide comments informing the convening authority on the feasibility of the recommendation, give advice to ensure the recommendation is properly worded or aligned and provide a status if available.

Note: The RMI can provide an e-mail notification when a SIREP or HAZREP has entered the concurrent comment period once the command or activity e-mails have been manually added into the RMI. UAs should refer to The Navy and Marine Corps Safety Investigations and Reporting Guide for details on establishing e-mail notifications.

e. Step 5. Deliberation and Adjudication Period. Once the 45-calendar day concurrent comment period concludes, the 45-calendar day deliberation and adjudication period begins. During this time, the final endorser will review and adjudicate all comments and complete the final endorsement. When complete, the final endorsement is released and entered into the RMI database. The MOFE represents the independent final evaluation and position on the causes, findings, recommendations and DoD HFACS codes of a safety or hazard investigation. Release of the final endorsement officially closes the investigation.

506. Determining SIREP and HAZREP Endorsers. The commands, activities and individuals listed in subparagraphs 506a(1) through 506a(12) and in subparagraphs 506b(1) through 506b(4), are either required or optional reviewers, as indicated, during the concurrent comment period for all SIREPS and HAZREPs that require endorsement.

a. Required Endorsers:

- (1) Convening authority.
- (2) Designated OPRs and OCRs assigned one or more corrective actions in the SIREP or HAZREP.
- (3) Type commander, for Class A and B mishaps that involved one of their assets or personnel.
- (4) Commanding officer(s) of the unit(s) involved in the mishap.
- (5) Masters for military sealift command vessels involved in the mishap.
- (6) Commanding officer(s) and commander(s) in the operational chain of command of the unit(s) involved in the mishap for Class A and B mishaps.

(7) Systems commanders, for Class A and B mishaps that required their expertise during the investigation (e.g., an engineering investigation).

(8) Lead research and development agency for a weapons system (e.g., a naval surface warfare center), when that weapons system was involved in a mishap for Class A and B mishaps.

(9) Commanders of combatant commands for Class A and Class B mishaps occurring in their commands.

(10) A vessel's commanding officer or master for military sealift command vessels and superiors in the chain of command, if a mishap involved a fatality, injury or property damage to embarked Marine units.

(11) Naval ordnance safety and security activity for mishaps involving a Navy unit or activity and ordnance or ammunition.

(12) Marine Corps Systems Command for mishaps involving a Marine Corps unit or activity and ordnance or ammunition.

b. Optional Endorsers:

(1) Fleet commander, for a mishap occurring in their respective area of responsibility.

(2) Component commanders of unified commands when the mishap occurred during contingency operations.

(3) Individual(s) found causal in the formal SIREP.

(4) DON agencies outside the investigating command, if their functions were involved in the mishap or hazard (optional).

Note: Unsolicited comments by other agencies and organizations reviewing the formal SIREP may comment on the findings, human factors and recommendations even though they are neither in the chain of command, nor a designated action command or agency.

507. Endorsement Prohibitions.

a. Endorsements or extracts from endorsements must not be appended to or included in, JAGMAN investigation reports, nor any other reports.

b. Endorsements must not include any reference to disciplinary action or any other administrative action in connection with the mishap being endorsed.

508. Extension of the Concurrent Comment Period.

a. Required endorsers may request an extension of the concurrent comment period. Requests must provide sufficient justification. Requests for an extension will be denied if requested after the 45-day concurrent comment period has concluded.

b. Only CNO N09F (i.e., for Navy investigations) and Director, CMC SD (i.e., for Marine Corps investigations) are authorized to grant extensions.

509. Reopening an Investigation.

a. The authority to reopen an investigation rests only with the convening authority and CNO N09F (i.e., for Navy investigations) or Director, CMC SD (i.e., for Marine Corps investigations).

b. If any endorser concludes that an investigation is incomplete or a SIREP or HAZREP is inadequate, they must recommend the reopening of the investigation by plainly stating this recommendation with specific justification when providing comments during the concurrent comment period.

Note: Disagreement with a particular factor or recommendation is insufficient grounds to reopen an investigation. Disagreements of this kind should be addressed in the endorser comments during the concurrent comment period.

c. When an investigation is reopened, the convening authority or higher authority who has directed the reopening, must clearly specify the areas of concern or deficiencies to the SIB or SIO.

d. Reopened investigations will be completed within 30 days unless an extension is requested by the SIB and approved by the convening authority.

510. Introduction of New Information. If, during the deliberation and adjudication period, CNO N09F (i.e., for Navy investigations) or Director, CMC SD (i.e., for Marine Corps investigations), learns facts that were not available to safety investigators or that shed new light on the published findings, causes and recommendations, they must take one of the actions in subparagraphs 510a or 510b.

a. Reopen the investigation.

b. Include the new facts as a "Comments for MOFE" by selecting the "Provide Comments for MOFE" link.

511. Submission of Comments after the Concurrent Comment Period. Comments cannot be entered into the RMI once the concurrent comment period has closed. Comments may be submitted via e-mail to the NAVSAFECEN, but are considered unofficial comments and might not be used during the MOFE deliberation. Subparagraphs 511a through 511d list the NAVSAFECEN e-mail addresses by directorate.

- a. Aviation Safety Programs Directorate (Code 10):
NAVSAFECEN_CODE10_AVIATION@navy.mil.
- b. Shore Safety Directorate (Code 20): NAVSAFECEN_CODE20_ASHORE@navy.mil.
- c. Afloat Safety Directorate (Code 30): NAVSAFECEN_CODE30_AFLOAT@navy.mil.
- d. Operational Risk Management/Expeditionary Warfare Directorate (Code 40):
NAVSAFECEN_CODE40_EXW_ORM@navy.mil.
- e. Commandant of the Marine Corps (Safety Division) Ground:
HQMC_SAFETY_DIVISION@usmc.mil.

512. Final Endorsement. The final endorsement (i.e. MOFE) will address factors, recommendations, other recommendations of significance, designated action agency responsibilities and DoD HFACS coding. The final endorsement is used to:

- a. Provide comments about factors to address procedural errors, changes to causal or not causal, additions or deletions or to add information not available to the SIB. Provide specific information to support the requested changes.

- b. Provide comments about recommendations to address procedural errors, changes to designated action agencies or to make additions or deletions.

- (1) If changes to designated action agencies are required, provide contact information for the newly-designated action agency, to include the name, rank or GS grade, office symbol, DSN or commercial phone number and Government e-mail address. Additionally, comments may address the recommendation narrative to clarify intent or correct errors.

- (2) If a recommendation has already been completed and the action agency has provided sufficient documentation of actions taken, the final endorser may close the recommendation in the MOFE.

- c. The final endorser will be:

(1) CNO N09F (i.e., for Navy investigations) and Director, CMC SD (i.e., for Marine Corps investigations) for all Class A mishaps and all explosive mishaps;

(2) CNO N09F (i.e., for Navy investigations) and Director, CMC SD (i.e., for Marine Corps investigations) for all safety investigations they directed; or

(3) The convening authority for all other class mishaps and hazard investigations that require endorsement.

Note: CNO N09F (i.e., for Navy investigations) and Director, CMC SD (i.e., for Marine Corps investigations) have the authority to be the final endorser for any safety investigation. When exercising this prerogative, they will coordinate with the convening authority.

513. Significant Changes to Findings. If the final endorser adds a person to a causal finding or significantly changes an individual's role in the findings, the final endorser will notify the individual through his or her command safety representative and afford the individual an opportunity to submit comments. Comments are not required.

- a. The individual will be provided with pertinent sections of the draft final endorsement to review.
- b. No others may provide further comment (i.e., the individual's command).
- c. The individual has 15 calendar days to provide comments.
- d. The individual may request an extension with justification to the final endorser who may grant an extension.
- e. The MOFE must not be released until after the individual has had an opportunity to respond.

APPENDIX 5-A
MOFE ENDORSEMENT TEMPLATES

Templates are provided in paragraphs 1 through 4 of this appendix to organize the Memorandum of Final Endorsement (MOFE) comments.

1. General Endorsement Guidelines.

a. The convening authority (CA) must provide comments even if "Concur as Written" is the only applicable comment made.

b. The absence of comments by endorsers other than the CA is considered tacit approval of the SIREP or HAZREP and will be considered equivalent to commenting "Concur as Written."

2. MOFE Endorsers Other Than the CA.

a. Concur with Report as Written: (No entry required).

b. Concur with Report, with Additional Comments or Recommendations: "[Unit] concurs as written, with the following additional recommendation(s)/comments:"

Recommendation #X [Justification].

Additional comments (optional).

c. Non-Concur with Sections of Report: "[Unit] concurs as written with the following exceptions:"

Section number [X.X.X] Title: [Non-concur Justification].

Section number [X.X.X] Title: [Non-concur Justification].

(Repeat as required).

Additional comments (optional).

3. CA Comments.

a. CA Concur with Report and MOFE Comments (CA Only): "[CA unit] concurs as written."

Additional CA Comments (optional).

b. CA Non-Concurs with Report, Non-Concurs with MOFE Comments or both (CA Only):
“[CA unit] concurs with report as written with the following exceptions:”

Section number [X.X.X] Title: [Non-concur Justification].

Section number [X.X.X] Title: [Non-concur Justification].

(Repeat as required).

“[CA unit] does not concur with [unit 1]'s comments for MOFE.” [Justification].

“[CA unit] does not concur with [unit 2]'s comments for MOFE.” [Justification].

(Repeat as required).

Additional CA Comments (optional).

4. Commanding Officer Comments on HAZREPs and Class E SIREPs Not Requiring Endorsement.

Note: Enter comments in “Investigation Conclusions” block.

a. CO Concurs with Report and Comments: “[CO unit] concurs as written.”

Additional CO Comments (optional).

b. CO Non-Concurs with Report or Comments: “[CO unit] concurs with report as written with the following exceptions:”

Section number [X.X.X] Title: [Non-concur Justification]

Section number [X.X.X] Title: [Non-concur Justification]

(Repeat as required)

Additional CO Comments (optional).

CHAPTER 6
MANAGING MISHAP AND HAZARD RECOMMENDATIONS

601. Purpose. To provide procedures and guidelines for managing open mishap recommendations (MISREC) and hazard recommendations (HAZREC) and for determining, managing and accepting the risks associated with those MISRECs and HAZRECs. Authorities and procedures to modify, cancel and close open MISRECs and HAZRECs are also explained.

602. General. Safety investigations result in MISRECs and HAZRECs developed by the Single Investigating Officer (SIO) or Safety Investigation Board (SIB) designed specifically to address hazards identified during the investigation. MISRECs and HAZRECs are scrutinized during the endorsement process and approved by the final endorser as discussed in chapter 5. Some MISRECs and HAZRECs are completed and closed out quickly while others take considerable time to complete, primarily due to the complexity of the required actions. These open MISRECs and HAZRECs increase the risk to naval operations and activities; therefore, a systematic process is required to assess the increased risk and present this information to naval leaders so that the elevated risk is understood and accepted at the right level. Effective management of MISRECs and HAZRECs forms an essential component of the Department of the Navy's (DON) mishap prevention efforts. See OPNAV M-5100.23 of 5 June 2020 for more information on risk management and hazard identification, reporting, prevention, control and abatement within the Navy safety management system. See also MCO 5100.29C, volume 1 (Marine Corps Safety Management System Overview) and MCO 5100.29C, volume 2 (Risk Management).

603. Policy.

- a. The Risk Management Information (RMI) must be used to manage the life cycle of MISRECs and HAZRECs from their approval by the final endorser to final disposition and closeout.
- b. Offices of Primary Responsibility (OPR) of open MISRECs and HAZRECs must provide an update at least every six months until the MISREC or HAZREC is closed.
- c. Hazard Review Boards (HRB) must be established at the controlling command level to manage open MISRECs and HAZRECs and the risk assessment process per the requirements defined in this chapter. See paragraph 608 for more information on HRBs.
- d. A formal risk assessment is required for all open MISRECs and HAZRECs and the risk assessment must be approved and signed at the appropriate level.

(1) For MISRECs from Class A and B mishaps and all risk assessment code (RAC) 1 and 2 HAZREPs, the OPR's controlling command must approve and sign the risk assessment.

(2) For MISRECs from Class C, D and E mishaps and all RACs 3 and 4 HAZREPs, the OPR's commander or commanding officer must approve and sign the risk assessment.

e. The approval authority to close out MISRECs and HAZRECs when the actions taken are different than the proposed actions or where no action has been taken or will be taken, is CNO N09F for the Navy or Director, CMC (SD) for the Marine Corps. See paragraph 605 for MISREC and HAZREC closeout procedures and paragraph 606 for assignment of approval authority.

604. Managing Open MISRECs and HAZRECs.

a. Use of the RMI is required to manage updates and final disposition of MISRECs and HAZRECs.

b. The OPR must provide MISREC and HAZREC updates in the RMI every six months until the MISREC or HAZREC is closed. In cases where the OPR does not have sufficient RMI privileges to submit the update, the OPR must work with the RMI user administrator (UA) of their assigned command to post updates to the RMI. MISREC and HAZREC updates will include the items in subparagraphs 604b(1) through 604b(8):

- (1) Actions taken and actions planned.
- (2) Results of development and testing.
- (3) Significant problems encountered.
- (4) Delays and delay causes.
- (5) Rationale and any supporting risk assessment to justify decisions made.
- (6) Concurrence or non-concurrence by other affected commands or activities.
- (7) Percent of equipment modified, if applicable.
- (8) Justification for any risk that was transferred to a lower echelon.

605. Closing Out MISRECs and HAZRECs.

a. The OPR must request closure in the RMI of every MISREC and HAZREC from the appropriate authority who determines if the closing action is acceptable.

b. A risk assessment must accompany all requests for MISREC or HAZREC closeouts when the actions taken are different from the proposed actions or where no action is taken. See subparagraph 603d for details on risk assessments.

c. The OPR must upload supporting documentation with requests for closeout (e.g., technical publication pages, risk assessment, training plans or HRB results).

d. Acceptable MISREC and HAZREC closeout actions are provided in subparagraphs 605d(1) through 605d(4):

(1) Recommended changes have been completed to all applicable publications and those publications have been issued. Include supporting details such as publication name and number, date of publication and the affected page numbers in the publication.

(2) Recommended modifications to all applicable equipment, systems or items have been completed. Development and approval of the technical change or changes is insufficient grounds for requesting a MISREC or HAZREC closeout since the elevated risk remains. MISREC or HAZREC closeout must not be requested until modifications or design changes have been implemented on all applicable equipment, systems or items.

(3) Recommended studies or evaluations have been completed, conclusions were validated and actions on all validated requirements were completed. In these cases, the OPR must include detailed rationale, to include a risk assessment, to support their conclusions.

(4) Recommended changes to training have been completed. If the training changes were incorporated into a publication, see paragraph 605d(1). Otherwise, corrective action annotations must include, as a minimum, the implementation method of the new training, the date implemented and the currency requirement for the training.

e. The approval authority will approve closeout only after all actions have been completed and properly annotated.

f. For MISRECs and HAZRECs closed without action taken (i.e., to include no action taken), document the risk assessment and approved closeout in the RMI.

g. For MISRECs and HAZRECs that were not implemented because of the planned retirement of a system, piece of equipment or item, the retirement date must be annotated. If the system, piece of equipment or item has not yet been completely removed from service at the time that the MISREC or HAZREC closeout is requested, an approved and signed risk assessment must be submitted. See subparagraph 603d. for details on approving risk assessments.

606. Reassignment of OPR Responsibilities. Action agencies have the authority to reassign OPR responsibilities to other individuals within their command.

607. Assignment of Approval Authority.

a. The approval authority to close out MISRECs and HAZRECs when the actions taken are different than the proposed actions or where no action has been taken or will be taken, is CNO N09F for the Navy or Director, CMC (SD) for the Marine Corps.

b. Use table 6-1 to determine the approval authority to close out MISRECs and HAZRECs when the actions taken are the same as the proposed actions.

Rule	If the MISREC or HAZREC action agency is...	And the MISREC or HAZREC involves a...	Then authority to close the MISREC or HAZREC is...
1	an O-5 level command (e.g., battalion, ship, squadron, submarine),	Class A mishap,	CNO N09F for the Navy, Director, CMC (SD) for the Marine Corps.
2		Class B or C mishap,	controlling command of the action agency.
3		Class D or E mishap,	the immediate superior in command of the O-5 command.
4		RAC 1 or 2 hazard,	CNO N09F for the Navy, Director, CMC (SD) for the Marine Corps.
5		RAC 3 or 4 hazard,	the immediate superior in command of the O-5 command.
6	an O-6 level command (e.g., base, battalion, Marine amphibious group, ship, submarine, type wing),	Class A mishap,	CNO N09F for the Navy, Director, CMC (SD) for the Marine Corps.
7		Class B, C, D or E mishap,	controlling command of the action agency.
8		RAC 1 or 2 hazard,	CNO N09F for the Navy, Director, CMC (SD) for the Marine Corps.

Rule	If the MISREC or HAZREC action agency is...	And the MISREC or HAZREC involves a...	Then authority to close the MISREC or HAZREC is...
9		RAC 3 or 4 hazard,	controlling command of the action agency.
10	a systems command or a controlling command,		CNO N09F for the Navy, Director, CMC (SD) for the Marine Corps.
11	the Naval Safety Center or CMC (SD),		CNO N09F for the Navy, Director, CMC (SD) for the Marine Corps.

Table 6-1. Determination of MISREC and HAZREC Approval Authority

608. Hazard Review Boards.

a. Each controlling command will either establish an HRB or incorporate the requirements of this paragraph into the charter or operating instructions of an existing council or committee formed per OPNAV M-5100.23 of 5 June 2020, chapter B4 (i.e., Navy controlling commands) or MCO 5100.29C, volume 1, chapter 6 (i.e., Marine Corps controlling commands).

(1) The HRB will meet at least semiannually. A memorandum for the record must be created for each HRB meeting and retained at the controlling command for three calendar years beyond the current calendar year.

(2) The HRB should be chaired by the controlling command’s safety officer or safety manager. Collective bargaining agreements may require an employee representative to be a member of entities affecting employee health or safety, such as an HRB. Additional representation is left to the discretion of the controlling command.

b. The broad purpose of an HRB is to evaluate hazards that exist within the operating environment of a command and its subordinate commands to better understand the risks associated with those hazards, determine whether stronger risk controls are needed and keep the commander informed of those risks. At a minimum, HRBs will:

(1) Manage all open MISRECs from Class A and B mishaps and all open RACs 1 and 2 HAZRECs assigned to OPRs within the command including subordinate commands.

(2) Periodically reevaluate the effectiveness of risk controls that were put in place when MISRECs and HAZRECs were implemented in order to determine if these controls are having

the desired effect. In cases of elevated risk, make a recommendation to the convening authority to convene a hazard investigation by an SIO or SIB.

(3) Evaluate risk assessments prepared by OPRs for sufficiency. Submit risk assessments to the commander for review and signature.

(4) Review and approve updates from OPRs for open MISRECs and HAZRECs. Upload all approved updates into the RMI.

(5) Provide a brief or written report to the commander at least semiannually. At a minimum, the brief or report must include the information in subparagraphs 608b(5)(a) through 608b(5)(e):

(a) Total number of open MISRECs from Class A and B mishaps and RACs 1 and 2 HAZRECs held by OPRs within the command, including subordinate commands.

(b) The status of all open MISRECs from Class A and B mishaps and RACs 1 and 2 HAZRECs held by OPRs within the command, including subordinate commands and identification of those that have been open for more than two calendar years.

(c) Number of MISRECs and HAZRECs that have been closed since the last brief or report.

(d) A review of all previously approved risk assessments still in effect.

(e) Areas of elevated risk that warrant increased attention or investigation.

c. Echelons of command below the controlling command are encouraged, but not required, to establish a similar HRB process to manage MISRECs from Class C through E mishaps and RACs 3 through 5 HAZREPs.

Note: While an HRB is not required below the controlling command level, all open MISRECs and HAZRECs must be tracked by the action agency and command responsible for signing off the completed MISRECs and HAZRECs per table 6-1.

609. Managing the MISREC and HAZREC Process at the Service Level.

a. OPNAV N09F for the Navy and CMC (SD) for the Marine Corps are responsible for managing the overall MISREC and HAZREC process. Specific responsibilities include those listed in subparagraphs 609a(1) through 609a(5):

(1) Track open MISRECs and HAZRECs.

(2) Create and manage an independent, standardized process to evaluate the risks associated with open MISRECs and HAZRECs.

(3) Create and keep current a prioritized list of open MISRECs and HAZRECs.

(4) Periodically communicate prioritized risks from this evaluation to controlling commands and other senior Navy and Marine Corps leaders in order to remove barriers that are preventing the completion of necessary actions to close MISRECs and HAZRECs.

(5) Work closely with and provide assistance to the HRBs for controlling commands in the execution of their responsibilities.

b. CNO N09F is solely responsible for the requirements in subparagraphs 609b(1) and 609b(2):

(1) Verifying that specified actions required by MISRECs and HAZRECs have been completed by the appropriate action agencies.

(2) Editing, calling complete or otherwise closing out languishing and obsolete MISRECs and HAZRECs.

CHAPTER 7
RECORD KEEPING

701. Purpose. To provide the record keeping requirements for Navy and Marine Corps events (i.e., mishaps, hazards (including near misses) and incidents), except those events involving a defined naval aircraft. For events involving defined naval aircraft, refer to OPNAVINST 3750.6S.

702. General. Record keeping of events is vital to provide safety information to the Occupational Safety and Health Administration (OSHA), Department of Defense (DoD) and Department of the Navy (DON). These records are required by Federal law and provide information to identify unsafe acts and conditions and to supply corrective measures. Therefore, all OSHA recordable and DON reportable events are to be reported electronically, as required by this manual, to Commander, Naval Safety Center (COMNAVSAFECEN).

703. Electronic Record Keeping. The DON established a new unclassified system of records entitled, "Risk Management Information System (RMI)." RMI is a DON program of record and replaced the DON's legacy unclassified system of records entitled, Web-Enabled Safety System. RMI collects information from active duty Service members, reservist Service members, DOD civilians and members of the public on fatalities, injuries, work-related illnesses and pertinent information for property damage incurred during DON operations, required of Federal Government agencies by the OSHA. The data maintained in this system will be used for analytical purposes to improve the DON's mishap prevention policies, procedures, standards and operations, as well as to ensure internal data quality assurance.

a. RMI Information Sharing. RMI collects personally identifiable information (PII) from the following existing DoD information systems: Joint Deficiency Reporting System (JDRS); Marine Sierra Hotel Aviation Readiness Program (M-SHARP); Defense Civilian Personnel Data System (DCPDS); Defense Manpower Data Center Reporting System (DMDCRS); Navy and Marine Corps Medical Readiness Reporting System (MRRS); Aeromedical Services Information Management System (ASIMS); Medical Protection System (MEDPROS); Corporate Enterprise Training Activity Resource Systems (CeTARS); Naval Aviation Logistics Command Management Information System (NALCOMIS); Decision Knowledge Programming for Logistics Analysis and Technical Evaluation (DECKPLATE); Defense Civilian Payroll System (DCPS); Global Combat Support Systems- Marine Corps (GCSS-MC); Injury Verification Feed (IVF); Marine Corps Total Force System (MCTFS); Total Force Structure Management System (TFSMS); Enterprise Safety Applications Management System (ESAMS) - Injury/Illness Reporting and Tracking System (IIRTS); Force Risk Reduction (FR2); Joint Deficiency Reporting System (JDRS); Person-Event Data Environment (PDE); Medical Mishap and Compensation Systems (MMAC); PNS Occupational Accident and Injury Reporting System (POAIRS); Defense Injury and Unemployment Compensation System (DIUCS); Enterprise Resource Planning (ERP); Graduate Training Integration Management System (GTIMS); Marine

Corps Training Information Management System (MCTIMS); Defense Finance and Accounting Service (DFAS); and Division of Longshore and Harbor Workers' Compensation (DLHWC).

b. RMI Categories of Records.

(1) RMI includes, but is not limited to, the following categories of records: Last name, first name and middle initial; military component; gender; date of birth; age; job title; marital status and number of dependents; rank, rate, grade; SSN (stored for historical purposes but no longer collected); DoD identification number; mailing address and home address; home, work, mobile telephone; personal or work email address; civilian, military, foreign national, contractor indicator; event reference number, case or file number; unit identification code (UIC), activity name; major command code; type; department; date, time and general location of mishap or illness; estimated cost of government or private property damage or destruction; lost workday count; injury or illness type; OSHA injury code(s); identification and location of body injury; source of bodily injury; process control number (associated with job or activity at time of mishap); chemical involved; formal training involved; occupational medical stressors; date of last physical and non-diagnostic information concerning health readiness or restrictive duty; respirator usage and fit test results; environmental exposures; work-related injuries or illnesses; case type (i.e., fatality, lost-time, no lost-time, first aid); mishap classification; date of death; short narrative; and claims information.

(2) RMI also contains mishap causal factors, a 72-hour profile for all involved personnel, involved chemical; involved sharp items; drug and alcohol factors; licenses and certifications; test scores; safety course; personal protective equipment; dive log; dive saturation; dive treatment; parachute jump; vehicle; aircraft; and insertion or extraction or scaling technique information as is applicable to the type of mishap the individual is involved in.

c. RMI Measures and Safeguards to Address Privacy Risks. RMI includes, but is not limited to, the privacy risk measures and safeguards listed in subparagraphs 703c(1) through 703c(6).

(1) Access controls. Access controls limit access to the application or specific functional areas therein. These controls consist of workflows, privileges and user roles and DoD public key infrastructure (PKI) certificates and CAC-based log on. User roles are granted only to a level that is required for their job.

(2) Confidentiality. Data is not made available or disclosed to unauthorized individuals, entities or processes.

(3) Integrity. Data is reviewed to ensure that it has not been altered or destroyed in an unauthorized manner.

(4) Audits. Audit logs are kept and reviewed regularly by NAVSAFECEN staff to assess the adequacy of maintaining, managing and controlling events that may degrade the security posture of the application. Audit logs track events including security audit startup and shutdown, changes in access control, successful and unsuccessful identification, authentication and authorization events.

(5) Training. Security training is provided on a continuous basis to keep users alert to the security requirements. Visual effects are used as constant reminders to ensure users always remain aware of their responsibilities.

(6) Physical Security. Consists of placing servers in a secure and protected location, limited access to individuals who have a need to access them. Access to each application is limited to authorized and appropriately cleared personnel as determined by the system manager. Physical entry is restricted by use of locks, guards and is accessible only to authorized, cleared personnel. The Navy RMI program will be hosted in the Air Force safety center's (AFSEC) site. The AFSEC site is based on Amazon GovCloud architecture.

704. Civilian Privacy Concern Cases.

a. Privacy concern cases are cases that include sensitive PII which may require additional access restrictions and handling procedures. Privacy concern cases involve the types of on-duty civilian personnel work-related injuries or illnesses listed in subparagraphs 704a(1) through 704a(6) per 29 CFR 1904.29(b)(7):

(1) An injury or illness to an intimate body part or to the reproductive system;

(2) An injury or illness resulting from a sexual assault;

(3) Mental illnesses;

(4) HIV infection, hepatitis or tuberculosis;

(5) Needlestick injuries and cuts from sharp objects that are contaminated with another person's blood or other potentially infectious material; and

Note: "Sharps" refers to medical sharps such as scalpels, blades, disposable scissors, suture equipment, stylets and trocars, broken test tubes and glass."

(6) Other illnesses, if the employee independently and voluntarily requests that his or her name not be entered into the RMI.

b. Privacy concern cases may not have the employee's name and other PII searchable or visible to every user in the RMI. Instead, in the RMI, the word "privacy case" will be displayed in the space normally used for the employee's name. This will protect the privacy of the injured or ill employee when another employee, a former employee or an authorized employee representative is provided access to the RMI.

Note: If a person entering the injury or illness in the RMI has a reasonable basis to believe that information describing the privacy concern case may be personally identifiable even though the employee's name has been omitted in the RMI, that person may use discretion in describing the injury or illness in the RMI. The person must enter enough information to identify the cause of the event and the general severity of the injury or illness, but need not include details of an intimate or private nature. For example, a sexual assault case could be described as "injury from assault," or an injury to a reproductive organ could be described as "lower abdominal injury."

c. RMI will keep a separate, protected list of the case numbers and employee names for privacy concern cases. Per 29 CFR 1904.29(b)(10), privacy concern cases and their associated PII may only be disclosed in the limited situations listed in subparagraphs 704c(1) through 704c(3):

(1) To an auditor or consultant hired by the employer to evaluate the safety and health program;

(2) To the extent necessary for processing a claim for workers' compensation or other insurance benefits; or

(3) To a public health authority or law enforcement agency for uses and disclosures for which consent, an authorization or opportunity to agree or object is not required under Department of Health and Human Services Standards for Privacy of Individually Identifiable Health Information, 45 CFR 164.512.

Note: Examples of public health authorities: Defense Health Agency, Bureau of Medicine and Surgery, NAVSAFECEN, CMC (SD), military treatment facilities, fleet surgeons, force surgeons, health care providers, safety investigators, etc.

d. Procedures for handling and documenting privacy concern cases are in The Navy and Marine Corps Safety Investigations and Reporting Guide.

705. Log of Work-Related Injuries and Illnesses. 29 CFR 1904.29, DoDI 6055.07 of 6 June 2011, MCO 5100.8, MCO 8025.1E and OPNAV M-5100.23 of 5 June 2020, require that a log (i.e., automated or manual) be maintained for on-duty civilian personnel of all work-related illnesses and injuries beyond first aid treatment. The log must contain all of the fields found in OSHA Form 300. Chapter 2 lists DON reportable and OSHA recordable injuries and illnesses.

DoD and DON policy mandates that a similar log be maintained for on- and off-duty military personnel. OPNAVINST 5100.19F requires a similar log for military personnel afloat, regardless of duty status.

a. All required information will be reported via the RMI, if feasible, so that an OSHA Form 300 can be downloaded, accessed and maintained electronically as the log of work-related injuries and illnesses for the command, unit or activity.

b. RMI entries serve as the activity work-related illness and injury log (OSHA Form 300) to meet OSHA, DoD and DON record keeping requirements.

c. The report function in the RMI allows the required separate civilian on-duty, military on-duty and military off-duty log of work-related injuries and illnesses (OSHA Form 300) to be downloaded or printed off by the activity, as needed. The injury log entry may also be printed off in PDF from the RMI.

d. 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 the RMI.

e. The injury log entry feature in the RMI may be used to replace the afloat injury report discussed in OPNAVINST 5100.19F. RMI 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 a deck log.

f. 29 CFR 29(b)(3) requires OSHA recordable civilian personnel injuries or illnesses to be recorded on the OSHA 300 and OSHA 301 within seven calendar days of receiving information that a recordable injury or illness has occurred. Entry into the RMI fulfills the OSHA requirement.

g. If the RMI is not available to maintain an electronic log of work-related injuries and illnesses, then commands, units and activities must create a temporary log using the minimum required information in the OSHA 300 or download the OSHA 300 and maintain the log manually. See Appendix D. This temporary log must be maintained until such time that the information can be entered into the RMI.

706. Injury and Illness Incident Report. Entering the required injury and illness information in RMI fulfills the requirement to complete the OSHA 301, Injury and Illness Incident Report.

707. Summary of Work-Related Injuries and Illnesses. All Navy and Marine Corps commands, units and activities employing civilian personnel must generate an OSHA 300A for each establishment annually for the preceding calendar year. Paragraphs 707a through 707f provides amplification of this requirement.

- a. 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 is correct and complete.
- b. The commander, commanding officer or officer-in-charge must sign and date each OSHA300A before posting.
- c. OSHA 300A must be posted in a conspicuous location no later than the first day of February each calendar year and remain in place until the thirtieth day of April. When posted, ensure the summary is not altered, defaced or covered by other material.
- d. Commands, units and activities must confirm successful submission of all DON reportable and OSHA recordable mishap data to the RMI database within 60 days of the end of the calendar year so that OSHA 300A is accurate through the end of the calendar year. In case of discrepancies, contact the NAVSAFECEN RMI help desk for assistance.
- e. Summaries for military personnel are optional; however, if posted, they must be separate from civilian personnel summaries.
- f. These summaries may be printed from the pre-formatted reports section of the RMI.

708. Annual Report of Civilian Work-Related Injuries, Illnesses and Fatalities to the U.S. Bureau of Labor Statistics.

- a. In January of each calendar year, CNO N09F will use the RMI to provide each echelon 2 command a count of employees by UIC, as well as civilian OSHA 300 Log of Work-Related Injuries and Illnesses, for each subordinate command. While all commands are required to review any local mishap logs to ensure that the RMI information is accurate, the RMI information provided will be dated due to latency issues with the RMI processing, as well as preparation time. Special attention will be needed during the review for a period of approximately 60 days prior to the date of the NAVSAFECEN-provided log. The BLS requires that all injuries and illnesses during the calendar year be recorded. Other information technology system-generated lists of injuries and illnesses are not acceptable formats because these other systems do not include all of the required fields. However, these other systems may be used to assist in data gathering.
- b. Additional guidance on this annual report will be issued by NAVSAFECEN (Navy) and CMC (SD) (Marine Corps) that will precede a DON TRACKER tasker.

709. Record Retention and Disposition.

a. All SIREPs, work-related illness and injury logs and event and hazard records must be retained for at least five years following the end of the calendar year in which they occurred. These records may be retained in electronic or hard copy format. For records readily available through the RMI, local electronic or hard copy records retention is optional or as directed by local instruction or order.

b. Whenever possible, such parts of a mishap report held by NAVSAFECEN, available in hard-copy format only, should be converted to electronic format before destruction of the hard copies. The entire electronic file must be maintained by NAVSAFECEN 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 may be transferred to the Naval Historical Center.

c. Upon completion of the SIREP by an SIB or SIO, members must not retain any notes pertaining to the investigation. All statements, diagrams, photographs, notes, etc., acquired or created during the investigation, must be forwarded to and retained by NAVSAFECEN.

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

e. Service and health records must be handled per MILPERSMAN 6150-010 (Transfer of Outpatient and Dental Treatment Records, Officer and Enlisted) and MCO P1070.12K (Marine Corps Individual Records Administration Manual (Short Title: IRAM)). See Safety Reporting Resources section for online availability of these policies.

CHAPTER 8
PROTECTION OF PRIVILEGED SAFETY INFORMATION

801. Purpose. To explain the concept of safety privilege and why it exists; to describe the special handling, use and release requirements for privileged safety information (PSI); and to assign authorities and responsibilities for the protection of PSI.

802. Background.

a. Safety privilege is based on a national defense need for rapid and accurate assessment of the causes of mishaps to prevent a reoccurrence and maintain mission readiness. The Navy and Marine Corps protect PSI to ensure commanders quickly obtain accurate mishap information so that effective risk controls can be implemented as soon as possible. This privilege creates restrictions on handling and releasing information in safety investigation reports.

b. The ability of safety investigators to obtain critical safety information during an investigation is dependent upon the trust that has been developed by protecting safety information, especially PSI, from misuse and unauthorized disclosure. Safety information must be used only for safety purposes.

c. While protection of PSI from unauthorized disclosure is essential for the long term viability of the Department of the Navy's (DON) safety program, unnecessary impediments to the free flow of safety information to those with a need-to-know are a risk to mission readiness. Achieving the balance between the protection of PSI and the timely dissemination of safety information, to those with a need-to-know, can be accomplished if policies are written clearly and personnel know and understand those policies.

803. PSI. Information that is reflective of a deliberative process in the safety investigation or given to a safety investigator pursuant to a promise of confidentiality, which the safety privilege protects from being released outside safety channels or from being used for any purpose except mishap prevention. It includes products such as draft and final findings, evaluations, opinions, preliminary discussions, conclusions, mishap causes, recommendations, analyses and other material that would reveal the deliberations of safety investigators, including reviews and endorsements. It also includes information given to a safety investigator pursuant to a promise of confidentiality and any information derived from that information or direct or indirect references to that information.

Note: Information in a statement given under a promise of confidentiality that is also available in a source that is not privileged, may be releasable, but that determination can only be made by Commander, Naval Safety Center (COMNAVSAFECEN).

804. Concept of Safety Privilege. Case law and statutory authority grant protection to certain information generated during safety investigations. This safety information is protected from public release and non-safety uses under executive privilege. The concept of privilege is important to the safety investigation process because it:

a. Encourages safety investigators and the endorsers of Safety Investigation Reports (SIREP) to provide complete, candid and forthright information, opinions, conclusions and recommendations concerning a mishap; and

b. Helps to overcome the reluctance of a witness to reveal complete and candid information to a safety investigator about the events surrounding a mishap. Witnesses may believe that the information could be embarrassing or detrimental to themselves, fellow Service members, their command, employer or others. A promise of confidentiality gives safety investigators a means by which to assure hesitant witnesses that they may voluntarily reveal information to the safety investigator without incurring personal jeopardy or causing harm to others in the process. A promise of confidentiality ensures that the statement will not be released under any circumstances. Separate and apart from offering a promise of confidentiality, a witness may also elect to withhold information by exercising their constitutional right to avoid self-incrimination.

Note: Safety investigators must not compel witnesses to provide a statement, nor will they administer an oath to witnesses prior to taking statements.

805. Promise of Confidentiality. In certain safety investigations and under specific circumstances as described in this paragraph, safety investigators can give a promise of confidentiality to any witness who provides evidence for the investigation to encourage frank or open communications. Use form JNAVMAR 5102/2 for this purpose. For safety investigations not requiring a promise of confidentiality to a witness, use form JNAVMAR 5102/1. Both forms are available from the Defense Logistics Agency Web site at <https://forms.documentservices.dla.mil/order>. Subparagraphs 805a through 805i provide promises of confidentiality requirements:

a. Must be explicit and cannot be implied from the investigator's status or function.

b. Must be documented in all instances in which a witness provides information pursuant to a promise of confidentiality. Witnesses are not sworn. Requiring them to take an oath prior to making a statement is prohibited.

c. May be given only as needed to ensure forthright cooperation of the witness concerned and must not be given on a blanket basis to all witnesses.

d. Must be limited to the information given to a safety investigator pursuant to a promise of confidentiality. However, witnesses need not limit their statements to matters to which they

could testify in court. Invite witnesses to express opinions and speculate on possible causes of the mishap.

e. Must advise the witness in writing as to why they are providing their statement and of the limitations placed on the release of the statement they are providing.

f. Must inform the witness that the promise of confidentiality applies only to information given to the safety investigator and not to the same information if given to others. If the witness provides similar or identical information to another investigative body, that information, as a part of a non-safety investigation, is not protected from release by the safety privilege.

g. May be given by safety investigators in all investigations of friendly fire mishaps and mishaps involving complex systems and military-unique items, operations or exercises.

(1) Examples of mishaps that meet this requirement include those involving U.S. warships, weapons systems, military combat and tactical vehicles and ordnance and explosives.

(2) Examples of mishaps that do not meet this requirement include those involving GMVs, falls from buildings, fires in facilities and work-related illnesses not involving complex systems or military-unique items and unrelated to military operations or exercises.

h. Must not be used in any off-duty mishap investigation.

i. May be authorized for other mishap categories or in individual cases only by the Secretary of the Navy (SECNAV) when SECNAV determines the authorization is in the interest of national security.

(1) Single Investigating Officers (SIO) and senior members of Safety Investigation Boards (SIB) who believe a promise of confidentiality is needed for mishap categories other than those listed in subparagraph 804(g) must submit a formal request with justification to COMNAVSAFECEN through the convening authority.

(2) COMNAVSAFECEN may request additional supporting information to make a decision, disapprove the request and return to the SIO or SIB senior member or favorably endorse the request and submit to the SECNAV via the assistant secretary of the Navy (installations, energy and environment) and deputy assistant secretary of the Navy for safety (DASN(S)) for final decision.

Note: SECNAV may choose to delegate this decision authority in whole or in part to COMNAVSAFECEN.

806. Protection of Safety Information, Including PSI. COMNAVSAFECEN is DON's custodian of safety information, including PSI and safety data and is responsible for establishing the appropriate policies, procedures and safeguards necessary to protect this information as required by DoDI 6055.7 of 6 June 2011.

807. Privileged Safety Information. PSI includes the types of information described in subparagraphs 807a through 807c:

a. Information given to a safety investigator pursuant to a promise of confidentiality and any information derived from that information or direct or indirect references to that information.

Note: SIOs and SIBs may share their list of witnesses with other non-safety investigations, if requested; however, information from interviews and witness statements to an SIO or SIB, whether or not they are given under a promise of confidentiality, must not be shared with other non-safety investigative bodies.

b. Products of deliberative processes of safety investigators, including those products listed in subparagraphs 807b(1) through 807b(7):

(1) Draft and final findings, evaluations, opinions, preliminary discussions, conclusions, mishap causes, recommendations, analyses and other material that would reveal the deliberations of safety investigators.

(2) Draft and final diagrams and exhibits if they contain information that depicts the analysis of safety investigators.

(3) Animations that incorporate privileged safety information. Un-interpreted animations made exclusively from flight recorder raw data, including military flight operations quality assurance data, are not protected by the safety privilege and are generally releasable. However, prior to release, especially in cases where the product is derived from aggregate data, such animations must be reviewed for sensitive national security content. Animations found to include information that could compromise national security to any degree must be handled appropriately.

(4) Photographs, films and videotapes that are staged, reconstructed or simulated reenactments of possible or probable scenarios developed by or for the analysis of the safety investigator. However, photographs depicting a measuring device or object contrasted against mishap evidence for the sole purpose of demonstrating the size or scale of the evidence are not considered privileged safety information and may be released.

(5) Life sciences material that contains analysis by a safety investigator.

(6) Notes taken by safety investigators in the course of their investigation, whether or not they are incorporated, either directly or by reference, in the final safety investigation report.

(7) Reviews and endorsements of safety investigation reports.

c. Portions of SIREPs. The preparation of a SIREP requires the SIO or SIB, to analyze the information gathered and to develop the findings, analysis, conclusions, causal factors and recommendations. Therefore, those parts of the SIREP are privileged.

Note: During the safety investigation process, the ideas and opinions of SIOs and SIB members are protected from disclosure. No individual or entity outside of the investigative process may compel SIOs and SIB members to divulge their ideas or opinions developed or offered during the safety investigation process.

808. Unauthorized Uses of PSI. PSI must not be:

- a. Used, shared or released except as provided in this manual;
- b. Used to support disciplinary or adverse administrative action, to determine the misconduct or line-of-duty status of any personnel or used as evidence before any evaluation board;
- c. Used to determine liability in administrative claims or litigation, whether for or against the U.S. Government; or
- d. Released in response to requests for information pursuant to section 552 of Title 5, U.S. Code (Freedom of Information Act), as amended by Public Law 114-185 (Freedom of Information Act Improvement Act of 2016) and SECNAVINST 5720.42G (Department of the Navy Freedom of Information Act Program) or in response to discovery requests, subpoenas, court orders or other legal process, except as specifically provided in this manual.

809. Unauthorized Dissemination or Disclosure of PSI.

- a. Navy and Marine Corps personnel having personal knowledge of the contents of a SIREP must not release this information to others, except as permitted by this manual.
- b. Navy and Marine Corps personnel must not provide PSI to persons and activities outside DON. Forward any requests for safety information, including PSI by personnel outside DON to COMNAVSAFECEN. See paragraph 811 for additional details.
- c. Navy and Marine Corps personnel must not provide PSI to contractors, even those under contract with the DON unless a non-disclosure agreement (NDA) has been established. Only

COMNAVSAFECEN is authorized to approve NDAs for contractor personnel. When an NDA is in place, contractor personnel are authorized access to safety information, including PSI, in strict compliance with the terms of the NDA.

d. A compromise of PSI occurs when unauthorized personnel are knowingly, willfully or negligently given access to PSI. Unauthorized personnel include those who do not have a safety need-to-know, even personnel within DON. Personnel who learn of an unauthorized release of PSI must immediately report it to their chain of command.

e. Suspected instances of unauthorized public disclosure of PSI must be reported promptly and investigated by the appropriate commander to determine the nature and circumstances of the unauthorized disclosure, the extent of the disclosure, any ramifications on protecting it from further release and the corrective and disciplinary action to be taken.

f. Commanders will notify COMNAVSAFECEN of all instances of unauthorized disclosure of PSI.

g. The unauthorized dissemination or disclosure of PSI by military personnel is a criminal offense punishable under Article 92, Uniform Code of Military Justice. The unauthorized dissemination or disclosure of PSI by civilian personnel may subject them to disciplinary action per the DON Civilian Human Resources Manual (DON CHRM).

810. Importance of Safety Information for Mishap Prevention. The timely sharing of safety information, including PSI to others within the DoD is a critical component of Navy and Marine Corps mishap prevention efforts. Safety information is an invaluable tool to raise awareness and to educate personnel at all levels from senior leaders to junior petty officers and noncommissioned officers about hazards that exist in their operating environment. Armed with this information, risks can be mitigated and mishaps prevented. Safety information is also critical to the development of effective risk controls that help lower the risk of operations and activities across the department. The necessary balance that must be achieved is the widest possible dissemination of safety information, including PSI, to those who need this information to manage risk while carefully protecting PSI through implementation of proper safeguards to prevent unauthorized disclosure. Good judgment is critical in determining effective handling actions and preserving this delicate balance.

811. Guidelines for the Proper Use, Access, Dissemination, Disclosure and Protection of PSI and Safety Information within the DON. Navy and Marine Corps personnel must abide by the guidelines provided in subparagraphs 811a through 811d for the use, access, dissemination, disclosure and protection of PSI and safety information.

a. PSI must be used for safety purposes only, specifically, preventing mishaps and reducing injuries, work-related illnesses and property damage resulting from mishaps. Access to PSI for

safety purposes is authorized for the following Navy and Marine Corps military and civilian personnel under any one of the circumstances and restrictions in subparagraphs 811a(1) through 811a(6):

(1) Those in positions of leadership when the safety information containing PSI is applicable to their unit's or their unit's subordinate units', operating environment, operations and activities;

(2) Those assigned to safety positions when the safety information containing PSI is applicable to their unit's or their unit's subordinate units', operating environment, operations and activities;

(3) Those assigned to positions for which the safety information containing PSI is directly applicable to their work in devising risk controls for identified hazards or to correct deficiencies identified in mishap recommendations (MISREC) or hazard recommendations (HAZREC);

(4) Those in supervisory positions when the safety information containing PSI is applicable to their subordinates' operating or work environment, operations or activities;

(5) Those assigned to positions for which the safety information containing PSI is directly related to their specific individual operating or working environment, operations or activities and access to this information would raise awareness about hazards and risks they may face; or

Note: For those listed in subparagraphs 811a(1) through 811a(5), access is limited to safety information, including PSI, from SIREPs or portions thereof or training materials derived from SIREPs. Access to interviews and statements given under a promise of confidentiality and notes and materials generated by an SIO or SIB during investigations and deliberations apart from the actual SIREP is prohibited. Training materials created using safety information, including PSI, must never disclose the identities of personnel involved in the mishap.

(6) Those who are responsible for endorsing a SIREP and members of their staff in direct support of reviewing and endorsing a SIREP. Access is limited to the safety information from the investigation that resulted in the SIREP, including PSI and all privileged and non-privileged evidence.

b. Personnel entrusted with PSI, must understand the special handling requirements that are required and comply with those requirements as delineated in this manual.

c. Special Handling Requirements. Special handling is required for PSI. The term "special handling" means assurance that access to documents containing PSI and training products derived from PSI are protected from unauthorized disclosure.

(1) Marking PSI. Special handling includes properly marking PSI. Chapter appendices 8-A and 8-B provide dissemination control marking requirements for unclassified and classified documents and material, respectively, including information in electronic form that contain PSI. Use of these markings is mandatory for all PSI.

(2) Electronic transmission and storage of PSI. Distributing SIREPs and other PSI on local area networks, e-mail or electronic bulletin board systems is authorized, provided access is controlled and authorized by the commander, commanding officer, master (i.e., for military sealift command vessels), officer-in-charge or safety officer. Access to storage systems containing PSI must always be controlled to exclude those who do not have a need-to-know and are not authorized access to PSI. The electronic transmission of PSI must be encrypted and such information must only be transmitted through DoD electronic mail (e-mail) systems. Use of personal, corporate or commercial e-mail systems to send or receive PSI or PII is prohibited.

(3) Storage of PSI. PSI stored locally must be protected from unauthorized access by outside entities, contractors and Navy and Marine Corps personnel who do not have a need to know (e.g., they are not directly concerned with safety and mishap prevention).

(4) Sharing of PSI. Personnel granted access to safety information containing PSI are authorized to share this information with similarly situated DON personnel that fall within one of the categories listed in subparagraphs 811a(1) through 811a(6). (e.g., safety officers sharing safety information within the same warfare community or with members of safety committees; deckplate safety managers sharing safety information with supervisors and employees aboard a shipyard). Key factors to keep in mind are that the safety information must be shared for mishap prevention purposes and that special handling is required by all involved personnel to protect the PSI from unauthorized release.

(5) Uncontrolled distribution of PSI. Uncontrolled distribution of PSI (e.g., placing PSI in reading racks, on general access message boards or on bulletin boards) is prohibited. Route printed SIREPs or other PSI in file folders with proper markings. This helps ensure access is given only to those who need to know the content for safety and mishap prevention purposes. Accountability must be maintained throughout the handling process, to include returning the circulated SIREPs or other PSI, to a safety professional for proper filing, disposal or destruction.

(6) Distributing SIREPs and other PSI on local area networks, e-mail or electronic bulletin board systems is appropriate, provided access is controlled and authorized by the commander, commanding officer, master (i.e., for military sealift command vessels), officer-in-charge or safety officer. See chapter appendices 8-A and 8-B for marking requirements.

Wherever possible, e-mails containing such information must be digitally signed and encrypted for transmission.

d. National Transportation Safety Board (NTSB) Flow and Dissemination of Information. Navy and Marine Corps military and civilian personnel who are parties to an NTSB investigation may relay to their respective organizations any information necessary for purposes of mishap prevention or remedial action as soon as the NTSB has made an initial release of its investigation report. Information concerning the mishap or incident, must not be released to any person who is not a party representative to the investigation (i.e., including non-party representative employees of the party organization), before initial release of the investigative report by the NTSB, without prior consultation and approval of the NTSB investigator-in-charge per 49 CFR 831 (Investigation Procedures).

812. Sanitizing PSI. Sanitizing safety reports or extracts from safety reports requires completely obscuring the relationship between the identity of a mishap and the findings, conclusions, causes, recommendations, deliberative processes resulting from the investigation and statements made under a promise of confidentiality. After a safety report has been successfully sanitized, the report that remains is no longer privileged.

a. COMNAVSAFECEN is solely authorized within the DON to create sanitized safety reports that are no longer privileged.

b. Some mishaps, because of widespread publicity or unique circumstances, cannot be adequately sanitized. COMNAVSAFECEN is responsible for making this determination.

c. Sanitized safety reports are not necessarily releasable to the public since they may still contain personally identifiable information, contractor proprietary information or information protected by the Freedom of Information Act, Privacy Act, Arms Export Control Act or Export Administration Act.

d. NAVSAFECEN will develop detailed procedures and processes to produce and disseminate sanitized safety information as part of the DON's comprehensive mishap prevention program in strict compliance with the DoDI 6055.07 of 6 June 2011.

813. Requests for Safety Information.

a. COMNAVSAFECEN is the DON's sole authorized release authority for safety information, including PSI. COMNAVSAFECEN will only release safety information when warranted and only when sufficient safeguards are in place. Additional guidelines for COMNAVSAFECEN in making a release determination are found in paragraph 816.

b. It is forbidden for anyone with personal knowledge of the contents of a safety investigation or of any other PSI, to release or share this information, except as this manual permits.

c. Except for the authorized exchange of safety information stated in paragraph 810, Navy and Marine Corps commands and personnel receiving requests for safety information, including PSI, from persons, commands, activities and other entities both within DON and external to DON must forward those requests to the NAVSAFECEN. Use the amplifying guidance provided in subparagraphs 813c(1) through 813c(4) to forward the request to the appropriate NAVSAFECEN staff member or section.

(1) Freedom of Information Act (FOIA) and Privacy Act (PA) Requests. Commands or individuals receiving FOIA or PA requests for safety information must forward the requests to the NAVSAFECEN staff attorney at NAVSAFECEN_CODE03_LEGAL@navy.mil or (757) 444-3520, extension 6055 per section 552 of Title 5, U.S. Code (Freedom of Information Act), as amended by Public Law 114-185 (FOIA Improvement Act of 2016), SECNAVINST 5720.42G (Department of the Navy Freedom of Information Act Program) and SECNAVINST 5211.5F (Department of the Navy Privacy Program). Referral must be accomplished as soon as possible because such requests are time-critical.

(2) Mishap Victim and Mishap Next-of-Kin Requests. Commands and individuals must not provide copies of SIREPs, in whole or in part, to a mishap victim or the next-of-kin of a mishap victim. Such requests for PSI, including copies of SIREPs, in whole or in part, must be referred to the NAVSAFECEN staff attorney at NAVSAFECEN_CODE03_LEGAL@navy.mil or (757) 444-3520, extension 6055.

(3) News Media Requests. Commands or individuals receiving requests for safety information from members of the news media must forward the request to the NAVSAFECEN, public affairs officer at NAVSAFECEN_CODE52_SAFETY_PROMOTIONS@navy.mil or (757) 444-3520, extension 7870.

(4) All Other Requests. For all other requests for safety information, Navy and Marine Corps Service members and civilians should forward the request to the NAVSAFECEN staff member or section indicated in table 8-1.

Requestor	NAVSAFECEN Contact, Contact E-mail Address, and Contact Phone Number
Congress and congressional committees and sub-committees	<u>Executive Director:</u> NAVSAFECEN_CODE02_ED@navy.mil
Government Accountability Office (GAO)	(757) 444-3520, extension 7005
Federal executive agencies ^[a]	

Requestor	NAVSAFECEN Contact, Contact E-mail Address, and Contact Phone Number
Office of the Secretary of Defense (OSD)	
North Atlantic Treaty Organization (NATO) nations	
Other allied nations	
Non-allied nations	
State and Local Governments	
Department of Justice (DOJ)	<u>Staff Attorney:</u> NAVSAFECEN_CODE03_LEGAL@navy.mil (757) 444-3520, extension 6055
Office of the Judge Advocate General (OJAG)	
Courts (Federal and State) ^[b]	
Department of Defense (DoD) law enforcement agencies ^[c]	
Other DoD safety centers	<u>Knowledge Management and Safety Promotions Directorate:</u> safe-rfi@navy.mil (757) 444-3520, extension 7851
All other requests	<u>Staff Attorney:</u> NAVSAFECEN_CODE03_LEGAL@navy.mil (757) 444-3520, extension 6055

Notes:

^[a]This includes executive agency safety organizations (e.g., U.S. Coast Guard, Department of Homeland Security; National Transportation Safety Board (NTSB); Maritime Administration (MARAD); Occupational Safety and Health Administration (OSHA)) and agency inspectors general.

^[b]Includes court orders and subpoenas.

^[c]Includes U.S. Defense Criminal Investigative Service, Naval Criminal Investigative Service, U.S. Air Force Office of Special Investigations (i.e., for both U.S. Air Force and U.S. Space Force) and U.S. Army Criminal Investigation Division.

Table 8-1. NAVSAFECEN Contact Information for Requests for Safety Information

814. Access to Privileged Safety Information by DoD Contractors. DoD contractors may be granted access to particular PSI in furtherance of an articulated safety purpose related to specific projects or contracts under the following conditions and guidelines.

a. COMNAVSAFECEN is solely responsible within DON for granting DoD contractor access to safety information, including PSI.

b. DoD contractors must not be granted access to information given to a safety investigator pursuant to a promise of confidentiality (e.g., witness statement) or to any direct references to that information or to any information that could be used to identify the source who provided the information.

c. Prior to granting a DoD contractor access to any privileged safety information, the contractor, in its corporate capacity, must execute an NDA. COMNAVSAFECEN is solely responsible within DON for the NDA development and approval process. The NDA must:

(1) Identify the PSI at issue.

(2) Articulate the reasons why the contractor needs access to the PSI and describes permitted uses.

(3) Articulate the specific rules with regard to making copies of or otherwise reproducing the PSI.

(4) Contain language that the contractor agrees:

(a) That it is familiar with the DoD-approved methods for the handling and storage of and the use requirements for PSI.

(b) To protect the PSI from unauthorized users or release, including in litigation.

(c) That access to the PSI will only be granted to those employees of the contractor with a need to know and to no others.

(d) That it is fully responsible for its employees' actions with regard to the PSI.

(e) To return or destroy and include evidence of destruction, all PSI when no longer required or when requested by COMNAVSAFECEN.

(f) That it understands violating the terms of the NDA may result in suspension of access to PSI and any other sanctions allowed under law or the contract.

- (g) To the rules with regard to making copies of or otherwise reproducing the PSI.
- (h) To store PSI in a manner to prevent unauthorized access.
- (i) That PSI will be used solely for meeting the requirements of its contract.
- (j) That it will forward to COMNAVSAFECEN any requests, including FOIA and media requests, for information made available under this NDA.
- (k) That prior to receiving the PSI, it must require all its employees who will have access to PSI sign a personal NDA that mirrors for the employee the provisions of the contractor NDA.

815. Access to Privileged Safety Information by Foreign Civilians and Foreign Military Personnel Serving in U.S. Navy or U.S. Marine Corps (USN or USMC) Units. Foreign civilians and foreign military personnel serving in USN or USMC units may be granted access to PSI and assigned RMI account privileges under the conditions listed in subparagraphs 815a through 815d:

- a. COMNAVSAFECEN is solely responsible within DON for granting foreign civilians and foreign military personnel access to safety information, including PSI.
- b. The individual must be acting as a billeted safety professional in a USN or USMC unit while serving in the personnel exchange program or as a designated U.S. Government safety professional. The designation must be in writing and signed by the organization's leadership.
- c. The individual must have an NDA in place approved by COMNAVSAFECEN. The NDA will specify any limits to access to PSI based on the specific circumstances.
- d. The USN or USMC unit fulfilling supervisory responsibilities over the individual will ensure strict compliance with the NDA.

816. Access to Privileged Safety Information by Non-DoD Civilian Personnel Assigned to U.S. Navy or U.S. Marine Corps Units under an Interagency Program. Non-DoD civilian personnel serving in USN or USMC units under an interagency program and assigned safety duties, may be granted access to PSI and assigned RMI account privileges to fulfill those duties, under the conditions listed in subparagraphs 816a through 816e.

- a. COMNAVSAFECEN is solely responsible within DON for granting non-DoD civilian personnel access to safety information, including PSI.

b. The non-DoD civilian must be acting as a billeted safety professional with a position description that specifically assigns them safety duties.

c. A memorandum of understanding (MOU) between the interagency organization and the U.S. Navy or U.S. Marine Corps must be in place. COMNAVSAFECEN will sign all MOUs on behalf of the naval services.

d. The individual must have an NDA in place approved by COMNAVSAFECEN. The NDA will specify any limits to access to PSI based on the specific circumstances.

e. The USN or USMC unit fulfilling supervisory responsibilities over the non-DoD civilian will ensure strict compliance with the NDA.

817. Release of Historical Safety Information. Safety information, including SIREPs, that concerns mishaps occurring more than 30 years after the date of that mishap, is considered historical safety information. COMNAVSAFECEN is the sole authority within DON authorized to release historical safety information under all of the conditions in subparagraphs 817a through 817c.

a. COMNAVSAFECEN must determine the release will have no damaging effect on the national defense or the viability of the military safety privilege;

b. The release complies with DoD guidance contained in DoD 5400.11-R, Department of Defense Privacy Program, 14 May 2007; DoD Instruction 5400.11, DoD Privacy and Civil Liberties Programs, 29 Jan 2019; DoD Manual 5400.11, Volume 2, DoD Privacy and Civil Liberties Programs: Breach Preparedness and Response Plan, 6 May 21; DoD Manual 6025.18 Implementation of the Health Insurance Portability and Accountability Act (HIPAA) Privacy Rule in DoD Health Care Programs, 13 March 2019; DoD Manual 5400.07, DoD FOIA Program, 25 January 2017; and

c. The release must not include information given to a safety investigator pursuant to a promise of confidentiality and any information derived from that information or direct or indirect references to that information.

818. Additional Guidelines for the Release of Safety Information, Including PSI. This paragraph is applicable only to COMNAVSAFECEN.

a. Requests for PSI by Congress. The procedures for the release of PSI to Congress are guided by the 1989 Aspin-Rice Agreement and codified in DoDI 6055.07 of 6 June 2011.

(1) COMNAVSAFECEN is solely responsible within DON for releasing PSI to Congress.

(2) Such release will be in strict compliance with the procedures found in DoDI 6055.07 of 6 June 2011.

b. Release of Safety Information to the Naval Inspector General and Inspector General of the Marine Corps. Pursuant to SECNAVINST 5430.7R upon request of either the Naval Inspector General or Inspector General of the Marine Corps for PSI, NAVSAFECEN must provide an un-redacted copy of the full SIREP and enclosures. Prior to release, the PSI must be clearly labeled and marked “Privileged Safety Information – Not for further release without the written consent of SECNAV.”

c. Protection of PSI from Use in Court Proceedings. COMNAVSAFECEN must strictly comply with the procedures outlined in DoDI 6055.07 of 6 June 2011, enclosure 5, paragraph 10 concerning protection of PSI when parties to civil litigation or criminal trials attempt to compel its release.

d. Sharing PSI with Foreign Military Safety Agencies.

(1) COMNAVSAFECEN may share relevant PSI involving similar systems with military safety agencies of allied or partner nations for mishap prevention purposes when all of subparagraphs 818d(1)(a) through 818d(1)(c) apply.

(a) A reciprocal international agreement with the Foreign Defense Organization has been concluded per DoDI 5530.03, International Agreements, 4 December 2019, prior to sharing either PSI or sanitized information;

(b) Adequate protection of PSI exists and where the recipient agency agrees to provide similar safety information to the DoD; and

(c) There are signed NDAs approved by COMNAVSAFECEN.

(2) Whenever appropriate, COMNAVSAFECEN should share non-privileged safety information such as aggregate data or sanitized reports in lieu of privileged reports.

(3) Information (the witness statement) given to a safety investigator pursuant to a promise of confidentiality, any direct references to that information and any information that could be used to identify the source who provided the information, must not be shared.

(4) COMNAVSAFECEN must establish procedures for sharing safety information with foreign military safety agencies that comply with all of the requirements of DoDI 6055.07 of 6 June 2011.

e. Sharing Privileged Safety Information with Non-DoD U.S. Government agencies.

(1) COMNAVSAFECEN may establish reciprocal formal agreements for sharing relevant safety information with other Federal agencies regarding similar airframes or systems for mishap prevention purposes, but only where adequate protection of PSI exists to maintain the safety privilege and where the recipient agency agrees to provide similar safety information to the DON.

(2) Whenever appropriate, COMNAVSAFECEN should share non-privileged safety information such as aggregate data or sanitized reports in lieu of privileged reports.

(3) Information (the witness statement) given to a safety investigator pursuant to a promise of confidentiality, any direct references to that information and any information that could be used to identify the source who provided the information, must not be shared.

(4) COMNAVSAFECEN must establish procedures for sharing safety information with non-DoD U.S. Government agencies that comply with all of the requirements of DoDI 6055.07 of 6 June 2011.

APPENDIX 8-A
DISSEMINATION CONTROL MARKINGS FOR
UNCLASSIFIED DOCUMENTS AND MATERIAL
CONTAINING PRIVILEGED SAFETY INFORMATION

1. Purpose. To provide dissemination control and caveat marking requirements for unclassified documents and material, including information in electronic form, that contain privileged safety information (PSI).
2. General. Privilege and PSI are discussed in chapter 8. The term “marking” includes certain concepts of identifying information safeguarding or dissemination controls. Markings must be conspicuous and immediately apparent. DoDI 5200.48 of 6 March 2020 provides guidance for the correct marking of Controlled Unclassified Information (CUI) that requires the application of access and distribution controls and protective measures. However, the DoDI 5200.48 does not address PSI. The CUI markings “For Official Use Only” and “FOUO” are now legacy markings per DoDI 5200.48 of 6 March 2020. It is important to note that legacy FOUO information is not automatically CUI. DoD material bearing legacy markings is not required to be redacted or re-marked while it remains under DoD control or is accessed online and downloaded for use within the DoD. However, any such document or new document created with information derived from legacy material, must be marked as CUI, if the information qualifies as CUI and the document is being shared outside the DoD. Optionally, when transmitting or transferring legacy information, the marking requirement can be satisfied by using SF 901 CUI Coversheet , as depicted in figure 8-A-1) or transmittal document or an indicator in an e-mail. DoD legacy marked information stored on a DoD access-controlled Web site or database does not need to be remarked as CUI, even if other agencies and contractors are granted access to such Web sites or databases. This chapter appendix provides specific Navy and Marine Corps guidance for unclassified documents and material containing PSI. Chapter appendix 8-B provides specific Navy and Marine Corps guidance for classified documents and material containing PSI.

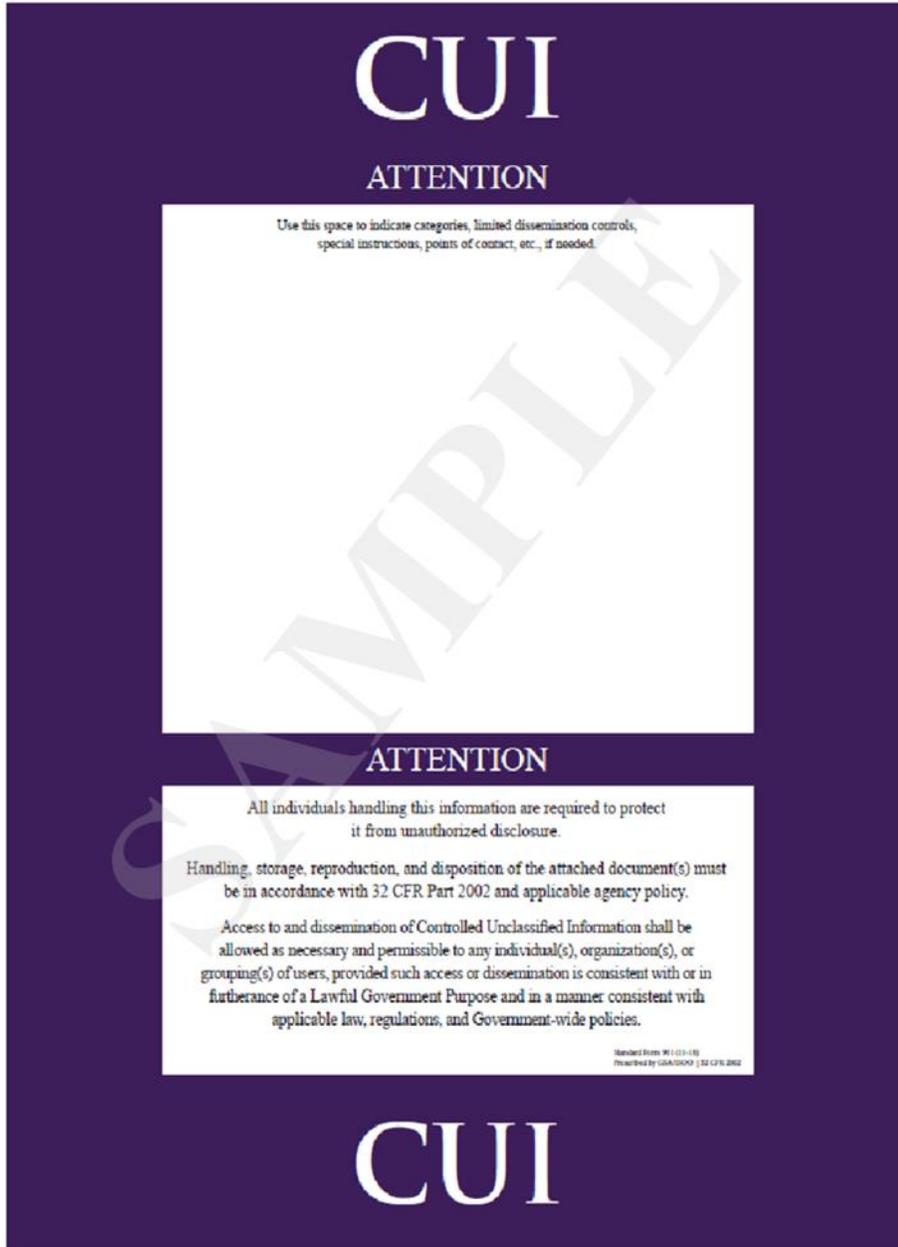


Figure 8-A-1. SF 901 CUI Coversheet

a. CUI Basic Control Markings. The CUI basic control marking is applied by the DoD to unclassified information when disclosure to the public of that particular record or portion thereof, would reasonably be expected to cause a foreseeable harm to an interest protected by one or more of FOIA exemptions (b)(2) through (b)(9). In the case of unclassified PSI, it is protected by courts from public release under executive privilege in the rules of evidence and by FOIA

exemption (b)(5) for “deliberative process privilege.” However, because access to basic CUI information is much broader than what is needed to protect PSI, specific dissemination controls are needed. These additional dissemination controls are imposed by the DoD through the use of CUI specified category markings.

b. CUI Specified Category Markings. The DON uses the CUI specified category marking “CUI//SP-PSI” to indicate additional dissemination control of PSI beyond that used for CUI basic information. Chapter 8 provides information on the concept of privilege pertaining to event safety information, the authority for the dissemination of event safety information in general and PSI in particular, the procedures for obtaining it and the special handling requirements for such material.

3. Dissemination Control Marking Requirements.

a. Markings General. In unclassified documents and material containing PSI, including printed information in electronic form (e.g., naval messages and e-mails) containing PSI, the CUI specified control marking “CUI//SP-PSI” must be included as a banner at the top of the outside of the front cover (if there is one), the title page, the first page and the outside of the back cover (if there is one). Each internal page containing PSI information must be marked with the banner “CUI//SP-PSI” at the top in bold text. It is optional, but a best practice, to include the same exact banner at the bottom. For consistency with classified systems, the document may be marked with the banner “UNCLASSIFIED//CUI//SP-PSI” in bold text; in such case, internal pages must be marked with this banner at both the top and bottom. Figure 7-7 of SECNAV M-5216.5 of June 2015 provides an illustration of legacy markings (e.g., “FOR OFFICIAL USE ONLY” and “FOUO”) on correspondence. Use “CUI//SP-PSI” in place of both legacy markings “FOR OFFICIAL USE ONLY” and “FOUO” as depicted in that illustration; however, at a minimum, the banner must be marked at the top of each page (i.e., a banner marking at the bottom of each page is optional but must be exactly like the top banner marking).

b. Correspondence Serial Numbers.

(1) SECNAV M-5216.5 of June 2015, subparagraph 3a(2)(c), specifies use of the legacy marking “FOUO” for serializing unclassified correspondence containing CUI. However, per DoDI 5200.48 of 6 March 2020, use of the CUI marking supersedes the use of the FOUO marking in any new documents. Therefore, new, unclassified documents containing CUI that are intended to be serialized (i.e., which is optional), must be serialized per subparagraph 3b(2).

(2) A serial number is not required on unclassified correspondence. However, if a serial number is used on unclassified correspondence containing PSI, the serial number must be immediately preceded with the dissemination control phrase “CUI,” as depicted in figure 8-A-2.



Figure 8-A-2. Sample Use of Dissemination Control Phrase CUI with Correspondence Serial Numbers

c. Privileged Safety Warning Statement. All unclassified documents containing PSI must be marked on the first page of multi-page documents with the warning statement shown in figure 8-A-3, until sanitized or redacted.

PRIVILEGED SAFETY INFORMATION (PSI): Information in this document marked CUI//SP-PSI is specified Controlled Unclassified Information (CUI). Privacy information may also be present. The information in this document is from a limited use, controlled distribution, safety investigation report and is exempt from mandatory disclosure under 5 U.S.C. 552(b)(5). Dissemination or disclosure of this PSI is controlled by OPNAVINST 5102.1E/MCO 5102.1C. Unauthorized dissemination or disclosure of PSI in this report by military personnel is a criminal offense punishable under Article 92, Uniform Code of Military Justice. Unauthorized dissemination or disclosure of PSI in this report by civilian personnel will subject them to disciplinary action under chapter 752 of the Department of the Navy Civilian Human Resources Manual.

Figure 8-A-3. Privileged Safety Information Warning Statement for Unclassified Documents

d. Portion Markings. Subjects and titles, as well as individual sections, parts, paragraphs or similar portions of an unclassified PSI document must be marked to show that portion contains information requiring specific protection. Use of the unclassified marking “(U)” as a portion marking for unclassified information within CUI documents or materials is not required. Use either the parenthetical notation “(U//CUI//SP-PSI),” or “(CUI//SP-PSI)” to identify information as unclassified PSI for this purpose. Place this notation immediately before all text in that portion.

e. Naval Message and Electronic Mail (E-mail) Markings. Unclassified electronically transmitted naval messages and e-mail that contain PSI, must be marked with the specified dissemination control markings as required by this chapter appendix.

(1) Naval Messages.

(a) Printed Copies. See paragraph 3a of this chapter appendix.

(b) Portion Markings. Subjects, as well as individual sections, parts, paragraphs or similar portions of an unclassified naval message containing PSI must be marked to show that portion contains information requiring specific protection. Use the parenthetical notation “(U//CUI//SP-PSI)” to identify information as unclassified PSI for this purpose. Place this notation immediately before all text in that portion.

(c) Privileged Safety Information Warning Statement. In addition to the markings specified in paragraphs 3e(1)(a) and (b) of this chapter appendix, unclassified naval messages containing PSI must also include the figure 8-A-4 warning statement in an isolated block immediately following the narrative line (i.e., abbreviated in the naval message as “NARR”). This warning statement must remain on any naval message until it is either sanitized or redacted of any PSI.

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*****  
PRIVILEGED SAFETY INFORMATION (PSI): INFORMATION IN THIS  
DOCUMENT MARKED CUI//SP-PSI IS FOR SPECIFIED  
CONTROLLED UNCLASSIFIED INFORMATION (CUI). PRIVACY  
INFORMATION MAY ALSO BE PRESENT. THE INFORMATION IN  
THIS DOCUMENT IS FROM A LIMITED USE, CONTROLLED  
DISTRIBUTION, SAFETY INVESTIGATION REPORT AND IS  
EXEMPT FROM MANDATORY DISCLOSURE UNDER 5 U.S.C.  
552(B)(5). DISSEMINATION OR DISCLOSURE OF THIS PSI IS  
CONTROLLED BY OPNAVINST 5102.1E/MCO 5102.1C.  
UNAUTHORIZED DISSEMINATION OR DISCLOSURE OF PSI IN THIS  
REPORT BY MILITARY PERSONNEL IS A CRIMINAL OFFENSE  
PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY  
JUSTICE. UNAUTHORIZED DISSEMINATION OR DISCLOSURE OF  
PSI IN THIS REPORT BY CIVILIAN PERSONNEL WILL SUBJECT  
THEM TO DISCIPLINARY ACTION UNDER CHAPTER 752 OF THE  
DEPARTMENT OF THE NAVY CIVILIAN HUMAN RESOURCES  
MANUAL.  
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Figure 8-A-4. Privileged Safety Information Warning Statement for Unclassified Naval Messages

(2) E-mail.

(a) Printed Copies. See paragraph 3a of this chapter appendix.

(b) Subject Line Indicator Marking. A subject line indicator marking is optional, but a best practice. If used, place the marking at the end of the subject. An example of a subject line indicator marking is “[Contains CUI//SP-PSI].”

(c) Banners. Unclassified e-mail bodies that contain PSI must be marked with the banner: “CUI//SP-PSI” at the top of the first page of the body, immediately before any e-mail body content is added.

1. This banner marking may be either left justified or centered and must have a single line space immediately following it.

2. This banner marking must be repeated at the top of every forwarded or reply e-mail to ensure that the marking remains conspicuous to e-mail recipients upon opening of the e-mail.

(d) Portion Markings. Individual sections, parts, paragraphs or similar portions of an e-mail containing unclassified PSI must be marked to show that portion contains information requiring specific protection. Use the parenthetical notation “(CUI//SP-PSI)” to identify information as unclassified PSI for this purpose. Place this notation immediately before all text in that portion.

f. Attachment Markings.

(1) Transmittal Documents. Transmittal documents are documents that have information enclosed with or attached to, them. An example is a letter, memo or staff summary sheet with unclassified enclosures. The transmittal document itself may or may not contain unclassified PSI.

(a) Transmittal documents that contain unclassified PSI must be marked per paragraphs 3a through 3d of this chapter appendix and must also include the following message that CUI//SP-PSI is present: “The attachment contains CUI//SP-PSI.”

(b) Transmittal documents that do not contain unclassified PSI, but have at least one enclosure or attachment containing unclassified PSI and have no classified material enclosures or attachments, must be marked with the following banner: “When enclosure is removed, this document is Uncontrolled Unclassified Information” or “When enclosure is removed, this document is CUI//SP-PSI; upon removal, this document does not contain CUI” in a conspicuous location on the first page of the transmittal document.

(2) E-mail.

(a) E-mail Bodies. E-mail bodies that do not contain unclassified PSI, but have at least one enclosure or attachment containing unclassified PSI, must be marked with the following statement beginning two spaces below the banner marking: “When attachment is removed, this e-mail is Uncontrolled Unclassified Information” at the top of the first page (i.e., immediately before any e-mail body content is added).

1. This statement may be either left justified or centered and must have a single line space immediately following it.

2. This statement must be repeated at the top of every forwarded or reply e-mail to ensure that the marking remains conspicuous to e-mail recipients upon opening of the e-mail.

(b) E-mail Attachment Indicator Marking. An e-mail attachment indicator marking is optional, but a best practice. If used, place the marking at the end of the e-mail filename, but before any filename extensions. An example of an e-mail attachment indicator marking is “[Contains CUI//SP-PSI].”

(3) Classified Enclosures or Attachments. Transmittal documents that have classified enclosures or attachments, along with PSI, must be marked per chapter appendix 8-B.

g. Specified Control Markings for Privileged Safety Information Contained in Media or Material (Including Hardware and Equipment). Examples of this media or material are computer files and other electronic media, audiovisual media, chart, maps, films, sound recordings, microfilm, microfiche, etc. Figures 8-A-5 and 8-A-6 are CUI media labels SF 902 Controlled Unclassified Information (CUI Label and SF 903 CUI Label – Thumb Drive, respectively. In case this manual was printed in black-and-white only, both of the media labels are purple colored with white text. See DoDI 5200.48 of 6 March 2020 and The Navy and Marine Corps Safety Investigations and Reporting Guide for guidance on how to mark this media or material. However, continue to use the specified control markings in a manner similar to that specified in this chapter appendix, as applicable. (See Appendix D on how to obtain forms)



Figure 8-A-5. SF 902 (11/2018 CUI label)



Figure 8-A-6. SF 903 (11/2018) CUI Label – Thumb Drive

APPENDIX 8-B
DISSEMINATION CONTROL MARKINGS FOR
CLASSIFIED DOCUMENTS AND MATERIAL
CONTAINING PRIVILEGED SAFETY INFORMATION

1. Purpose. To provide dissemination control and caveat marking requirements for classified documents and material, including information in electronic form that contain either unclassified privileged safety information (PSI) classified PSI or both.

2. General. Privilege and PSI are discussed in chapter 8. The term “marking” includes certain concepts of identifying the classification of the information and identifying any information safeguarding or dissemination controls. Markings must be conspicuous and immediately apparent. DoDM 5200.01 Volume 2 of 24 February 2012 (Department of Defense (DoD) Information Security Program - Marking of Classified Information)) provides guidance for the correct marking of classified information. However, the DoDM 5200.01, Volume 2 of 24 February 2012 does not address PSI. This chapter appendix provides specific Navy and Marine Corps guidance for classified information that also contains PSI.

a. “CUI” Basic Control Markings. The Department of the Navy (DON) deems unclassified PSI to be in a Controlled Unclassified Information (CUI) specified category that requires the application of specific access and distribution controls and protective measures per DoDI 5200.48 of 6 March 2020 (CUI). Unclassified documents and materials containing PSI must use chapter appendix 8-A for dissemination control markings. The CUI basic control marking is applied by the DoD to unclassified information when disclosure to the public of that particular record or portion thereof, would reasonably be expected to cause a foreseeable harm to an interest protected by one or more of Freedom of Information Act (FOIA) exemptions (b)(2) through (b)(9). In the case of unclassified PSI, it is protected by courts from public release under executive privilege in the rules of evidence and by FOIA exemption (b)(5) for “deliberative process privilege.” However, because access to basic CUI information is much broader than what is needed to protect PSI, specific dissemination controls are needed. These additional dissemination controls are imposed by the DoD through the use of CUI specified category markings.

b. Classified Information Dissemination Control. Classified information requires the application of access and distribution controls and protective measures per DoDM 5200.01, Volume 2 of 24 February 2012. Giving a classification to PSI should be discouraged by originators to the greatest extent possible because of the increased handling burdens it places on the safety community in disseminating that information efficiently and in a timely fashion to prevent mishap or near miss reoccurrences. Not every person in every potential community of interest will have access to classified information. However, should the originator require that the PSI be classified, the classified PSI should be marked per the requirements in this chapter appendix. Marking classified PSI per this chapter appendix will ensure that any eventual

declassification of that PSI could change it to being CUI with a specified category of PSI (CUI//SP-PSI). Declassification requirements are discussed in paragraph 4 of this chapter appendix. Classified documents and materials containing either unclassified PSI, classified PSI or both, must use this chapter appendix for any dissemination control markings.

c. Controlled Unclassified Information Specified Category Markings. The DON uses the CUI specified category marking “CUI//SP-PSI” to indicate additional dissemination control of PSI beyond that used for CUI basic information. Chapter 8 provides information on the concept of privilege pertaining to mishap and near miss safety information, the authority for the dissemination of mishap and near miss safety information in general and PSI in particular, the procedures for obtaining it and the special handling requirements for such material.

3. Dissemination Control Marking Requirements.

a. Markings General. Pages of classified documents and material that do not contain any PSI, but do contain classified information, are marked as usual per DoDM 5200.01 Volume 2 of 24 February 2012. Figures 7-5 and 7-6 of SECNAV M-5216.5 of June 2015 (DON Correspondence Manual) provide illustrations of classification markings on classified correspondence.

b. Correspondence Serial Numbers. A serial number is required on all classified correspondence. SECNAV M-5216.5 of June 2015, subparagraph 7-2.3a(2)(c), provides format guidance on the use of classification letters (e.g., C, S or TS) with correspondence serial numbers.

Note: Other than for unclassified correspondence containing PSI, which only uses a CUI dissemination control marking for correspondence serial numbers, there is no special marking of serial numbers for classified correspondence to indicate the presence of PSI.

c. Privileged Safety Warning Statement. All classified documents containing PSI must be marked on the first page of multi-page documents with the warning statement shown in figure 8-B-1, until sanitized or redacted.

This content is classified at the [insert highest classification level of the source data] level and may contain elements of CUI, CUI specified category privileged safety information (CUI//SP-PSI) or information classified at a lower level than the overall classification displayed. This content must not be used as a source of derivative classification; refer instead to the applicable classification guide(s). It must be reviewed for Classified National Security Information (CNSI), CUI//SP-PSI and CUI per DoDI 5230.09 and OPNAVINST 5102.1E/MCO 5102.1C prior to public release.

The information in this document is from a limited use, controlled distribution, safety investigation report and is exempt from mandatory disclosure under 5 U.S.C. 552(b)(5). Dissemination or disclosure of this PSI is controlled by OPNAVINST 5102.1E/MCO 5102.1C. Unauthorized dissemination or disclosure of PSI in this report by military personnel is a criminal offense punishable under Article 92, Uniform Code of Military Justice. Unauthorized dissemination or disclosure of PSI in this report by civilian personnel will subject them to disciplinary action under chapter 752 of the DON Civilian Human Resources Manual.

Figure 8-B-1. Privileged Safety Information Warning Statement for Classified Documents

d. Pages Containing PSI and Classified Information. Classified documents and material containing PSI must be marked per DoDM 5200.01 Volume 2 of 24 February 2012 and DoDI 5200.48 of 6 March 2020, except that pages containing both PSI and classified information, must be marked with the classification and caveat banner “[CLASSIFICATION]//PSI” on the top and bottom.

Note: Brackets are not to be used in the actual document or material banner. They are used here before and after the classification only to indicate the relative placement location of a classification marking.

e. Pages Containing PSI, but No Classified Information. Classified documents and material containing PSI must be marked per DoDM 5200.01 Volume 2 of 24 February 2012 and DoDI 5200.48 of 6 March 2020, except that pages containing PSI, but no classified information, must be marked with the CUI specified control banner “CUI//SP-PSI” on the top and bottom.

f. Portion Markings. Subjects, titles and each section, part, paragraph or similar portion of a classified document containing PSI must be marked to show that portion contains information requiring specific protection. Do not commingle CUI specified category PSI, classified PSI or non-PSI containing classified information within the same portion. If the author wants to

annotate the classification of a reference, enclosure, tab or attachment that has an unclassified title, a parenthetical note may be included after that title (e.g., “(Document is classified Secret)”). Use table 8-B-1 to identify notations for portions of classified documents and material that contain PSI. Place these notations immediately before all text in that portion.

UNCLASSIFIED – CLASSIFICATION MARKINGS FOR ILLUSTRATION PURPOSES ONLY

Rule Number	If a portion of a classified document or material contains...	Then...
1	<ul style="list-style-type: none"> Only non-privileged safety information (non-PSI) containing unclassified information, 	<p>no portion markings required. Optionally, may use “(U)”</p> <p>Note: If any portion not requiring dissemination control is marked “(U),” then all portions of the document must be marked.</p>
2	<ul style="list-style-type: none"> Non-PSI containing unclassified information and CUI specified category PSI, 	mark that portion immediately before the text as “(U//CUI//SP-PSI)”.
3	<ul style="list-style-type: none"> Non-PSI containing unclassified information and Non-PSI containing classified information, 	mark that portion immediately before the text as “(U),” “(C),” “(S),” or “(TS),” as required per classification level.
4	<ul style="list-style-type: none"> Non-PSI containing unclassified information and Classified PSI, 	mark that portion immediately before the text as “(C//PSI),” “(S//PSI),” or “(TS//PSI),” as required per classification level.

Notes: Do not commingle CUI specified category PSI, classified PSI or non-PSI containing classified information within the same portion. If the author wants to annotate the classification of a reference, enclosure, tab or attachment that has an unclassified title, a parenthetical note may be included after that title (e.g., “(Document is classified Secret)”).

Table 8-B-1. Portion Markings for Classified Documents and Materials Containing Privileged Safety Information

g. Naval Message and Electronic Mail (E-mail) Markings. Classified electronically transmitted naval messages and e-mail, that contain PSI, must be marked with dissemination control phrases and handling caveats as required by this chapter appendix.

(1) Naval Messages.

(a) Printed Copies. See paragraphs 3a and 3c through 3e of this chapter appendix.

(b) Portion Markings. Subjects, as well as individual sections, parts, paragraphs or similar portions of a classified naval message containing PSI must be marked to show that portion contains information requiring specified protection. Do not commingle CUI specified category PSI, classified PSI or non-PSI containing classified information within the same portion. If the author wants to annotate the classification of a reference or attachment that has an unclassified title, a parenthetical note may be included after that title (e.g., “(Document is classified Secret)”). Use table 8-B-1 to identify notations for portions of classified naval messages that contain PSI. Place these notations immediately before all text in that portion.

(c) Privileged Safety Information Warning Statement. In addition to the markings specified in paragraphs 3g(1)(a) and (b) of this chapter appendix, classified naval messages containing PSI must also include the figure 8-B-2 warning statement in an isolated block immediately following the narrative line (i.e., abbreviated in the naval message as “NARR”). This warning statement must remain on any naval message until it is either sanitized or redacted of any PSI.

THIS CONTENT IS CLASSIFIED AT THE [INSERT HIGHEST CLASSIFICATION LEVEL OF SOURCE DATA] LEVEL AND MAY CONTAIN ELEMENTS OF CONTROLLED UNCLASSIFIED INFORMATION (CUI), CUI SPECIFIED CATEGORY PRIVILEGED SAFETY INFORMATION (CUI//SP-PSI) OR INFORMATION CLASSIFIED AT A LOWER LEVEL THAN THE OVERALL CLASSIFICATION DISPLAYED. THIS CONTENT MUST NOT BE USED AS A SOURCE OF DERIVATIVE CLASSIFICATION; REFER INSTEAD TO THE APPLICABLE CLASSIFICATION GUIDE(S). IT MUST BE REVIEWED FOR CLASSIFIED NATIONAL SECURITY INFORMATION (CNSI), CUI AND PSI PER DODI 5230.09 AND OPNAVINST 5102.1E/MCO 5102.1C PRIOR TO PUBLIC RELEASE.

THE INFORMATION IN THIS DOCUMENT IS FROM A LIMITED USE, CONTROLLED DISTRIBUTION, SAFETY INVESTIGATION REPORT AND IS EXEMPT FROM MANDATORY DISCLOSURE UNDER 5 U.S.C. 552(B)(5). DISSEMINATION OR DISCLOSURE OF PSI IS CONTROLLED BY OPNAVINST 5102.1E/MCO 5102.1C. UNAUTHORIZED DISSEMINATION OR DISCLOSURE OF PSI IN THIS REPORT BY MILITARY PERSONNEL IS A CRIMINAL OFFENSE PUNISHABLE UNDER ARTICLE 92, UNIFORM CODE OF MILITARY JUSTICE. UNAUTHORIZED DISSEMINATION OR DISCLOSURE OF PSI IN THIS REPORT BY CIVILIAN PERSONNEL WILL SUBJECT THEM TO DISCIPLINARY ACTION UNDER CHAPTER 752 OF THE DEPARTMENT OF THE NAVY CIVILIAN HUMAN RESOURCES MANUAL.

Figure 8-B-2. Privileged Safety Information Warning Statement for Classified Naval Messages

(2) E-mail.

(a) Printed Copies. See paragraphs 3a and 3c through 3e of this chapter appendix.

(b) Banners. Classified e-mail bodies that contain PSI must be marked with the following banner or a similar one: “[CLASSIFICATION]//PSI” at the top of the first page of the body, immediately before any e-mail body content is added. The classification level in the banner marking reflects the overall classification of the e-mail (i.e., includes the subject line, text of the e-mail, any classified signature block, attachments, included messages and any other information conveyed in the body of the e-mail), not just the classification of the PSI. A similar banner marking must be at the end of the e-mail body, after the signature block.

Note: Brackets are not to be used in the actual e-mail banner. They are used here before and after the classification only to indicate the relative placement location of a classification marking.

1. This banner marking may be either left justified or centered and must have a single line space immediately following it.

2. This banner marking must be repeated at the top of every forwarded or reply e-mail to ensure the marking remains conspicuous to e-mail recipients upon opening of the e-mail.

(c) Automated Marking Tools. Some organizations use automated tools to mark electronic messages (e.g. organizational messages, e-mails and text or instant messages). It remains the individual’s responsibility to properly mark classified messages, including banner marking, portion markings and classification authority block when an automated tool is used.

(d) Portion Markings. Subjects, as well as individual sections, parts, paragraphs or similar portions of a classified e-mail containing PSI must be marked to show that portion contains information requiring specified protection. Do not commingle CUI specified category PSI, classified PSI or non-PSI containing classified information within the same portion. If the author wants to annotate the classification of a reference or attachment that has an unclassified title, a parenthetical note may be included after that title (e.g., “(Document is classified Secret)”). Use table 8-B-1 to identify notations for portions of classified e-mails that contain PSI. Place these notations immediately before all text in that portion.

h. Attachment Markings.

(1) Transmittal Documents. Transmittal documents are documents that have information enclosed with or attached to them. An example is a letter, memo or staff summary sheet with classified or PSI-containing enclosures. The transmittal document itself may or may not contain CUI//SP-PSI, non-PSI containing classified information or classified PSI. Paragraphs 3b, 3c and 3f of this chapter appendix provide requirements for correspondence serial numbers, a PSI warning statement and portion marking for the transmittal document itself.

(a) Unclassified Transmittal Document Banner Lines.

1. Unclassified Transmittal Document Contains PSI, Transmitted Information is Classified. Unclassified transmittal documents that contain PSI and transmits classified PSI or non-PSI containing classified information, must be marked with a banner line that has the highest classification level (and the PSI control marking, if applicable) of any information in the transmittal document or transmitted by it. Mark the transmittal document with an appropriate instruction, beneath the lower classification banner, indicating that it is CUI//SP-PSI when separated from the classified enclosures (e.g., “CUI//SP-PSI when separated from classified enclosures” or “CUI//SP-PSI when Attachment 2 is removed”).

2. Unclassified Transmittal Document Does Not Contain PSI, Transmitted Information is Classified. Unclassified transmittal documents that do not contain PSI, but transmit classified PSI or non-PSI containing classified information, must be marked with a banner line that has the highest classification level (and the PSI control marking, if applicable) of any information transmitted by it. Mark the transmittal document with an appropriate instruction, beneath the lower classification banner, indicating that it is unclassified when separated from the classified enclosures (e.g., “UNCLASSIFIED when separated from classified enclosures” or “UNCLASSIFIED when Attachment 2 is removed”).

(b) Classified Transmittal Document Banner Lines.

1. Classified Transmittal Document Contains PSI, Transmitted Information is Classified. Classified transmittal documents that contain PSI and transmit classified PSI or non-PSI containing classified information, must be marked with a banner line that has the highest classification level (and the PSI control marking, if applicable) of any information in the transmittal document or transmitted by it. Mark the transmittal document in the same manner as any other classified document containing PSI, to include banner, portion markings, classification authority block and any required warning or special notices.

2. Classified Transmittal Document Does Not Contain PSI, Transmitted Information is PSI. Classified transmittal documents that do not contain PSI, but do transmit classified or unclassified PSI, must be marked with a banner line that has the highest classification level (and the PSI control marking, if applicable) of any information in the transmittal document or transmitted by it. Mark the transmittal document with an appropriate instruction, beneath the lower classification banner, indicating that it remains classified when separated from the PSI-containing enclosures (e.g., “[CLASSIFICATION] when separated from PSI enclosures” or “[CLASSIFICATION] when Attachment 2 is removed”).

3. Classified Transmittal Document Does Not Contain PSI, Transmitted Information is Not PSI. Classified transmittal documents that do not contain PSI or transmit PSI, will be marked in the same manner as any other non-PSI containing classified document, to

include banner, portion markings, classification authority block and any required warning or special notices.

i. Specified Control Markings for Privileged Safety Information Contained in Media or Material (Including Hardware and Equipment). Examples of this media or material are computer files and other electronic media, audiovisual media, chart, maps, films, sound recordings, microfilm, microfiche, etc. See DoDM 5200.01 Volume 2 of 24 February 2012, enclosure (3) and The Navy and Marine Corps Safety Investigations and Reporting Guide, for guidance on how to mark this media or material. However, continue to use the specified control markings in a manner similar to that specified in this chapter appendix, as applicable.

4. Declassification. DoDM 5200.01 Volume 2 of 24 February 2012, enclosure (3), provides guidance on declassification markings for classified information. However, when a classified document or material that contains PSI will be declassified, the holder must, prior to declassification or removal of any classification markings, consult with the Staff Attorney at the NAVSAFECEN. The Staff Attorney at the NAVSAFECEN may direct the holder to change either some or all of the classified PSI markings to those markings specified in chapter appendix 8-A for controlled unclassified information (i.e., CUI//SP-PSI).

CHAPTER 9
RMI ACCOUNT MANAGEMENT

901. Purpose. To explain the roles, permissions and terminology for Risk Management Information (RMI) account management.

902. Background. RMI roles, permissions and terminology are significantly different from that used for the legacy Web-enabled safety system (WESS) and apply to users irrespective of functional community. WESS used centralized account management; the RMI does not. WESS account roles and permissions are no longer applicable in the RMI.

903. Policy.

a. All Department of the Navy (DON) RMI users must have a U. S. Navy (USN) or U. S. Marine Corps (USMC) workplace assigned to use the RMI.

b. Only the RMI account roles applicable to Navy and Marine Corps RMI users can be assigned. See subparagraph 905.c for additional details.

c. Commands must have a User Administrator assigned or coordinate with higher headquarters to fulfill UA responsibilities on behalf of the command. See paragraph 906 for details.

904. Assignment of RMI Permissions. The RMI account type, category, module access and job functions are identified during the RMI account creation process and elevated and approved by User Administrators (UA) at or above the unit level.

905. User Account Types and Categories. There are two account types in the RMI, basic and elevated and two account categories, primary and secondary.

a. Account Types.

(1) Basic Account. A basic account permits access to common, open areas of the RMI, such as publications and references and file sharing. This type of account will have the basic account role and a workspace.

(2) Elevated Account. Elevated accounts have access to unprotected information and one or more types of protected information. Information may be protected by safety privilege, Privacy Act, Health Insurance Portability and Accountability Act (HIPAA) or another formal mechanism. Security roles are used to provide and control appropriate access. This account will have additional roles than those found in a basic account.

b. Account Categories.

(1) Primary Category. By default, every RMI user has a primary account. This account contains their demographic information (e.g., employment status, grade, name, assigned organization, assigned office symbol, email, etc.) and assigned RMI roles (permissions).

(2) Secondary Category. A secondary account is required when a user needs an account listing an organization different from the one on their primary account. Examples of when a secondary account is necessary include:

(a) An RMI user is assigned to two or more organizations with separate reporting hierarchies. For example, a user may work Monday through Friday as a civilian in a DON safety office and periodically works as a military member in a reserve organization's safety office.

(b) An RMI user is assigned to one organization and because of geographic proximity, is assigned to manage users at a geographically nearby organization with a separate reporting hierarchy.

c. RMI Account Roles. There are two broad kinds of RMI account roles, those roles that are applicable to Navy and Marine Corps RMI users and those that are listed in the RMI, but never assigned to Navy and Marine Corps users.

(1) Chapter appendix 9-A provides the list of RMI account roles that are applicable to Navy and Marine Corps RMI users and their definitions.

(2) Chapter appendix 9-B provides the list of RMI account roles that can be seen when using the RMI, but are never assigned to Navy and Marine Corps RMI users.

Notes: RMI was developed from and is closely associated with the U.S. Air Force's Air Force Safety Automated System (AFSAS). Some account roles that are visible in the RMI are never assigned to Navy and Marine Corps users. These roles are applicable to AFSAS users from other Services and defense activities. Some RMI account roles that are applicable to Navy and Marine Corps users may not yet be available until full RMI implementation is achieved. Until then, specific availability of account roles for Navy and Marine Corps users will be disseminated by Commander, Naval Safety Center (COMNAVSAFECEN) via All Safety messages.

906. UA. UAs perform an important role in RMI account management. Specific policies, requirements and responsibilities assigned to UAs are delineated in this paragraph.

a. UA Policies and Requirements.

(1) UAs fulfill an inherently governmental role, therefore, the UA role must only be assigned to DON uniformed Service members or U.S. Government civilians.

(2) Only two UAs are authorized per unit (e.g., Unit Identification Code) unless a waiver is granted.

Note: Units requesting more than two UAs, must submit a waiver request in writing to COMNAVSAFECEN (Attn: Executive Director) with sufficient justification.

(3) UAs must be designated in writing by the command or activity commander or commanding officer. A template for the designation letter is available in chapter appendix 9-D.

(4) UAs must sign an RMI User Agreement acknowledging their responsibilities and the limitations of their authority. A template for the user agreement is available in chapter appendix 9-E.

Note: Both the designation letter and the RMI User Agreement must be uploaded to the UA's profile in the RMI.

(5) COMNAVSAFECEN assigns the UA role to Navy echelon 2 and Marine Corps major command UAs. Navy echelon 2 UAs and Marine Corps major command UAs then assign the UA role to those in subordinate commands. In all cases, the UA designation letter and RMI User Agreement must have been uploaded to the UA's profile in the RMI, before the UA assignment can be made.

(6) UAs must be completely familiar with the special handling requirements of PSI per chapter 8 of this manual.

(7) UAs must administer the guidelines for special handling of PSI per chapter 8 of this manual within their unit.

Note: UAs who fail to protect PSI will have their UA and RMI account roles suspended or revoked.

(8) UAs are responsible for ensuring that roles are properly assigned and only given to those with a legitimate need. UAs are permitted to assign RMI roles per the guidelines in this chapter applying the specific restrictions explained in subparagraphs 906a(8)(a) through 906a(8)(c):

(a) RMI roles must only be assigned to DON uniformed and Government civilian personnel within their unit or subordinate units. For all other categories of personnel, UAs must forward RMI access requests to COMNAVSAFECEN for consideration.

(b) RMI roles must not be assigned to other personnel including those from other DON organizations, other Military Services, non-Department of Defense (DoD) U.S. Government agencies, contractors, foreign exchange personnel, liaison personnel or any other non-DON personnel unless a Non-Disclosure Agreement (NDA) has been approved by COMNAVSAFECEN. If COMNAVSAFECEN has approved an NDA, UAs are permitted to assign RMI roles in strict compliance with the NDA, but only for personnel from the above categories who are assigned within their unit or subordinate units. See paragraphs 815 and 816 for additional details and the criteria used by COMNAVSAFECEN for determining approval of NDAs.

(c) RMI roles must not be assigned to contractors, foreign exchange or liaison personnel or any non-DON civilians, unless an NDA has been approved by COMNAVSAFECEN. If an NDA has been approved, UAs are permitted to assign RMI roles in strict compliance with the NDA, but only for contractors, foreign exchange or liaison personnel or non-DON civilians within their unit or subordinate units.

b. UA Responsibilities.

(1) UAs assign RMI account roles for personnel in their organization and those personnel below their command or activity in the organizational hierarchy, including subordinate command UAs. Chapter appendix 9-C provides important information for making RMI account role determinations based on functional roles and billet types.

Note: In some cases, personnel will be assigned multiple RMI account roles simultaneously, while in other cases, a single RMI account role is all that is required.

(2) UAs must validate requester need before assigning RMI roles to personnel. RMI roles must only be assigned to personnel with a legitimate need. Additionally, only the account roles necessary to complete assigned tasks will be assigned to personnel.

(3) UAs manage RMI account roles for personnel in their organization and those personnel below their command or activity in the organizational hierarchy, including subordinate command UAs. This includes making RMI account changes and addressing issues with the RMI accounts they administer.

(4) UAs must ensure those assigned access to PSI, have read chapter 8 of this manual and understand all special handling requirements before RMI account roles are assigned.

APPENDIX 9-A
RMI ACCOUNT ROLES APPLICABLE TO NAVY AND MARINE CORPS USERS

1. Risk Management Information (RMI) account roles, descriptions and amplification and role assignment authority applicable to Navy and Marine Corps RMI users are shown in table 9-A-1.
2. See the Risk Management Information Streamlined Incident Reporting (RMI-SIR) User Administrator’s Guide, dated August 2020 for more detailed information about RMI account roles.

Account Role	Description and Amplification	Role Assignment Authority
Dive-Jump Reporting System (DJRS): DJRS User	Gives the user access to the DJRS. Applicable only to the dive and jump communities.	Local UA
Data extraction Access: Events	Gives the user access to retrieve event data using the AFSAS data extraction tool (AFSAS DET) or International Business Machines Corporation (IBM) Cognos business intelligence tool.	Local UA
Data Extraction Access: OSHA 300/300A	Allows the user to build Occupational Safety and Health Administration OSHA 300 and OSHA 300A forms in the AFSAS DET or IBM Cognos business intelligence tool.	Local UA
Data Extraction Access: Inspection	This role grants the user access to inspection data via the data extraction tool for the purpose of developing reports.	Local UA
Data extraction Access: Recommendations	Allows the user to retrieve recommendation data using the AFSAS DET or IBM Cognos business intelligence tool.	Local UA
Event Tabs: Access Approval (Convening Authority only)	Allows the user to approve safety investigation briefings by the convening authority within the exhibit section of the report.	Higher Organization UA
Event Tabs: View (org & time restricted)	Provides automatic exhibit access to any event whose convening authority is within your organizational hierarchy for two years after the release of the investigation. After the two year time period and for events outside your unit hierarchy, you need to request exhibit access.	Local UA

Account Role	Description and Amplification	Role Assignment Authority
Event Tabs: Waiver Coordination (step 1)	Provides the user the ability to approve or disapprove Part One waiver requests for which the convening authority has oversight.	Higher Organization UA
Event: Data Viewer	Allows the user to view all event data entry fields except Department of Defense ID.	Local UA
Event: Investigator	<p>Grants users the ability to create investigations for any category or class, view their investigations, take action on investigations, granted access to, search investigations, set message rules, grant and request access to investigations and create hazard management events. Also, allows the user to create a preliminary message for review and approval by the designated convening authority.</p> <p>This role maintains all permissions previously assigned to “Event: Data Viewer” and “Event: Message (view only).”</p> <p>This role is required to enter memorandum of final evaluation (MOFE) comments.</p>	Local UA
Event: Message (view only)	Allows the user to only view released messages	Local UA
Event: Message Approval	<p>Allows the user to review and approve all messages for their organization and subordinate commands before quality control by the Naval Safety Center.</p> <p>This role cannot create event investigations or enter data for event investigations.</p>	Local UA
Event: Provider	Allows the user to enter event person physiological information.	Local UA
Event: Supervisor Investigator	Allows the user to enter data for any report for which the convening authority is below their organization and in their chain of command. User will also be able to view, search and comment on MOFEs. This role maintains all permissions previously assigned to "Event: investigator."	Local UA

Account Role	Description and Amplification	Role Assignment Authority
Inspections: Data Viewer	Allows the user the ability to view the read-only data presented in the safety inspection data viewer.	Local UA with same role
Inspections: Safety Inspector	Allows the user the ability to manage safety inspection investigations.	Local UA with same role
Inspections: Supervisor Inspector	Allows the user access and edit ability for any inspection identifying their organization or below as the inspecting organization.	Local UA
MUSTT: Motorcycle Safety Representative	Allows the user the ability to manage the tracking of motorcycle riders at their organization and below.	Local UA
OSHA: Event Investigator	Allows the user the ability to create, update, request closure, request deletion and request to open OSHA event visits at their assigned base. However, they can search and view ANY OSHA event report.	
OSHA: Event Supervisor	Allows the user to create, update, request and coordinate closure and request open and deletion at their organization and below. They can search and view ANY OSHA event report.	Higher Organization UA
Recommendation: Approval	Allows the user to approve closure of recommendations. The recommendation must have the user's organization assigned as an approval authority.	Local UA
Recommendation: Coordination	Allows the user to coordinate recommendations. The recommendation must have the user's organization assigned as a coordination authority.	Local UA
Recommendation: Office of Collateral Responsibility (OCR) Management	Allows access to update the OCR page and change the OCR within their chain of command. It cannot change the actions completed field if the recommendation is in work	Local UA
Recommendation: Supervisor (safety only)	Allows the user to manage recommendations. Supervisor access is granted where the supervisor is at or above the office of primary responsibility (OPR) organization hierarchy.	Local UA

Account Role	Description and Amplification	Role Assignment Authority
	This security permission grants access to specialized management functions, such as reopen a recommendation, change the recommendation narrative, etc. These special management functions are the special cases that arise from peculiar circumstances.	
Recommendation: Update (OPR or OCR)	<p>Allows the user to edit and update open recommendations as an OPR or OCR.</p> <p>The recommendation must have the user's organization and office assigned as either the OPR or OCR.</p> <p>Safety offices or organizations higher in the organizational structure with this role may access a subordinate organization's recommendation.</p>	Local UA
Recommendation: View only	Allows the user to only view any recommendation in the recommendations module.	Local UA
Training: Records Administrator	Allows the user the ability to manage training records for any person in their organization, a subordinate organization or assigned to their assigned base. They may view the Training Transcript for any person in their organization, a subordinate organization or assigned to their assigned base.	Local UA with same role
User Administrator	Allows the user to add, edit or remove users in your current or subordinate organizations.	Higher Organization UA
Workflow: Explosive Site Plan Administrator	Allows the user the ability to create an explosive site plan and be assigned as the explosive site plan workflow action officer.	Local UA
Workflow: Explosive Site Plan Coordinator	Allows the user the ability based on organization and office symbol to be assigned as an Explosive Site Plan Coordinator.	Local UA
Workflow: Tasker Initiator	Allows the user the ability to create a workflow tasker and be assigned as the workflow action officer.	Local UA
Workflow: Tasker POC	Allows users to be assigned as OCR or OPR of a workflow tasker.	Local UA

Account Role	Description and Amplification	Role Assignment Authority
Workspace: U.S. Navy and U.S. Marines	<p>This role provides access to the workspace containing U.S. Navy and U.S. Marine Corps records.</p> <p>Other roles control the actions a user may perform (e.g., create new investigations, read messages, retrieve data, etc.) in this workspace.</p> <p>All DON RMI users must have this role assigned.</p>	Local UA

Table 9-A-1. RMI Account Roles Applicable to Navy and Marine Corps Users

APPENDIX 9-B
RMI ACCOUNT ROLES NOT APPLICABLE TO NAVY AND MARINE CORPS USERS

1. Account roles that exist in the Risk Management Information (RMI), but are not applicable to Navy and Marine Corps RMI users are shown in table 9-B-1.
2. The account roles in table 9-B-1 must never be requested by or assigned to, Navy and Marine Corps personnel.

Account Role	
Data Extraction Access: OCC Illness	Workspace: Defense Contract Management Agency
Event: ASAP Triage	Workspace: Defense Finance and Accounting Services
Event Tabs: View (JA time restricted)	Workspace: Defense Health Agency
OCC Illness: Bioenvironmental Engineer Note: Bioenvironmental Engineers are U.S. Air Force military personnel that have similar roles and responsibilities to that of the combined U.S. Navy Industrial Hygiene Officer, Environmental Health Officer and Radiation Health Officer subspecialties.	Workspace: Defense Intelligence Agency
OCC Illness: Data Viewer	Workspace: Other Department of Defense Agency
OCC Illness: Message (view only)	Workspace: U.S. Air Force
OCC Illness: Provider	Workspace: U.A. Army
OCC Illness: Public Health	Workspace: U.S. Coast Guard
OCC Illness: Supervisor Investigator	Workspace: Unified Command
Workspace: Defense Commissary Agency	

Table 9-B-1. RMI Account Roles Not Applicable to Navy and Marine Corps Users

APPENDIX 9-C
RECOMMENDED RMI ACCOUNT ROLES FOR NAVY AND MARINE CORPS RMI
USERS BASED ON FUNCTIONAL ROLES AND BILLET TYPES

1. Recommended Risk Management Information (RMI) account roles for Navy and Marine Corps RMI users based on functional roles are provided in table 9-C-1. Recommended RMI account roles for Navy and Marine Corps RMI users based on billet type are provided in table 9-C-2. Use tables 9-C-1 and 9-C-2 as guides.
2. User Administrators (UA) must be familiar with this information to ensure they assign RMI account roles appropriately.

Functional Role	Recommended RMI Account Role(s)	Amplification
Department of the Navy (DON) RMI User	“Workspace: Navy and Marine Corps”	All DON personnel using the RMI must be assigned this account role in order to operate within the Navy and Marine Corps RMI domain.
UA	"User Administrator"	Applies to UAs at all levels of command.
Data Analyst	"Data Extraction Access: Events," "Data Extraction Access: OSHA 300/300A," and "Data Extraction Access: Recommendations"	Applies to personnel at all levels of command. Necessary to conduct data analysis.
Mishap or Hazard Investigator	"Event: Data Viewer," "Event: Investigator," "Event: Message (View Only)," "Recommendation: Coordination," and "Recommendation: View only" Also, "Event: Provider" for medical personnel	Applies to personnel (normally assigned to reporting custodians and commands acting as the accounting organization) assigned to investigate a mishap or hazard either as a single investigating officer (SIO) or as a member of a safety investigation board (SIB).
Investigation Oversight	"Access Approval (Convening Authority only),"	Applies to safety managers and safety officers from echelons above

Functional Role	Recommended RMI Account Role(s)	Amplification
	"Event: Message Approval," and "Event: Supervisor Investigator"	the accounting organization who are responsible for investigation oversight.
Recommendation Management	"Recommendation: Approval," "Recommendation: Coordination," "Recommendation: OCR Management," "Recommendation: Update (OPR/OCR)," and "Recommendation: View Only"	Applies to all personnel responsible for recommendation management.
Message Approver	"Event: Message Approval"	This role grants the user the ability to review and approve all messages for their organization and subordinate commands.

Table 9-C-1. Recommended RMI Account Roles for Navy and Marine Corps RMI Users Based on Functional Roles

Billet Type	RMI Account Role(s)	Amplification
Dive and Jump Master or Community Manager	"DJRS: DJRS user"	Required.
Accounting Organization or Reporting Custodian Command Safety Manager or Safety Officer		See RMI account roles assigned to the following functional areas - UA, Data Analyst, Mishap or Hazard Investigator and Recommendation Management.
Accounting Organization or Reporting Custodian Command Commanding Officer	"Event: Message (View Only)"	Required to see messages.
	"Event: Investigator"	Required to enter the commanding officer's comments on non-endorsed reports and MOFE

Billet Type	RMI Account Role(s)	Amplification
		comments when endorsement is required.
Accounting Organization or Reporting Custodian Command Medical Officer, Representative	"Event: Provider"	Required to enter medical information into RMI.
Immediate Superior in Command (ISIC) or Chain of Command Safety Manager or Safety Officer		See functional roles for UA, Data Analyst, Investigation Oversight minus (Conv Auth Only) account role and Recommendation Management.
ISIC or Chain of Command Commanding Officer	"Event: Message (View Only)"	Required to see messages.
	"Event: Supervisor Investigator"	Required to enter MOFE comments.
Controlling Command Safety Manager or Safety Officer	"Event Tabs: View (Org & Time Restricted)" "Recommendation: Supervisor (Safety Only)," and "Event: Supervisor Investigator"	Also, see RMI account roles assigned to the following functional areas - UA, Data Analyst, Investigation Oversight (including "Access Approval (Conv Auth Only)," and Recommendation Management.
Controlling Command Commander	"Event: Message (View Only)"	Required to see messages.
	"Event: Supervisor Investigator"	Required to enter MOFE comments and to edit all reports submitted by UIC or subordinate UICs.

Table 9-C-2. Recommended RMI Account Roles for Navy and Marine Corps RMI Users Based on Billet Type

APPENDIX 9-D
TEMPLATE FOR APPOINTMENT OF RMI SYSTEM USER ADMINISTRATOR



[Command Letter Head]

SSIC
Code/Ser 001
Date

From: Activity head, name of activity, location when needed
To: Commander, Naval Safety Center

Subj: APPOINTMENT OF [persons rank or pay grade and full name] AS A RISK
MANAGEMENT INFORMATION (RMI) SYSTEM USER ADMINISTRATOR

Ref: (a) COMNAVSAFECEN NORFOLK VA 272058Z Aug 20 (ALSAFE 017/20)
(b) COMNAVSAFECEN NORFOLK VA 181825Z Nov 20 (ALSAFE 021/20)
(c) OPNAVINST 3750.6S
(d) OPNAV M-5102.1 / MCO 5100.29C volume 9

1. Reference (a) explained the process, roles, responsibilities and timelines to review, endorse, finalize and close out safety investigation reports and hazard reports upon the initial release of the Risk Management Information (RMI) program of record. Reference (b) then updated the roles and responsibilities using RMI. Per reference (b), the following individual is designated as the RMI User Administrator (UA) for the below listed unit identification code (UIC):

- a. Rank/Rate/Grade First Name Last Name:
- b. User Administrator's UIC:
- c. Official E-mail Address:
- d. Telephone Number:

Exhibit 9-D-1. Template for Appointment of RMI System User Administrator

APPENDIX 9-E
TEMPLATE FOR RMI SYSTEM USER ADMINISTRATOR ACKNOWLEDGEMENT

**RISK MANAGEMENT INFORMATION (RMI) SYSTEM
USER ADMINISTRATOR ACKNOWLEDGEMENT
BY
[Name] OF [Command]**

I, [NAME], have been assigned to serve as a User Administrator (UA) for [COMMAND]. I certify that I am familiar with the U.S. Department of Defense (DoD) approved methods for protecting, handling, storing, releasing, disposing and use of Privileged Safety Information (PSI) and Personally Identifiable Information (PII) as defined in DoD Instruction 6055.07 of 6 June 2011, OPNAVINST 5102.1D / MCO P5102.1B and OPNAVINST 3750.6S and that I will conform to the measures that the Naval Safety Center has implemented to safeguard PSI and PII in an appropriate manner to prevent any unauthorized access or disclosure.

In my role as UA, I understand that I am only authorized to grant and update RMI account permissions for Department of the Navy (DON) uniformed and DON Government civilian personnel in my organization and subordinate organizations to ensure accurate and thorough mishap reporting, investigation and analysis. I acknowledge that I am not authorized to grant permissions to personnel from other DON organizations, Military Services or U.S. Governmental agencies, nor am I authorized to grant RMI access to contractors, foreign exchange or liaison personnel or any non-DON civilians. All requests for RMI access by individuals other than DON uniformed and Government civilian personnel must be referred to the Naval Safety Center for action and approval by the Executive Director.

I understand that it is my responsibility to terminate RMI access for personnel who no longer are serving in safety billets or no longer need access. If, in the execution of my duties, I become aware of individuals from my organization with RMI access who improperly release PSI, I agree to terminate their access and advise the Naval Safety Center immediately. This also applies to non-DON personnel who have been given RMI accounts without written approval from the Naval Safety Center's Executive Director.

Exhibit 9-E-1. Template for RMI System User Administrator Acknowledgement

APPENDIX A GLOSSARY

This compendium of terms and their definitions, listed in alphabetical order, will aid in interpreting this manual and in the continued administration of the Navy and Marine Corps safety investigation and reporting program. Most definitions are taken from authoritative sources as a starting point with specific amplification or qualification added, when necessary, to aid in understanding and standardization.

1. Accounting Organization. The reporting custodian that experienced the loss of or damage to, an owned asset; or the fatality, injury or work-related illness of an assigned person or persons in a mishap; and is responsible for or is assigned responsibility for, safety reporting, regardless of any determination as to the responsibility for the event's occurrence. There is one accounting organization for each mishap.

Note: See chapter 4, subparagraph 403a for the policy to determine the accounting organization when multiple commands are involved in a mishap. The accounting organization assignment is not affected when a convening authority appoints an SIB to investigate the mishap or the accounting organization relies on its higher headquarters to submit a SIREP into the RMI on the command's behalf.

2. Act of God. An event that directly and exclusively results from the occurrence of natural causes or phenomena that could not have been prevented by the exercise of foresight or caution; an inevitable accident.

3. Action Agency. A command or activity that has an office of primary responsibility (OPR) or office of collateral responsibility (OCR) assigned responsibility for the completion of a mishap recommendation (MISREC) or hazard recommendation (HAZREC). See also "Office of Primary Responsibility (OPR)" and "Office of Collateral Responsibility (OCR)."

4. Active Status. (Afloat only). Ships which are currently assigned for duty in the active fleet are in an active status.

5. Aerial Delivery Incident. Any action or event preventing an airdrop item from functioning as it was intended or designed.

Note: Some examples of incidents include, but are not limited to: Improperly setting the automatic opening device (AOD) that resulted in a dual canopy deployment; inadvertent or premature activations; entanglements resulting in reserve parachute deployment; high flair of the canopy resulting in jumper injury; parachutist loss of consciousness during jump sequence; failure to hook up static line to anchor line cable for container delivery system (CDS); improper rigging procedures before, during or after the airdrop equipment was loaded in the aircraft; Joint Precision Aerial Delivery System (JPADS) with improperly loaded data; misrouted static lines

that resulted in a towed jumper (cutaway or retrieved); and improper lock setting resulting in a loose platform or no-drop of equipment.

6. Aerial Delivery Malfunction. The failure of an airdrop item to function as it was intended or designed.

Note: Some examples of malfunctions include, but are not limited to: Failure of a main canopy to properly deploy, static line breaking, parachute panel or gore blowout, cargo parachute release failure and a JPADS that lands off the drop zone (DZ) for reasons other than improperly loaded data.

7. Aerial Delivery Malfunction Phase Categories. Airdrop load malfunctions categorized by the phase in which they occur:

a. Extraction Phase. The period of time that begins with the activation of the aerial delivery system and continues until the extraction force transfers to recovery parachute deployment.

b. Deployment Phase. The period of time that begins with the transfer of force from extraction to recovery parachute deployment and continues until load impact.

c. Release Phase. The period of time after load impact when the parachute release should occur.

Note: Investigations are restricted to factors that could have caused or contributed to a malfunction or incident to conserve time and effort. Observing the malfunction or incident can normally determine the phase of the occurrence.

8. Afloat Mishap. A mishap occurring aboard or resulting from or during the operation of a DoD or U.S. Coast Guard vessel, including mishaps during Navy or Marine Corps diving or swimmer operations; mishaps occurring while loading, off-loading or receiving services at dockside; and mishaps occurring up to the high water mark during amphibious or inshore warfare training operations. Includes mishaps involving unmanned surface vehicles (USV) and unmanned undersea vehicles (UUV). It applies to all injuries to DoD personnel occurring aboard, whether or not work-related. See also “DoD Vessel.”

Note: A mishap occurring aboard a DoD vessel that resulted from shipyard, vessel repair facility or private contractor operations is a ground (industrial) mishap, not an afloat mishap.

9. Allision. (Afloat only). The act of striking or collision of a moving vessel against a stationary object. Examples of stationary objects: Vessel made fast to a pier, vessel at anchor (i.e., not dragging anchor), moored buoy (i.e., not dragging anchor), bridge, dock, pier, wharf, jetty, quay, etc. A vessel or buoy dragging anchor is a moving vessel or buoy, respectively. An

exception, is a case when two anchored vessels strike each other and neither of them are dragging anchor nor have veered nor surged additional rode. This case would be a collision because the last vessel to anchor could have chosen a different location to anchor or used a different length of rode. The important distinction is that a moving vessel can play an active role in avoiding collision; whereas, a stationary object cannot. See also “Collision, Vessel.”

10. 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.

11. Amputation. The traumatic loss of a limb or other external body part. Amputations include a part, such as a limb or appendage that has been severed, cut off, amputated (either completely or partially); fingertip amputations with or without bone loss; medical amputations resulting from irreparable damage; amputations of body parts that have since been reattached. Amputations do not include avulsions, enucleations, degloving, scalping, severed ears or broken or chipped teeth. Amputation is an OSHA term and is only applicable to civilian personnel. For military personnel, use “permanent partial disability.”

Note: DON’s definition of “Permanent Partial Disability” includes tips of fingers or tips of toes without bone involvement. See also “Permanent Partial Disability.”

12. Appointing Authority. [Term is no longer used] See “Convening Authority (CA).”

13. 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.

14. Area of Responsibility (AOR). The geographic area associated with a combatant command within which a combatant commander has authority to plan and conduct operations.

15. Aspin-Rice 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, the HASC agreed to protect safety privileged information. The specific details of the agreement are covered in chapter 8 and DoDI 6055.07 of 6 June 2011.

16. Aviation Mishap. A naval aviation mishap is an unplanned event or series of events, directly involving a defined naval aircraft or UAV, which results in injury or property damage. See also “Defined Naval Aircraft.”

17. Casualty. Any person who is a loss to the organization by being declared dead, duty status - whereabouts unknown, missing, ill or injured.

18. 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 (KIA), died of wounds received in action and wounded in action.

19. 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.

20. 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,” or “Non-Hostile Casualty.”

21. Causal Factor. Factors which caused the mishap. If the factor was corrected, eliminated or avoided, the mishap, hazard or incident would not have happened.

22. Causal Finding. Findings that identify actions or inactions in the mishap sequence that resulted in damage or injury. They are identified with the word “Causal” at the start of the text of the finding and supported by causal factors within the report analysis.

23. Causal Primary Finding. A single event, condition or data point that is important in the mishap or hazard and is associated with a causal factor.

24. Chemical Agent. A chemical substance that is intended for use in military operations to kill, seriously injure or incapacitate mainly through its physiological effects.

25. Chemical Agent Release. Any unintentional or uncontrolled release of a chemical agent when:

- a. Damage occurs to property from contamination or costs are incurred for decontamination.
- b. Individuals exhibit physiological symptoms of agent exposure.
- c. The quantity released to the atmosphere creates a serious potential for exposure.

26. Civilian Personnel.

a. Federal Civilian Personnel. All on-duty 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 on-duty civilian personnel whose employment by the U.S. Government 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 on-duty foreign nationals employed by the U.S. Government in direct (appropriated or non-appropriated funds) or indirect hire (contract or fee basis) status when the U.S. Government 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 must review and determine if the host nation injury and illness reporting and compensation systems supersede DoD requirements per the status of forces' agreement.

27. **Class A Mishap.** Fatality or permanent total disability that resulted from a reportable injury or illness; or, a total cost of damages for DoD or non-DoD property of \$2.5 million or more.

28. **Class B Mishap.** Permanent partial disability that resulted from a reportable injury or illness; hospitalization for inpatient care of three or more personnel as a result of a single mishap (i.e., for mishap reporting purposes only, inpatient care does not include individuals hospitalized for observation, diagnostic or administrative purposes that were treated and released); or, a total cost of damages for DoD or non-DoD property of \$600,000 or more, but less than \$2.5 million. See also "Personnel."

29. **Class C Mishap.** Nonfatal reportable injury or illness that resulted in the loss of one or more days away from work, not including the day or shift that the mishap occurred (i.e., a Lost-Time Case); or, a total cost of damages for DoD or non-DoD property of \$60,000 or more, but less than \$600,000.

Note: When determining if the event is a Lost-Time Case, count the number of calendar days the employee was unable to work as a result of the injury or illness, regardless of whether the person was scheduled to work on those days. Weekend days, holidays, vacation days or other days off are included in the total number of calendar days, if the employee would not have been able to work on those days. If the employee is out for an extended period of time, use an estimate of the days that the employee will be away and update the day count when the actual number of days is known. Also, include the number of calendar days away recommended by a physician or other licensed health care professional. However, the days away must be recorded whether the injured or ill employee follows a physician or licensed health care professional's recommendation or not. End the count of days away from work on the date the physician or other licensed health care professional recommends that the employee return to work.

30. Class D Mishap. A reportable event in which the resulting total cost of damage to DoD or non-DoD property is \$25,000 or more, but less than \$60,000; or, an on-duty injury or illness not otherwise classified as a Class A, B or C mishap (e.g., illness or injury that involves medical treatment beyond first aid, loss of consciousness, light or limited duty for military personnel or restricted work or job transfer for on-duty Navy and Marine Corps civilian employees).

31. Class E Mishap. A reportable event in which the resultant total cost of damages to DoD or non-DoD property is greater than \$0, but less than \$25,000. Class E mishap reporting is not a mandatory DON requirement, but may be required by specific communities.

32. 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. Subclassification W is ground (surface) ammunition. Class V (W) ground ammunition is under the management or cognizance of the Marine Corps Systems Command (MARCORSYSCOM) (AM).

33. Cold Illness. 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 of heat loss, reduced body temperature or tissue destruction due to cold exposure.

34. Collision, Vessel. For maritime-related mishap and near-miss cases, the striking together of two or more moving vessels. See also “Allision.”

35. Combat Area. A restricted area (air, land, sea or space) that is established to prevent or minimize mutual interference between friendly forces engaged in combat operations. See also “Combat Zone.”

36. Combat Zone. The area required by combat forces for the conduct of operations. A restricted area (air, land, sea or space) that is established to prevent or minimize mutual interference between friendly forces engaged in combat operations (combat area). See also “Combat Area” and “Communications Zone.”

37. Commuting. Travel of military or civilian personnel between their place of permanent or temporary residence and their permanent duty station or temporary job location.

Note: When personnel check into a temporary residence (i.e., a “home away from home”), they are considered to have left the work environment. An example of a temporary residence would be a hotel, motel, bed and breakfast or friend or relative’s home for one or more calendar days.

38. Competent Medical Authority (CMA). A physician or other licensed health care professional whose legally permitted scope of practice (i.e., license, registration or certification) allows him

or her to independently perform or be delegated the responsibility to perform, the activities described in this manual. For purposes of this manual, independent duty corpsmen in operational environments without a licensed health care professional present, are considered CMAs.

39. Competent Person. A person who is capable of identifying existing and predictable hazards in the surroundings or working conditions which are unsanitary, hazardous or dangerous to employees and who has authorization to take prompt corrective measures to eliminate them.

Note: By way of training or experience, a competent person is knowledgeable of applicable standards, is capable of identifying workplace hazards relating to the specific operation and has the authority to correct them. Some standards add additional specific requirements which must be met by the competent person: Asbestos [29 CFR 1926.1101(b)], Confined Spaces, Construction [29 CFR 1926.1202], Construction Industry [29 CFR 1926.32(f)], Cranes and Derricks [29 CFR 1926.1401], Excavations and Trenching [29 CFR 1926.650(b)], Fall Protection [29 CFR 1910.140(b)], Gear Certification, Vessel [29 CFR 1919.2(g) and 1919.37], Powered Platforms, Building Maintenance [29 CFR 1910.66(d)], Scaffolds [29 CFR 1926.450(b)], Shipyards [29 CFR 1915.4(o) and 1915.7] and Steel Erection [29 CFR 1926.751].

40. Component. Is the smallest, most specific part, assembly or system that can be identified as failed item.

41. 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 safety 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 SIBs, SIOs, SIREP endorsers' and command safety 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.

Note: JNAV MAR 5102/2 is used for this purpose. Use JNAV MAR 5102/1 when a promise of confidentiality is not needed or required.

42. Confined Space. A space that: (1) Is large enough and so configured that an employee can bodily enter and perform assigned work; and (2) has limited or restricted means for entry or exit (for example, tanks, vessels, silos, storage bins, hoppers, vaults and pits are spaces that may have limited means of entry.); and (3) is not designed for continuous employee occupancy.

43. Consequence. A result or effect of an action or condition.

44. Contractor-Caused Mishaps. Injuries, work-related illnesses of DoD personnel or damage caused by contractor operations. The parent command of affected DoD personnel must report these mishaps. Mishaps involving civilian contractor personnel caused by contractor operations must be referred to COMNAVSAFECEN or CMC (SD) for guidance.

45. Control. An Action taken to eliminate or mitigate hazards or to reduce risk of death, injury, illness or loss of resources or mission capability.

46. Controlled Unclassified Information (CUI). Unclassified information that requires safeguarding or dissemination controls, pursuant to and consistent with applicable law, regulations and Government-wide policies. Use of “CUI” has replaced use of both legacy terms “FOR OFFICIAL USE ONLY” and “FOUO.” Additional guidance on CUI is available in DoDI 5200.48 of 6 March 2020.

47. Controlling Command. Navy echelon 2 commands and fleet type commands and Marine Corps major commands that provide oversight of subordinate units and enforcement of the policies, procedures and requirements of this manual for safety investigation and safety reporting. See chapter 1 for a list of the Navy and Marine Corps controlling commands.

48. Controlling Custodian. See “Controlling Command.”

49. Convening Authority (CA). (Formerly “Appointing Authority”). The organization who has the authority to appoint a safety investigation board (SIB) or single investigating officer (SIO) to conduct a safety investigation.

50. Cook Off. The accidental firing of ammunition or detonation of an explosive, due to excessive heat.

51. Days Away, Restricted and Transfer (DART) Incidence Rate. Sum of the total number of all recordable injuries and illnesses resulting in days away from work, restricted work activity or job transfer for a particular calendar year; multiplied by 200,000; then, divided by the total number of hours worked by all employees during that same calendar year. See also “Total Case Incidence Rate (TCIR).”

Note: The 200,000 figure in the formula represents the number of hours 100 employees working 40 hours per week, 50 weeks per year would work and provides the standard base for calculating incidence rates.

52. Decontamination. The process of making any person, object or area safe by destroying, neutralizing, making harmless or absorbing and removing chemical or biological agents or by removing radioactive material clinging to or around it.

53. Deficiency. A characteristic or condition that fails to meet a standard or is not in compliance with a requirement, specification, instruction or manual.

54. Defined Naval Aircraft. See OPNAVINST 3750.6S for the definition.

55. Deliberative Process. The investigator's analysis of the information gathered during a safety investigation, which leads to the development of subjective conclusions, causes and recommendations.

56. 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 caused by “friendly fire” is considered a mishap.

57. Diving Mishap. Injury, recompression therapy or death resulting from an event occurring while breathing compressed gases (e.g., air, Heliox or oxygen) before, during or after entering or leaving the water.

58. DoD Contractor. A non-Federal employer performing under a DoD contract, whether as prime contractor or subcontractor.

59. DoD Human Factors Analysis and Classification System (DoD HFACS). The standardized taxonomy used throughout DoD for safety investigations to satisfy the requirement to collect, maintain, analyze and report human error, human factors and human performance data. DoD HFACS draws upon Reason’s (1990) and Wiegmann and Shappell’s (2003) concept of active and latent failures. DoD HFACS categorizes these data into four main tiers: (1) organizational influences, (2) supervision, (3) preconditions and (4) acts. Use of DoD HFACS fulfills the requirement of DoDI 6055.07 of 6 June 2011. Its use is mandatory.

60. DoD Law Enforcement Component. Defense Criminal Investigative Service, Army Central Investigative Division, Air Force Office of Special Investigations (i.e., for both U.S. Air Force and U.S. Space Force), Naval Criminal Investigative Service, Marine Corps Central Investigative Division, Coast Guard Investigative Service (includes the latter, although not part of DoD) or similar organizations whose primary mission is identification and prosecution of criminal offenders.

61. DoD Mishap. An unplanned event or series of events, that results in damage to DoD property; occupational (i.e., work-related) 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.

62. DoD Personnel.

a. **DoD Civilian Personnel.** 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. **Military Personnel.** All DoD military personnel, including members of the Army, Marine Corps, Navy and Air Force Reserves, the Army National Guard of the United States and Air National Guard of the United States, on active duty or inactive duty for training under the provisions of Title 10, U.S.C. or Title 32, U.S.C.; cadets of the United States Military Academy; midshipmen of the United States Naval Academy; cadets of the United States Air Force Academy; midshipmen of the U.S. Merchant Marine Academy when engaged in directed training activities with a DoD component; Reserve Officer Training Corps (ROTC) cadets or midshipmen when engaged in directed training activities; Officer Candidate School students when engaged in directed training activities; and foreign national military personnel assigned to DoD components.

63. **DoD Vessel.** A vessel that is either owned, bareboat chartered or operated by a DoD Component using appropriated funds, except when that vessel is engaged in commerce.

64. **Echelon.** A subdivision of a military or naval force numbered from highest to lowest in ascending numerical order (e.g., echelon 1 is higher than echelon 2).

65. **Electric Shock.** The passage of direct or alternating electrical current through the body or a body part.

66. **Electronic Cigarette.** A battery-operated device that is typically designed to resemble a traditional cigarette and is used to inhale a usually nicotine-containing vapor. Also, referred to as an e-cigarette, personal vaporizer or electronic nicotine delivery system.

Note: Electronic cigarettes contain a liquid solution typically consisting of nicotine, various chemical substances (such as propylene glycol or glycerol) and often flavoring. The solution is heated by the battery producing the aerosol or vapor inhaled by the user.

67. **Event.** A broad term used to describe an occurrence or series of occurrences. For DON safety reporting purposes, an event can be a mishap, hazard (including near miss) or an incident.

68. **Exigent Circumstances.** Specific event where it is clearly evident that rapid intervention to prevent the immediate loss of life or property is required.

69. **Explosion.** A violent chemical reaction within a chemical compound or mixture or mechanical mixture evolving heat and pressure. An explosion is a reaction that proceeds through

the reacted material toward the unreacted material at sonic velocity (by a shock wave process). The result of the chemical reaction is exertion of high pressure on the surrounding medium, forming a propagating shock wave. Ignition and rapid reaction of the confined energetic material builds up high local pressures leading to violent pressure rupturing of the confining structure. Metal cases are fragmented (brittle fracture) into large pieces that are often thrown long distances. Unreacted or burning energetic material is also thrown about. Fire and smoke hazards will exist. Air shocks are produced that can cause damage to nearby structures. The blast and high velocity fragments can cause minor ground craters and damage (e.g., breakup, tearing, gouging) to adjacent metal plates. Blast pressures are lower than for a detonation.

70. 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). Explosive events will be reported in an explosive event report (EER) per OPNAVINST 8000.16E, 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, C, D or E mishaps.

a. Detonation, Deflagration, Burning or Firing. An unintentional or inadvertent initiation, explosion or reaction of explosive material, component or system.

Example: Negligent discharges of all guns, including small arms (this includes discharge of a weapon inside government quarters or negligent discharges and ricochets during training on ranges), aircrew escape propulsion systems, marine location markers, flares, etc).

b. Inadvertent Launch. An unintentional launch of a weapon.

c. Propellant and Oxidizers. Leaking or spilled propellants (both solid and liquid), propellant fuels and oxidizers (less Otto fuel II).

71. Explosive Material. Any chemical material with hazard producing characteristics that is loaded into ammunition or ammunition components. This includes (but is not limited to) explosives, propellants, white phosphorous, incendiary mixtures, pyrotechnic mixtures, tracer mix, toxic materials and riot control agents.

72. Explosive System. A weapon, device or tool using explosive material.

73. Explosives Mishap. A mishap or 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). Events defined as

explosive mishaps and meeting a severity classification of Class A, B, C, or D will be reported as a weapons mishap via the Risk Management Information program of record, even if an ordnance system works as designed and human error contributed to the event. Any explosive event not meeting one of these severity classifications will be reported as an EER per OPNAVINST 8000.16E.

a. **Detonation, Deflagration, Burning or Firing.** It is an unintentional or inadvertent initiation, explosion or reaction of explosive material, component or system.

Example: Negligent discharges of all guns, including small arms (this includes discharge of a weapon inside government quarters or negligent discharges and ricochets during training on ranges), aircrew escape propulsion systems, marine location markers, flares, etc.).

b. **Inadvertent Launch.** An unintentional launch of a weapon.

c. **Propellant and Oxidizers.** Leaking or spilled propellants (both solid and liquid), propellant fuels and oxidizers (less Otto fuel II).

d. **All Ordnance Impacting Off-Range.** This includes all small arm ranges where ricochets cause bullets to impact outside surface danger zones.

74. **Factor.** Any deviation, out-of-the-ordinary or deficient action or condition discovered in the course of a safety investigation, which in the opinion of the SIB or SIO, contributed to the eventual outcome. Determining mishap factors (and eliminating non-factors) enables safety investigators to focus the investigation to those specific areas that are significant in the mishap.

Note: RMI has three options in the drop down menus: “Causal factors,” “factors (non-causal but contributing)” and “non-factors worthy of discussion. There is a fourth type of factor, the “non-factor,” but the non-factor is not available in the drop down and, instead would be listed in the narrative.

75. **Factors (Non-Causal But Contributing).** Factors which were present but not necessarily causal.

76. **Fatality.** A death resulting from a mishap or work-related injury or illness.

Note: A fatality includes a mishap or complications of a mishap that resulted in a death.

77. **Findings.** The conclusions of the safety investigator. They are statements, in chronological order, of each significant event, condition or data point sustaining the sequence leading to the event. Findings establish lines of evidence.

78. **Fire, Reportable.**

a. Any unintentional fire occurring on any naval installation (i.e., includes shipyards and industrial operations), ship, submarine or aircraft (to include a small fire in which no personnel were injured and the material property damage was limited to the originally ignited materiel and not propagated to other materials). Fire is an unintended state, process or instance of combustion in which fuel or other material is ignited and combined with oxygen, giving off smoke, sparks or flame. Smoke or sparks may or may not be present. However, if unexpected smoke or sparks exist, a fire should be assumed to exist (this is especially relevant to Class “C” fires when the smoke or sparks cease after power is secured). Evidence of previously unreported combustion or explosion must also be reported upon discovery. Reports solely based on acrid odor (no evidence of combustion upon inspection) are not required.

b. Materiel damage of mechanical and structural systems that meet mishap dollar cost thresholds. Dollar cost thresholds for reporting based on replacement or repair costs that are caused solely by an overheat condition (e.g., materiel warping, discoloration, etc.) must be reported as a mishap due to materiel failure. Overheat conditions are where materiel destruction is solely due to high temperature and there is no evidence of self-sustained combustion. Electrical or electronic overheat conditions where there is evidence of combustion must be reported as a fire.

79. First Aid. 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.

80. Formal Training. Training conducted in a classroom, virtual classroom, laboratory or field exercise that has been developed and documented in a formal training plan or curricula.

81. 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.

82. Freedom of Information Act (FOIA) Request. 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. FOIA requests cannot be made by any part of the United States Government, including the Federal courts.

83. Friendly Fire. A circumstance in which authorized members of U.S. or friendly military forces, U.S. or friendly official government employees, U.S. DoD or friendly nation contractor personnel and nongovernmental organizations or private volunteer organizations, who, while accompanying or operating with the U.S. Armed Forces, are mistakenly or accidentally killed or wounded in action by U.S. or friendly forces actively engaged with an enemy or who are directing fire at a hostile force or what is thought to be a hostile force. This also includes incidents that result in only damage or destruction of U.S. or friendly nation's military property mistakenly or accidentally damaged in action by U.S. or friendly forces actively engaged with an enemy or who are directing fire at a hostile force or what is thought to be a hostile force.

84. Fume. Very small particles (1 micrometer or less) formed by the condensation of volatilized solids, usually metals. Examples of processes that generate fumes are zinc socket pouring and welding. See also “Gas,” “Mist and Fog,” “Smoke” and “Vapor.”

85. Gas. A material that under normal conditions of temperature and pressure (20 degrees Celsius and 760 millimeters of Mercury (mmHg), respectively) tends to occupy an enclosed space uniformly. See also “Fume,” “Mist and Fog,” “Smoke” and “Vapor.”

86. Government Motor Vehicle (GMV). A motor vehicle that is owned, leased (includes General Services Administration vehicle under the control of a Navy activity) or rented by the government (includes a vehicle rented by government personnel when authorized on their official travel orders) primarily designed for over-the-road operations; and whose general purpose is the transportation of cargo or personnel. Examples of GMVs are: passenger cars, station wagons, vans, ambulances, buses, motorcycles, trucks and tractor-trailers. A trailer being towed by a GMV is considered part of the vehicle. Included in this definition are government-owned wheeled tactical and combat vehicles. 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.

87. Government Vehicle Other (GVO). A motor vehicle that is owned, leased (includes General Services Administration vehicle under the control of a Navy activity) or rented by the government (includes a vehicle rented by government personnel when authorized on their official travel orders) primarily designed for off-the-highway operation, such as construction-tracked vehicles, forklifts, road graders, agricultural-type wheeled tractors, all-terrain vehicles, utility terrain vehicles, dune buggies, off-road motorcycles, golf carts, snowmobiles and aircraft tugs. Includes military combat and tactical vehicles (e.g., tanks, self-propelled weapons, armored personnel carriers, amphibious vehicles ashore and high-mobility multipurpose wheeled vehicles (HMMWV)).

88. Government Vehicle Mishap. A mishap involving a GMV or GVO being operated as such, which results in death, injury or property damage.

89. Ground Mishap. A DoD mishap that occurs on land, involves DoD activities and results in work-related illness to DoD personnel, injury to DoD military personnel on- or off-duty, injury to on-duty civilian personnel or DoD-supervised contractor employees, damage to DoD property and damage to private property or injury or illness to non-DoD personnel caused by DoD activities, but does not involve damages to DoD aircraft, missiles, explosives, chemical agents, motor vehicles, space systems and support equipment or nuclear weapons or reactors. Ground mishaps fall into one of the following mishap subcategories: Industrial and Occupation, Sports, Recreation and Fitness, Combat Support and Training and Miscellaneous.

90. Hazard. Any real or potential condition that can cause injury, illness or death to personnel or damage to or loss of equipment or property or mission degradation. Hazards are divided into two categories:

a. An act or event (i.e., near miss) that may have resulted in a mishap where the fatality, injury, illness, property damage or loss of an asset was avoided merely by chance, the actions of an individual or individuals, a small measure of distance or a few moments in time.

b. A workplace condition that might result in injury, health impairment, illness, disease or fatality to any person who is exposed to the condition or which might result in damage to or loss of property or equipment.

Note: Safety investigators use the term to explain causes of mishaps. Hazards are detected through safety investigations, inspections, industrial hygiene surveys, observations, safety program evaluations or from other activity reports.

91. Hazard Report (HAZREP). A report of a hazardous condition or near-miss that occurred.

92. Hazard Reporting. The process of reporting a real or potentially hazardous event (i.e., near miss) or workplace condition that could cause injury, illness or death to personnel or damage to or loss of equipment or property or mission degradation to the Naval Enterprise. Hazard reporting is a subset of safety reporting. See paragraph 417 for more detailed information on hazard reporting.

93. Hazard Review Board (HRB). An entity established to evaluate hazards that exist within the operating environment of a command and its subordinate commands, to better understand the risks associated with those hazards, determine whether stronger risk controls are needed and keep the commander informed of those risks. HRBs are required at the controlling command level and are encouraged at lower levels of command. See chapter 7 for details.

94. 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 a fatality or loss of a facility.

b. Category II - Critical: may cause severe injury, severe occupational (i.e., work-related) illness or major materiel or property damage.

c. Category III - Marginal: may cause minor injury, minor occupational (i.e., work-related) illness or minor materiel or property damage.

d. Category IV - Negligible: probably would not affect personnel safety or health, but is nevertheless in violation of specific criteria.

95. Health Care Provider. A physician, family nurse practitioner, pharmacist, physician assistant, nurse, independent duty corpsman or other licensed or non-licensed health care professional.

96. Heat Strain. The body's physiological response to heat stress (e.g., sweating).

Note: The body's natural way to keep the core body temperature from rising to unhealthy levels is through an increase in heart rate and sweating. When these are not enough to keep the core body temperature from rising, the result is heat-related illness or death. Elevated core body temperatures may cause the following illnesses (listed from most severe to least severe): Heat stroke, heat exhaustion (i.e., includes both salt-depletion and water-deficient heat exhaustion), heat cramps, heat syncope (i.e., fainting), heat rash (i.e., miliaria rubra), “hot water bottle rash” (i.e., erythema ab igne) and exertional hyperthermia (i.e., rhabdomyolysis). The OSHA classifies heat stress as a heat-related illness; whereas, the Navy and Marine Corps Public Health Center classifies it as an injury. For safety reporting purposes, it is an illness. See NMCPHC TM-6260.6A (June 2007), “Prevention and Treatment of Heat and Cold Stress Injuries” for more information. Availability of this document is provided in the Safety Reporting Resources section.

97. Heat Stress. The net heat load to which a worker is exposed.

Note: Physical exertion, environmental factors and clothing worn all contribute to heat stress. The OSHA classifies heat stress as a heat-related illness; whereas, the Navy and Marine Corps Public Health Center classifies it as an injury. For safety reporting purposes, it is an illness. See NMCPHC TM-6260.6A (June 2007), “Prevention and Treatment of Heat and Cold Stress Injuries” for more information. Availability of this document is provided in the Safety Reporting Resources section.

98. 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 MCO 1553.2D.

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 or students to moderate risk assessment code 3 (RAC 3), serious (RAC 2) or critical (RAC 1) risks as defined in OPNAVINST 1500.75D or as designated by higher authority. Some examples of high-risk training are aviation, parachute, water survival, self-contained underwater breathing apparatus (“SCUBA,” for USMC “scuba”), underwater breathing device (UBD), rescue swimmer, blaster, diver, EOD, live combat arms, firefighting, mountaineering, helicopter rope suspension, confidence and Tarzan courses and sea-air-land training.

99. Hospitalization. The admission of personnel to a hospital or shipboard medical facility on an in-patient basis.

100. Human Error. Human performance that deviated from that required by the operational standards or situation.

101. Human Factors. Human, machine or environmental interactions in a sequence of events that were influenced by or the lack of human activity, which resulted or could result in a mishap.

102. Human Factors Analysis and Classification System (HFACS). See “DoD HFACS.”

103. Illness or Disease. A non-traumatic physiological harm or loss of capacity produced by systemic; continued or repeated stress or strain; exposure to hazardous noise, 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 (i.e., work-related) illness or disease are any reported condition that does not meet the definition of injury. Illness includes both acute (i.e., extremely severe, short-term and dangerous) and chronic illnesses (i.e., present over a long period of time, recurring, cumulative effects or habitual), such as, but not limited to, noise-induced hearing loss, a skin disease or disorder, respiratory conditions or poisoning. Illnesses include:

a. Skin Diseases or Disorders. Illnesses involving a worker’s skin that are caused by work exposure to chemicals, plants or other substances. Examples: Contact dermatitis, eczema or rash caused by primary irritants and sensitizers or poisonous plants; oil acne; friction blisters, chrome ulcers; and inflammation of the skin.

b. Respiratory Conditions. Illnesses associated with breathing hazardous biological agents, chemicals, dust, gases, vapors or fumes at work. Examples: Silicosis, asbestosis, pneumonitis, pharyngitis, rhinitis or acute congestion; farmer’s lung, beryllium disease, tuberculosis, occupational (i.e., work-related) asthma, RADS, chronic obstructive pulmonary disease (COPD), hypersensitivity pneumonitis, toxic inhalation injury, such as metal fume fever, chronic obstructive bronchitis and other pneumoconioses.

c. **Poisoning.** Disorders evidenced by abnormal concentrations of toxic substances in blood, other tissues, other bodily fluids or the breath that are caused by the ingestion or absorption of toxic substances into the body. Examples: Poisoning by lead, mercury, cadmium, arsenic or other metals; chemical asphyxiation by carbon monoxide, hydrogen sulfide or other gases; poisoning by benzene, benzol, carbon tetrachloride or other organic solvents; poisoning by insecticide sprays, such as parathion or lead arsenate; and poisoning by other chemicals, such as formaldehyde.

d. **Noise-Induced Hearing Loss.** A change in hearing threshold relative to the baseline audiogram of an average of 10 decibels (dB) or more in either ear at 2000, 3000 and 4000 hertz (Hz) and the employee's total hearing level is 25 dB or more above audiometric zero (also averaged at 2000, 3000 and 4000 Hz) in the same ear(s).

Note: Hearing losses from either a punctured eardrum or an acoustic trauma from a one-time blast or over-pressure are injuries, not illnesses.

e. **All Other Occupational Illnesses.** All other occupational (i.e., work-related) illnesses. Examples: Heatstroke, sunstroke, heat exhaustion, heat stress and other effects of environmental heat; freezing, frostbite and other effects of exposure to low temperatures; decompression sickness; effects of ionizing radiation (e.g., isotopes, x-rays, radium); effects of nonionizing radiation (e.g., welding flash, ultraviolet rays, lasers); anthrax; bloodborne pathogenic diseases, such as acquired immune deficiency syndrome (AIDS), human immunodeficiency virus (HIV), hepatitis B or C; brucellosis; malignant or benign tumors; histoplasmosis; and coccidioidomycosis.

104. **In Service.** (Afloat only). Nuclear powered ships are assigned an active status of "in-service" approximately two to four weeks (two to four months for nuclear powered aircraft carriers) prior to the commencement of Sea Trials and maintain this status until commissioning. See also "Active Status" and "In Commission."

105. **Incidence Rate.** The number of recordable injuries and illnesses occurring among a given number of full-time workers (usually 100 full-time workers) over a given period of time (usually one year).

106. **Incident.** A planned or unplanned occurrence or series of occurrences resulting in injury or damage that does not meet mishap reporting criteria or is exempt from safety reporting.

107. **In Commission.** (Afloat only). Naval ships employed in active fleet assignments. When used alone, this term must be identified with "active status" only. See also "Active Status."

108. **Injury.** A traumatic wound or other condition of the body caused by external force or deprivation (e.g., fractures, lacerations, sprains, dislocations, concussions, compressions,

drowning, suffocation, simple asphyxiation, punctured eardrum and acoustic trauma from a one-time blast or over-pressure), including stress or strain, which results from an unplanned event. The injury is identifiable as to the time and place of occurrence and member or function of the body affected and is caused by a specific event or series of events in a single day or work shift.

109. Installation. Navy and Marine Corps bases, stations, centers, depots, facilities or other organizational properties owned by DON.

110. Jettison. Removal of goods, fuel or equipment from a ship or aircraft to make it lighter.

111. Joint Service Mishap. A single mishap involving two or more Services in which one or more Services experiences reportable injuries or damages.

112. Laser. An acronym for light amplification by stimulated emission of radiation. Any device that can be made to produce or amplify electromagnetic radiation in the X-ray, ultraviolet, visible and infrared or other portions of the spectrum by the process of stimulated emission of photons.

113. Laser Surface Danger Zone (LSDZ). The target area in addition to horizontal and vertical buffer zones. It reflects the minimum land and air requirement, to include terrain mitigation, needed to safely employ a given laser. The LSDZ accounts for direct hazards (i.e., main beam) and indirect hazards (i.e., reflections). The boundaries of the LSDZ depend on which of the two overlapping zones, direct or indirect, are larger. If there are no specular reflectors on the range and the laser does not present a diffuse reflection hazard, there will not be an indirect hazard zone. LSDZs must accommodate stationary firing points (i.e., fixed positions) as well as mobile firing positions, in addition to fixed and moving targets. See also “Surface Danger Zone” for ground-to-ground employment of ground weapons firing or demolition.

114. Life Sciences Material. For purposes of safety investigations, any evidence related to a branch or sub-discipline of biological science that involves the study of human life.

Note: Examples of life sciences relevant to safety investigations include, but are not limited to the following: Genetics (i.e., genes and heredity), bioinformatics (i.e., storing, retrieving organizing and analyzing biological data), microbiology (e.g., bacteria and viruses), toxicology (i.e., effects of chemicals on the body) and necropsy (i.e., autopsy to determine cause of death or the changes produced by disease).

115. Light Duty. A duty status recommended after treatment of an injury that stipulates exactly the limitations on a military member during the recommended period, equivalent to placing a civilian in a restricted work status. When an injury or work-related 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. Applicable only to military personnel. The civilian equivalent of light duty is restricted work activity or job transfer.

116. 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 may be reassigned from their permanent duty station to a temporary duty station until the medical issue is resolved. Applicable only to military personnel. The civilian equivalent of limited duty is restricted work activity or job transfer.

117. 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 or disease that causes any loss of time from work.

Note: When determining if a mishap is a Lost-Time Case, you must count the number of calendar days the employee was unable to work as a result of the injury or illness, regardless of whether the person was scheduled to work on those days. Weekend days, holidays, vacation days or other days off are included in the total number of calendar days, if the employee would not have been able to work on those days. If the employee is out for an extended period of time, use an estimate of the days that the employee will be away and update the day count when the actual number of days is known. You may "cap" the total days away at 180 calendar days. Also, include the number of calendar days away recommended by a physician or other licensed health care professional. However, the days away must be recorded whether the injured or ill employee follows a physician or licensed health care professional's recommendation or not. End the count of days away from work on the date the physician or other licensed health care professional recommends that the employee return to work.

118. Lost Time Case Rate (LTCR). The number of Lost Time Cases multiplied by 100, then divided by the number of employees. See also "Total Case Rate (TCR)."

119. 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 a reportable injury or illness as recommended by a physician or licensed health care professional, 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 of sick in quarters, inpatient hospitalization, convalescent leave and command-directed removal from duties as a result of a reportable injury or illness.

b. Navy and Marine Corps reserve personnel, in a not physically qualified (NPQ) status sustained as a result of a reportable 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.

Note: When determining lost workdays or days away from work, you must count the number of calendar days the employee was unable to work as a result of the injury or illness, regardless of whether the person was scheduled to work on those days. Weekend days, holidays, vacation days or other days off are included in the total number of calendar days, if the employee would not have been able to work on those days. If the employee is out for an extended period of time, use an estimate of the days that the employee will be away and update the day count when the actual number of days is known. You may "cap" the total days away at 180 calendar days. Also, include the number of calendar days away recommended by a physician or other licensed health care professional. However, the days away must be recorded whether the injured or ill employee follows a physician or licensed health care professional's recommendation or not. End the count of days away from work on the date the physician or other licensed health care professional recommends that the employee return to work.

120. Marine Corps and Navy Combat Craft. A Navy or Marine Corps public vessel craft that is operated by Navy or 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.

121. Materiel. All items necessary to equip, operate, maintain and support military activities without distinction as to its application for administrative or combat purposes.

122. Medical Attention. An injury or exposure requiring treatment by a physician or other licensed health care professional or independent duty corpsman and requiring a medical record entry.

123. Medical Evacuees. Personnel who are wounded, injured or ill and must be moved to or between medical facilities.

124. Medical Treatment. The management and care of a patient to combat disease or disorder. For the purposes of this manual, medical treatment does not include:

a. Visits to a physician, other licensed health care professional or an IDC solely for observation or counseling;

b. The conduct of diagnostic procedures, such as X-rays and blood tests, including the administration of prescription medications used solely for diagnostic purposes (e.g., eye drops to dilate pupils); or

c. “First aid” as defined in this glossary. Medical treatment does not include first aid treatment even though provided by a physician or other licensed health care professional. See “First Aid.”

125. Memorandum of Final Evaluation (MOFE) Message. The final endorser’s independent final evaluation and position on causes, findings, recommendations and DoD Human Factors Analysis and Classification System codes. It is published in the RMI along with other messages related to the mishap and does not replace the investigation’s final message or final supplemental message. The investigation’s final message (or final supplemental message) and all tabs remain available in the RMI database as part of the official record. The acronym “MOFE” and the term “final endorsement” may be used interchangeably.

126. Military Animal. An animal owned by the Department of Defense for use in support of military operations. Considered as materiel. Examples include military working dogs, horses, bottlenose dolphins and sea lions. It does not include service animals used for medical-related activities.

127. Military Personnel. Personnel on active duty, active duty for training or inactive duty for training in the U.S. Army, U.S. Marine Corps, U.S. Navy, U.S. Air Force, U.S. Space Force and U.S. Coast Guard; personnel on active duty, active duty for training or inactive duty for training in the National Guard of the United States under the provisions of either Title 10, U.S. Code (i.e., Federally funded, command and control with the President of the United States through combatant commanders) or Title 32, U.S. Code (i.e., Federally funded, command and control with the State Governor through the Adjutant General); personnel on active duty in a Naval Militia under the provisions of Title 10, U.S. Code; cadets of the U.S. Military Academy; midshipmen of the U.S. Naval Academy; cadets of the U.S. Air Force Academy; cadets of the U.S. Coast Guard Academy; midshipmen of the U.S. Merchant Marine Academy when engaged in directed training activities with a DoD component or the U.S. Coast Guard; Reserve Officer Training Corps (ROTC) cadets or midshipmen when engaged in directed training activities; officer accession program students when engaged in directed training activities; and foreign national military personnel assigned to a DoD component or the U.S. Coast Guard.

Note: Excluded are personnel on State active duty in the National Guard of the United States or in the Naval Militia.

128. Mishap. An unplanned or unexpected event or series of events, that results in damage to DoD property; work-related illness to DoD personnel; injury to on- or off-duty DoD military personnel; injury to on-duty DoD civilian personnel; or damage to non-DoD property or injury or illness to non-DoD personnel, caused by DoD activities. For purposes of DON safety reporting, events that meet the above criteria must also meet the minimum damage and injury or illness thresholds of a Class D mishap to be considered a mishap.

Note: If a mishap occurs and that same mishap involves either on-duty civilian personnel and off-duty military personnel or on- and off-duty military personnel, then that mishap will be categorized as being on-duty.

129. Mishap Categories. DoD mishaps are divided into the following categories: Aviation, weapons, space, motor vehicles, ground and afloat.

130. Mishap Causes. Conditions or events that explain why a mishap occurred. 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.

131. Mishap Costs. Includes the cost of all fatalities, injuries, illnesses, DoD property damage, non-DoD damage, compensation for damage or loss and restitution.

132. 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 must be assigned an English alphabet symbol according to the criteria in subparagraphs 132a through 132d:

a. Category 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. 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 at some time to an individual item or person or several times to a fleet, inventory or group.

d. Category D. Unlikely to occur.

133. Mishap Reporting. The process of reporting events that meet the definition and criteria of a mishap after an investigation by an SIO or an SIB. Mishap reporting is a subset of safety reporting. See chapters 2 and 4 for more detailed information on mishap reporting.

134. Mishap Safety Information. All mishap-related facts, witness statements, evidence, findings, analyses, conclusions, opinions, briefings, recommendations or endorsements; regardless if privileged, non-privileged, classified or unclassified. See also “Privileged Safety Information (PSI).”

135. Mishap Victim (MV). Someone or something that has been hurt, damaged or killed or has suffered, either because of the actions of someone or something else or because of illness or chance.

136. Mission Data Recorder (MDR). A combatant vessel tactical data recording and reconstruction system that supports post-event data analysis (i.e., a “black box”). See also “Voyage Data Recorder (VDR)” for commercial and non-combatant public vessels.

137. Mist and Fog. Finely divided liquid droplets suspended in air and generated by condensation or atomization. A fog is a mist of sufficient concentration to obscure vision. Examples of materials and processes that produce mists: Acid sprays used in metal treatment (e.g., electroplating) organic solvent sprays and spray painting. See also “Fume,” “Gas,” “Smoke” and “Vapor.”

138. Mitigate. To reduce the risk from a hazard.

139. Moored. Secured alongside a pier, wharf, quay or causeway; to a mooring buoy; or at anchor.

140. Motor Vehicle Mishap. A DoD mishap involving the operation of a motor vehicle by DoD personnel or the operation of a government-owned, -rented or -leased motorized land vehicle by non-DoD personnel while operationally controlled by a DoD Component. Motor vehicle mishaps include collisions with other vehicles, objects, terrain features, animals or pedestrians; personal injury or property damage due to cargo shifting in a moving vehicle; personal injury occurring within or by falling or jumping from a moving vehicle; and towing or pushing mishaps. Motor vehicle mishaps do not include ground and industrial mishaps, such as injuries occurring while loading, unloading, mounting or dismounting a nonmoving vehicle; cargo damaged by weather; damage to a parked GMV unless caused by an operating GMV; damage to a GMV caused by objects thrown or propelled into it by weather, natural phenomena or fire when no collision occurred; or damage to a GMV when it is being handled as a commodity or cargo and not operating under its own power.

141. Musculoskeletal Disorders. Injuries or disorders of the muscles, nerves, tendons, joints, cartilage and disorders of the nerves, tendons, muscles and supporting structures of the upper and lower limbs, neck and lower back that are caused, precipitated or exacerbated by sudden exertion or prolonged exposure to physical factors such as repetition, force, vibration or awkward posture. This definition specifically excludes those conditions such as fractures, contusions, abrasions and lacerations resulting from sudden physical contact of the body with external objects.

142. Naval Vessel Register. Contains information on ships and service craft that comprise the official inventory of the U.S. Navy from the time of vessel authorization through its life cycle and disposal. It also includes ships that have been stricken, but not disposed. Ships and service

craft disposed of prior to 1987 are currently not included; however, the data is gradually being added along with other updates. Available online at Web site: <https://www.nvr.navy.mil/>. See also “Active Status,” “In Service,” “Out of Commission, Special,” “Pre-commissioning Unit (PCU)” and “Ready Reserve Force (RRF).”

143. Near Mishap. See “Near Miss.”

144. Near Miss. An act or event that may have resulted in a mishap where the fatality, injury, illness, property damage or loss of asset was avoided merely by chance, the actions of a single person, a small measure of distance or a few moments in time. See also “Class H Event” and “Near Mishap.”

145. Negligent Discharge, Weapon. Unintentional firing of a weapon for any reason, including mechanical failure, equipment malfunction or human error. This is classified as a weapons mishap.

Note: Detonation of a grenade from “milking” is a negligent discharge of a weapon.

146. No Lost-Time Case. A non-fatal injury, illness or disease that does not meet the definition of a day away from work case or is considered a first aid case. Such cases may be recordable if they meet the criteria in chapter 4.

147. Non-Causal Primary Finding. A single event, condition or data point which is important in the mishap or hazard and is associated with a non-causal but contributory factor.

148. Non-Factors. A list of those areas and items the SIB (or SIO) considered, but determined not to be a factor in the mishap and not worthy of additional discussion. In the RMI, non-factors are listed at the bottom of the narrative. It is not an all-encompassing list; but rather, a list of areas and items that the SIB (or SIO) investigated and ruled out. Similar to the outdated term rejected causal factors, but without the need for justification.

149. Non-Factors Worthy of Discussion (NFWOD). Non-factors discovered during the course of a safety investigation and found not to be causal or contributory, but that have sufficient value to be stated and amplified. NFWODs are the source of other findings and recommendations of significance.

Example: Implementation of flight data recorders, not causal or contributory, but important for the organization’s safety posture. NFWODs typically falling into one of three categories:

a. Areas covered during the safety investigation that did not cause the mishap or influence the outcome, but should be fixed due to the potential to be a factor in a future mishap (e.g., incorrect information in a maintenance manual);

b. Areas that were thoroughly investigated and subsequently ruled out as factors that have value providing context to the audience on why these areas were not factors; or

c. Areas that may be considered an interest item to the convening authority (e.g., risk management, crew resource management).

150. 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” or “Casualty Type.”

151. 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.

152. Notification. To give notice or to inform. For DON safety reporting purposes, notification means an event has occurred which is expected to meet defined thresholds and that certain individuals, commands or activities must be informed of the event. The method of notification (e.g., telephonic, naval message) and the timeliness of notification will often be prescribed.

153. Observation or Diagnostic Care. Inpatient hospitalization or restriction from assigned work activities for observation or diagnosis provided no treatment or medication is given for the suspected injury or occupational (i.e., work-related) illness and a competent medical authority determines the individual could have returned to his or her normal job without impairment or disability or where an individual is temporarily restricted from regularly assigned duties to prevent exceeding time-weighted exposure limits. This care does not create a “lost-time case,” “no lost-time case” or “first-aid case.”

154. Occupational Illness. Also “Work-Related 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.

Note: Examples include: Dust diseases of the lung; respiratory conditions from toxic agents; noise induced hearing loss; poisoning by lead, mercury or other metals; work-related bloodborne pathogens exposures; cumulative trauma disorders; and work-related tuberculosis.

155. Off-Duty.

a. Military and civilian personnel are considered off-duty when they are not on-duty. Military personnel are considered off-duty while on liberty, on leave or in an unauthorized absentee status.

b. Military and civilian personnel commuting prior to or after their duty day or shift are considered off-duty for safety reporting purposes.

c. Reservists for the purposes of safety reporting, are considered off duty from the time they depart their home or office until they reach their appointed site for inactive duty training (i.e., 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 private motor vehicle (PMV) mishap. Report as an off-duty motor-vehicle mishap.

Example: A reservist completed her drills for Saturday and is scheduled to return the following morning. During the evening, she is involved in a mishap. Report the mishap as required as an off-duty motor-vehicle mishap.

Example: A reservist 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.

d. Military and civilian personnel are off-duty while participating during non-working hours in base or installation team sports and events sponsored by the command in which participation is voluntary.

e. 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.

156. Office of Collateral Responsibility (OCR). The individual or individuals assigned by an action agency to assist the office of primary responsibility (OPR) in completing mishap recommendations (MISREC). Assignment of an OCR is not required. Action agencies may assign multiple OCRs to each MISREC.

157. Office of Primary Responsibility (OPR). The point of contact (POC) of an action agency assigned as the primary contact for a mishap recommendation (MISREC). The OPR is a specifically named individual; however, action agencies have the authority to assign a specific command job billet instead of a name to ensure better continuity for MISREC management. OPRs have the authority to update recommendations and recommend MISREC closure.

158. On-Duty.

- a. Military personnel, when not on liberty, not on leave or not an unauthorized absentee.

Note: The “on-duty” definition is for safety reporting purposes only and bears no relationship to line-of-duty determinations.

- b. Civilian personnel, when their activities are work-related.

Note: The “on-duty” definition is for safety reporting purposes only and bears no relationship to compensation determinations.

- c. Military and civilian personnel physically present at any location to perform their officially assigned work.

- d. Military and civilian personnel physically aboard a public vessel.

Note: Public vessels include any vessel owned, bareboat chartered or operated using appropriated funds by the DoD or any other U.S. Government agency (e.g., includes the U.S. Coast Guard and the National Oceanic and Atmospheric Administration), except when that vessel is engaged in commerce. Included, are pre-commissioned vessels after delivery to a DoD or other U.S. Government agency. Not included, are non-appropriated fund government vessels such as Morale, Welfare and Recreation (MWR) rental boats.

- e. Military and civilian personnel being transported anytime by a government conveyance or common carrier for the purpose of performing officially assigned work. This includes travel in a PMV or commercial conveyance while performing official duty, but not routine travel (i.e., commuting) to and from home and work or duty station. Sailors and Marines aboard a government-leased or chartered water taxi traveling to or from a public vessel are on duty, regardless if that water taxi is paid for with appropriated or non-appropriated funds.

- f. Civilian personnel, while traveling during their workday to or from work sites other than their permanent duty station and not engaged in any personal activities.

- g. Military and civilian personnel in a travel status for official travel (i.e., under a travel authorization or travel order) and not engaged in any personal activities.

Note: Travel status does not include travel taken for personal convenience, leave, civilian administrative leave or a military member’s administrative absence while performing travel away from the permanent duty station on public business under competent travel orders. Also, travel status does not include travel orders for reservists to perform inactive duty training.

h. Military personnel participating in physical training activities while on station or at any other place, while under orders.

i. Midshipmen of the U.S. Naval Academy participating in academy-sanctioned intercollegiate, intramural sports and club activities.

j. Civilian personnel participating in command-sponsored events that they are permitted to attend, regardless of location.

k. Military personnel participating in command-directed events that they are permitted to attend, regardless of location.

l. Reservists at their designated drill sites performing inactive duty training (IDT), annual training (AT), active duty training (ADT) or active duty for operational support (ADOS).

m. Reservists in a travel status (i.e., under a travel authorization or travel order) for performing AT, ADT or ADOS and not engaged in personal activities.

n. Military or civilian personnel on funded temporary additional duty (TAD), funded temporary duty (TDY) or permissive TDY (i.e., unfunded orders) for activities that are work-related and are away from their regular place of employment, are covered 24 hours a day 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 work-related injuries or illnesses.

159. Operational Environment. A composite of the conditions, circumstances and influences that affect the employment of capabilities and bear on the decisions of the commander.

160. Ordnance. Military materiel 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 weapons).

161. OSHA. Occupational Safety and Health Administration, U.S. Department of Labor.

162. Other Finding of Significance. A single event, condition or data point which is important in the mishap or hazard and is associated with a non-factors worthy of discussion (NFWOD).

163. Other Potentially Infectious Material. Means:

- a. The following human bodily fluids: Semen, vaginal secretions, cerebrospinal fluid, synovial fluid, pleural fluid, pericardial fluid, peritoneal fluid, amniotic fluid, saliva in dental procedures, any bodily fluid that is visibly contaminated with blood and all bodily fluids in situations where it is difficult or impossible to differentiate between bodily fluids;
- b. Any unfixed tissue or organ (other than intact skin) from a human (living or dead); and
- c. Human immunodeficiency virus (HIV)-containing cell or tissue cultures or organ cultures and HIV- or hepatitis B virus (HBV)-containing culture medium or other solutions; and blood organs or other tissues from experimental animals infected with HIV or HBV.

164. Other Recommendations of Significance (ORS). A recommendation that addresses a factor or finding that safety investigators believe could contribute to future mishaps or warrant command attention, but were not part of the mishap. They are generated from non-factors worthy of discussion (NFWOD).

165. Out of Commission, Special. (Afloat only). Naval ships not employed in active fleet assignments. A status applied to ships undergoing extensive modernization conversion when so designated by the Chief of Naval Operations.

166. Particulate Matter. Any fine solid or liquid particles such as dust, fog, fumes, mist, smoke or spray. Particulate matter suspended in air is commonly known as an aerosol. See also “Fume,” “Mist or Fog” and “Smoke.”

167. Permanent Partial Disability. An injury or work-related illness that does not result in death or permanent total disability, but, in the opinion of competent medical authority (CMA), results in permanent impairment through loss of the use of any part of the body with the following exceptions: teeth, fingernails, toe nails, tips of fingers or tips of toes without bone involvement, repairable hernia, disfigurement or sprains or strains that do not cause permanent loss of motion.

Note: OSHA’s definition of “Amputation” for civilian personnel includes fingertip amputations with or without bone loss, medical amputations resulting from irreparable damage and amputations of body parts that have since been reattached. For civilian personnel, see also “Amputation.”

168. Permanent Threshold Shift (PTS). An average change of plus or minus 10 decibel (dB) at the frequencies 2000, 3000 and 4000 Hertz relative to the reference audiogram, in either ear, without age corrections and when the hearing thresholds for the current hearing test average 25 dB or greater at 2000, 3000 and 4000 Hertz from audiometric zero for the shifted ear. See also “Significant Threshold Shift (STS).”

169. Permanent Total Disability. A non-fatal injury or work-related 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, must be considered as a permanent total disability.

170. Personally Identifiable Information (PII). Information that can be used to distinguish or trace an individual's identity, either alone or when combined with other information that is linked or linkable to a specific individual such as, but not limited to: name, Social Security Number, DoD ID or other identification number, date and place of birth, mother's maiden name, photograph, biometric records, etc.

171. Physical Training. Development and care of the body using a wide variety of strength building, cardio training, endurance and flexibility activities.

172. Physician or Other Licensed Health Care Professional. A physician or other licensed health care professional is an individual whose legally permitted scope of practice (i.e., license, registration or certification) allows him or her to independently perform or be delegated the responsibility to perform, the activities described by this manual.

Note: For purposes of this manual, an IDC in operational environments without a licensed health care professional present, is considered to meet the criteria of a licensed health care professional.

173. Physiological Heat Exposure Limit (PHEL). A set of curves that compare the wet-bulb globe temperature (WBGT) index and the degree of effort or work rate to determine the maximum permissible exposure (MPE) to the heat stress environment. See also "Wet-Bulb Globe Temperature (WBGT) Index."

174. Pre-Commissioning Unit (PCU). (Afloat only). The nucleus crew of the ship's force which reports at the building yard. See also "Ship's Force."

175. Pre-Existing Injury or Illness. An injury or illness that resulted solely from a non-work-related event or exposure that occurred outside the work environment.

176. Primary Recommendation. A recommendation that fixes causal and non-causal factors.

177. Privacy Concern Case. Cases involving the types of injuries or illnesses stated in subparagraphs 176a through 176f:

- a. An injury or illness to an intimate body part or to the reproductive system;

- b. An injury or illness resulting from a sexual assault;
- c. A mental illness;
- d. A case of HIV infection, hepatitis or tuberculosis;
- e. A needlestick injury or cut from sharp objects that are contaminated with blood or other potentially infectious material; or

Note: “Sharps” refers to medical sharps such as scalpels, blades, disposable scissors, suture equipment, stylets and trocars, broken test tubes and glass.”

- f. Other illnesses, if the employee independently and voluntarily requests that his or her name not be entered on the log of work-related injuries and illnesses.

178. Private Motor Vehicle (PMV). A privately owned motor vehicle primarily designed for the transportation of people or cargo over public streets or highways. A PMV-2 is a two-wheeled private motor vehicle (e.g., motorcycle). A PMV-4 is a four-wheeled private motor vehicle.

179. Privilege. A common law doctrine or statutory rule of evidence that protects certain communications and products from being used as evidence in court or otherwise released.

180. Privileged Safety Information (PSI). Information that is reflective of a deliberative process in the safety investigation or given to a safety investigator pursuant to a promise of confidentiality, which the safety privilege protects from being released outside safety channels or from being used for any purpose except mishap prevention. It includes products such as draft and final findings, evaluations, opinions, preliminary discussions, conclusions, mishap causes, recommendations, analyses and other material that would reveal the deliberations of safety investigators, including reviews and endorsements. It also includes information given to a safety investigator pursuant to a promise of confidentiality and any information derived from that information or direct or indirect references to that information.

Note: Information in a statement given under a promise of confidentiality that is also available in a source that is not privileged, may be releasable, but that determination can only be made by COMNAVSAFECEN.

181. Probability. A measure of the likelihood that given exposure to a hazard, a potential consequence mishap will occur.

182. Property Damage. Damage or loss to a facility, equipment, property or materiel.

Note: The cost of environmental cleanup, restoration and restitution also must be included in property damage costs.

183. Protected Health Information (PHI). Any individually identifiable health information that is maintained or transmitted in any form or medium (e.g., paper, electronic, etc.), as specified in 45 CFR 160.103 and DoD 6025.18.

184. Public Health Authority. An agency or authority of the United States, a State, a territory, a political subdivision of a State or territory or an Indian tribe or a person or entity acting under a grant of authority from or contract with such public agency, including the employees or agents of such public agency or its contractors or persons or entities to whom it has granted authority, that is responsible for public health matters as part of its official mandate.

Note: Examples of public health authorities: Defense Health Agency, Bureau of Medicine and Surgery, COMNAVSAFECEN, CMC (SD), military treatment facilities, fleet surgeons, force surgeons, health care providers, safety investigators, etc.

185. Public Vessel. A vessel owned, bareboat chartered or operated using appropriated funds by the DoD or any other U.S. Government agency (e.g., includes the U.S. Coast Guard and the National Oceanic and Atmospheric Administration), except when that vessel is engaged in commerce. Included, are pre-commissioned vessels after delivery to a DoD or other U.S. Government agency. Not included, are non-appropriated fund government vessels such as MWR rental boats.

186. Qualified Person. One who, by possession of a recognized degree, certificate or professional standing or who by extensive knowledge, training and experience, has successfully demonstrated their ability to solve or resolve problems relating to the subject matter, the work or the project.

Note: Some standards add additional specific requirements which must be met by the qualified person: Confined Spaces, Construction [29 CFR 1926.1202], Construction Industry [29 CFR 1926.32(m)], Cranes and Derricks [29 CFR 1926.1401], Fall Protection [29 CFR 1910.140(b)], Scaffolds [29 CFR 1926.450(b)] and Steel Erection [29 CFR 1926.751].

187. Ready Reserve Force (RRF). (Afloat only). A subset of vessels within MARAD's National Defense Reserve Fleet ready to support the rapid worldwide deployment of U.S. military forces. As a key element of Department of Defense (DoD) strategic sealift, the RRF primarily supports transport of U.S. Army and U.S. Marine Corps unit equipment, combat support equipment and initial resupply during critical surge periods, the period of time before commercial ships can be secured for similar support. The RRF provides nearly 50 percent of government-owned surge sealift capability.

188. Reasonable Person. A standard hypothetical person that acts in a manner society might expect of a normal person under the same or similar circumstances.

189. Recommendations. Feasible and effective solutions to eliminate identified hazards or if the hazard cannot be eliminated, to mitigate the hazard's potential consequences. Actions taken to prevent a similar mishap or to reduce its effects. There are two types of recommendations: Primary recommendations and other recommendations of significance.

190. 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.

191. Recordable Mishap. An occurrence involving a civilian or contractor employee that requires the creation of a record due to a work-related injury or illness that met specified criteria established by the OSHA per part 1904 of Title 29, Code of Federal Regulations (CFR). For the purposes of Navy and Marine Corps safety reporting, the term's use will be limited to events involving Government civilian and contractor work-related injury and illness reporting to the OSHA. Contractors must meet the subpart 1904.31 applicability and be supervised by Government personnel on a day-to-day basis. Day-to-day supervision includes supervising not only the output, product or result to be accomplished by the person's work, but also the details, means, methods and processes by which the work objective is accomplished.

192. Reportable Mishap. An event that meets or exceeds mishap damage thresholds or mishap injury or illness thresholds of civilian, contractor and military personnel and must be investigated and reported.

193. Reporting Custodian. Commanding officers and, in some cases, officers-in-charge (OIC) of detachment operations of Navy and Marine Corps organizations who are responsible for or otherwise provide information about, assigned assets and personnel.

194. Restitution. Restoring something to its former or original state or returning something to its lawful owner due to a mishap. Restitution does not focus on a claimant's losses.

195. Restricted Work Activity 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 or full work shift 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. Restricted work activity or a job transfer made only for the day on which the injury occurred or the illness began is not counted. The military equivalent of restricted work is Light or Limited Duty. See also "Routine Functions"

196. Risk. Chance of adverse outcome or bad consequence, such as injury, illness or loss. Risk level is expressed in terms of hazard probability and severity.

197. Risk Assessment Code (RAC). An expression of the risk associated with a hazard that combines the hazard severity and mishap probability into a single Arabic numeral that is used for hazard assessments and to help determine hazard abatement priorities. See OPNAV M-5100.23 of 5 June 2020, section A, chapter 3.

198. Risk Management Information (RMI) Program of Record (POR). The sole official DON Web-based database application for safety reporting. The shortened acronym RMI is synonymous with the RMI POR.

Note: Navy and Marine Corps personnel must use the RMI to report mishaps, hazards (including near misses) and incidents required by this manual.

199. Routine Functions. For purposes of restricted work, a civilian employee's routine functions are those work activities the employee regularly performs at least once per week. See also "Restricted Work Activity or Job Transfer."

200. Safety Center.

a. Within DoD or Department of Homeland Security: Army Combat Readiness Center, Air Force Safety Center, NAVSAFECEN, CMC (SD) 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.

201. Safety Investigation. A general term that refers to the investigation of mishaps, hazards (including near misses) and incidents by either a single investigating officer (SIO) or a safety investigation board (SIB). The purpose of a safety investigation is to prevent mishaps. A safety investigation is not a legal investigation and must not be used to place blame or punish those involved.

202. Safety Investigation Board (SIB). A group of individuals who have been directed to complete a safety investigation by a convening authority. Individuals are assigned to the SIB because either they are a SME or they have specific expertise necessary to the investigation. Members of an SIB must be designated in writing for each specific safety investigation. One member of the SIB must be designated the senior member.

203. Safety Investigation Report (SIREP). A report generated by and SIB or SIO following a safety investigation into a mishap that provides factual and analytical information about the mishap including findings, causal factors and the recommended corrective actions to prevent similar mishaps or near mishaps.

204. Safety Investigator. A person assigned in writing by a convening authority or commanding officer to conduct a safety investigation.

205. Safety and Occupational Health (SOH) Professional. Civilian personnel who meet Office of Personnel Management (OPM) standards for Safety and Occupational Health Manager/Specialist General Schedule (GS)-0018, Safety Engineering Technician GS-0802, Safety Engineer GS-803, Safety Technician GS-0019, Aviation Safety Officer GS-1825, Air Safety Investigating Officer GS-1815, Fire Protection Engineer GS-0804, Fire Protection Specialist/Marshal GS-0081, Medical Officer GS-0602, Health Physicist GS-1306, Industrial Hygienist GS-0690, Occupational Health Nurse GS-0610, Environmental Health Technician GS-0699 and military personnel equally qualified when compared to the OPM standards.

206. Safety Officer (Safety Manager). A person who is trained as appropriate for the particular community to perform safety functions for their command and currently holds a safety duty assignment, either as a primary or collateral duty.

207. Safety Privilege. A DoD term used to describe privileges recognized by the courts that protect safety information from release. It is an executive privilege afforded a head of an agency to protect information from release that would hamper the efficient operation of an important government program and perhaps impair the national defense or security.

208. Safety Records. Includes SIREP, HAZREP, MISREC, HAZREC, mishap logs, files and summaries.

209. Safety Reporting. A general term that encompasses all aspects of the process to notify, report and keep records of mishaps, hazards (including near misses) and incidents required by this manual.

210. Sanitized Information. Safety investigation information in which certain identifying information has been removed to protect the disclosure of privileged safety information (PSI) and the identity of the specific mishap. Once PSI has been successfully sanitized, the findings, conclusions, causes, recommendations, opinions, analyses and other indications of the deliberative processes of safety investigators, safety investigation boards, endorsers and reviewers are no longer considered privileged. Within DON, only the NAVSAFECEN is authorized to sanitize safety investigation information and the procedures found in DoDI 6055.07 of 6 June 2011 must be followed.

211. Severity. This is an assessment of the potential consequence that can or could occur as a result of a hazard and is defined by the degree of injury, illness, property or environmental damage, loss of asset (e.g., time, money, personnel) or effect on the mission or task. When analyzing risk, it is based on the worst credible outcome.

212. Shipboard. On, inside or immediately adjacent to the ship.

213. Ship's Force. Members of ship's company. See also "Pre-Commissioning Unit (PCU)."

214. Shipyard. Private or public activity responsible for accomplishing work incident to construction, modernization, conversion, overhaul or other availability of ships.

215. Shore. For purposes of this manual, not afloat.

216. Significant Injury or Illness. Work related cases involving conditions such as a fractured or cracked bone, cancer, chronic irreversible disease or a punctured eardrum, among others. Severity is determined by a competent medical authority. These injuries or illnesses must be recorded at the initial diagnosis even if medical treatment or work restrictions are not recommended or are postponed, in a particular case.

217. Significant Threshold Shift (STS). A DoD term only, the OSHA uses the term "Standard Threshold Shift (STS)." An average change of plus or minus 10 decibel (dB) at the frequencies 2000, 3000 and 4000 Hertz relative to the reference audiogram, in either ear, without age corrections, per section 1910.95(g)(10)(i) of Title 29, CFR. See also "Permanent Threshold Shift (PTS)."

218. Single Investigating Officer (SIO). An individual who has been directed to perform a safety investigation by a convening authority. The individual is solely responsible for completing the safety investigation and drafting and submitting required report(s) and records. The SIO may receive assistance from subject matter experts (SME) in the performance of their duties. An SIO is often an individual assigned to a safety billet (e.g., safety officer or safety manager), but that is not always a requirement.

219. Smoke. An air suspension (aerosol) of particles originating from combustion or sublimation: Contains droplets as well as dry particles. Other examples would be paper, wood, tobacco, etc. See also "Fume," "Gas," "Mist and Fog" and "Vapor."

220. Special Handling. Assurance that access to documents containing privileged mishap safety information and training products derived from that privileged information, are strictly limited to those Navy and Marine Corps military and civilian personnel who are directly concerned with safety and the mitigation of identified hazards.

221. 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 mishap 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 mishap investigation personnel.

222. Standard Threshold Shift. An OSHA term, DoD uses the term “Significant Threshold Shift.” See “Significant Threshold Shift (STS).”

223. 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.

224. Surface Danger Zone (SDZ). The ground and airspace designated within the training complex (to include associated safety areas) for vertical and lateral containment of projectiles, fragments, debris and components resulting from the firing, launching or detonation of weapon systems to include explosives and demolitions. See also “Laser Surface Danger Zone” for air-to-ground and ground-to-ground employment of a laser.

225. Survey of Damages. A formal procedure relevant to admiralty claims and litigation cases. 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 must 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 XI of the Navy Judge Advocate Manual and notify the Office of the Judge Advocate General (JAG), Admiralty Division (Code 11).

226. 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.

227. Systems Command (SYSCOM). A type of echelon 2 command responsible for designing, building, delivery and life cycle management of naval platforms (e.g., ships, submarines and aircraft) and associated systems using technical standards to ensure systems are engineered effectively and operate safely and reliably. Naval Sea Systems Command is the primary SYSCOM for forces afloat. Other SYSCOMs that also support the fleet are Naval Air Systems Command, Naval Facilities Engineering Systems Command, Naval Supply Systems Command and Space and Naval Warfare Systems Command.

228. Termination of Training. Any interruption or cessation of formal training, where at least one (1) day of training is lost or the student is rolled back or disenrolled from the course.

229. Total Case Rate (TCR). Total number of cases multiplied by 100, then divided by the number of employees. See also “Lost Time Case Rate (LTCR).”

230. TCIR. Total number of reportable injuries and illnesses for a particular number of years; divide by the total number of hours worked by employees during that same particular number of years; then, multiply by 200,000. See also “Days Away, Restricted, and Transfer (DART) Incidence Rate.”

231. 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 ability or to maintain or increase individual or collective combat and peacekeeping skills and is

b. Due to either a mishap 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.

232. Travel Status. A Service member or civilian employee's status during official travel. A Service member or civilian employee is also in a travel status while awaiting transportation connections and during delays en route that are beyond the traveler's control. A Service member or civilian employee traveling for personal convenience, leave, civilian administrative leave or administrative absence is not in a travel status. When Service members or civilian employees are in a travel status, an injury or illness is considered work-related.

233. Type Command (TYCOM). A command in the Navy's operating forces organized by type of platform: Submarine Force, Atlantic; Submarine Force, Pacific; Naval Air Force, Pacific; Naval Air Force, Atlantic; Naval Surface Force, Pacific; Naval Surface Force, Atlantic; Military Sealift Command (i.e., an auxiliary and sealift force); Navy Expeditionary Combat Command (i.e., an expeditionary force); and Naval Information Forces (i.e., a cyberspace domain force)^[1] and Chief of Naval Air Training^[2].

Note: ^[1]Does not man, train or equip any air, surface or undersea operating forces. ^[2]Does not man or equip air operating forces, but does train air operating forces.

234. Vapor. The gaseous state of a substance which is normally a liquid or solid at room temperature. The vapors can change back into a solid or liquid state by increasing the pressure or decreasing the temperature alone. Examples of substances that produce vapors: Degreasers, fuels, hydraulic fluids, paints and thinners and dry cleaning fluids. See also “Fume,” “Gas,” “Mist and Fog” and “Smoke.”

235. Voyage Data Recorder (VDR). A data recording system (i.e., a “black box”) designed for all commercial vessels required to comply with the International Maritime Organization’s (IMO) International Convention on Safety of Life at Sea Requirements (IMO Res.A.861(20)) in order to collect data from various sensors aboard the vessel. Although not required for non-combatant public vessels (e.g., military sealift command vessels), these vessels may be fitted with a VDR. The recorder digitizes, compresses and stores this information in an externally mounted protective storage unit. The protective storage unit is a tamper-proof unit designed to withstand the extreme shock, impact, pressure and heat, which could be associated with a marine incident (i.e., fire, explosion, collision, sinking, etc.). See also “Mission Data Recorder” for combatant vessels.

236. Weapons Mishap. For the purposes of this instruction, a mishap that falls into one of the following mishap categories: Nuclear, guided missile, explosives, small arms (on-duty only) and chemical agents or directed energy.

237. Wet-Bulb Globe Temperature (WBGT) Index. A measurement of environmental heat stress conditions. It consists of a weighted average of dry bulb (DB), wet bulb (WB) and globe temperature (GT). Expressed in the following equation: $WBGT = (0.1 \times DB) + (0.7 \times WB) + (0.2 \times GT)$. See also “Physiological Heat Exposure Limit (PHEL).”

238. Work Environment. The establishment and other locations where one or more employees are working or are present as a condition of their employment. The work environment includes not only physical locations, but also the equipment or materials used by the employee during the course of his or her work.

239. Work-Related. An injury or illness is considered work-related if an event or exposure in the work environment either caused or contributed to the resulting condition or significantly aggravated a pre-existing injury or illness. Work-relatedness is presumed for injuries and illnesses resulting from events or exposures occurring in the work environment, unless an exception in 29 CFR §1904.5(b)(2) specifically applies. All fatalities or injuries occurring aboard a public vessel are considered “work-related,” regardless if the affected person was on- or off-duty.

240. Workplace. A subordinate organization to an establishment performing processes and tasks under the direction of a supervisor at one or more locations. See also “Establishment.”

241. Workplace Violence. Any act or threat of physical violence, harassment, intimidation or other threatening disruptive behavior that occurs at the work site. It ranges from threats and verbal abuse to physical assaults and even homicide.

242. 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 DoD e-mail address.

APPENDIX B
ABBREVIATIONS AND ACRONYMS

AAFES	Army-Air Force Exchange Service
ADCON	Administrative Control
ADSW	Active Duty for Special Work
ADT	Active Duty Training
ANSI	American National Standards Institute
AOD	Automatic Opening Device
AOR	Area of Responsibility
ASD	Assistant Secretary of Defense
ASO	Aviation Safety Officer
ASSP	American Society of Safety Professionals
AT	Annual Training
ATV	All-Terrain Vehicle
BBP	Blood-Borne Pathogens
BLS	U.S. Bureau of Labor Statistics
C	Ceiling Limit
(C)	Confidential
CA	Convening Authority
CCB	Change Control Board
CDS	Container Delivery System
CFR	Code of Federal Regulations
CIN	Course Identification Number
CIVMAR	Civilian Mariner
CMA	Competent Medical Authority
CMC	Commandant of the Marine Corps
CMC (SD)	Commandant of the Marine Corps, Safety Division
CNO	Chief of Naval Operations
CNS	Central Nervous System
CO	Commanding Officer
COMNAVSAFECEN	Commander, Naval Safety Center
CONMAR	Contract Mariner
COMPACFLT	Commander, U.S. Pacific Fleet
CUI	Controlled Unclassified Information
CY	Calendar Year
CZ	Combat Zone
DART	Days Away, Restricted and Transfer
DASN(S)	Deputy Assistant Secretary of the Navy for Safety
dB	Decibel

DDESB Department of Defense Explosives Safety Board
DEA Direct Enemy Action
DESR Defense Explosives Safety Regulation
DHA Defense Health Agency
DHS Department of Homeland Security
DoD Department of Defense
DoD HFACS Department of Defense Human Factors Analysis and Classification System
DoDD Department of Defense Directive
DoDI Department of Defense Instruction
DoDM Department of Defense Manual
DON Department of the Navy
DZ Drop Zone

EER Explosive Event Report
EI Engineering Investigation
EMR Explosive Mishap Report
EMS Emergency Medical Services
EOD Explosive Ordnance Disposal

FECA Federal Employees Compensation Act
FOIA Freedom of Information Act
FOUO For Official Use Only
FY Fiscal Year

GMV Government Motor Vehicle
GOCO Government-Owned, Contract-Operated
GOGO Government-Owned, Government-Operated
GS Government Series
GSO Ground Safety Officer
GVO Government Vehicle, Other

HASC U.S. House of Representatives Armed Services Committee
HAZREC Hazard Recommendation
HAZREP Hazard Report
HERF Hazards of Electromagnetic Radiation to Fuel
HERO Hazards of Electromagnetic Radiation to Ordnance
HERP Hazards of Electromagnetic Radiation to Personnel
HIPAA Health Insurance Portability and Accountability Act of 1996
HMMWV High Mobility Multipurpose Wheeled Vehicle
HQMC Headquarters, U.S. Marine Corps
HRB Hazard Review Board
HRST Helicopter Rope Suspension Technique
Hz Hertz

IDC	Independent Duty Corpsman
IDLH	Immediately Dangerous to Life or Health
IDT	Inactive Duty Training
IMO	International Maritime Organization
INSURV	Board of Inspection and Survey
ISIC	Immediate Superior in Command
JAGMAN	Judge Advocate General Manual
JNAVMAR	Joint Navy and Marine Corps [used for form ID only]
JPADS	Joint Precision Aerial Delivery System
KIA	Killed in Action
LSDZ	Laser Surface Danger Zone
LTCR	Lost Time Case Rate
MARAD	Maritime Administration
MCO	Marine Corps Order
MCX	Marine Corps Exchange
MDR	Mission Data Recorder
MISREC	Mishap Recommendation
MOA	Memorandum of Agreement
MOFE	Memorandum of Final Endorsement
MOS	Military Occupational Specialty
MOU	Memorandum of Understanding
MPE	Maximum Permissible Exposure
MPH	Miles per Hour
MSC	Military Sealift Command
MTF	Military Treatment Facility
MWR	Morale, Welfare and Recreation
N09F	Special Assistant for Safety Matters
NAF	Non-Appropriated Fund
NATO	North Atlantic Treaty Organization
NAVINGEN	Navy Inspector General
NAVMC DIR	Navy and Marine Corps Directive
NAVRULES	Navigation Rules
NBI	Non-Battle Injury
NCIS	Naval Criminal Investigative Service
NDA	Nondisclosure Agreement
NDRF	National Defense Reserve Fleet
NEC	Navy Enlisted Classification
NFAF	Naval Fleet Auxiliary Force

NFWOD	Non-Factors Worthy of Discussion
NIFE	Naval Introductory Flight Evaluation
NM	Nautical Mile
NOSSA	Naval Ordnance Safety and Security Activity
NPQ	Not Physically Qualified
NTSB	National Transportation Safety Board
OCR	Office of Collateral Responsibility
OEL	Occupational Exposure Limit
OIC	Officer in Charge
OJAG	Office of the Judge Advocate General
OPCON	Operational Control
OPIM	Other Potentially Infectious Material
OPNAV	Office of the Chief of Naval Operations
OPNAV M	Office of the Chief of Naval Operations Manual
OPNAVINST	Office of the Chief of Naval Operations Instruction
OPORD	Operational Order
OPR	Office of Primary Responsibility
OPREP-3	Operational Report-3
OPTEMPO	Operational Tempo
ORM	Operational Risk Management
ORS	Other Recommendations of Significance
OSH	Occupational Safety and Health
OSHA	Occupational Safety and Health Administration, U.S. Department of Labor
PBXC	Plastic Bonded Explosive, China Lake
PBXN	Plastic Bonded Explosive, Navy
PCO	Prospective Commanding Officer
PCR	Personnel Casualty Report
PCS	Permanent Change of Station
PCU	Pre-Commissioning Unit
PEL	Permissible Exposure Limit
PEO	Program Executive Office
PETN	Pentaerythritol Tetranitrate
PFA	Physical Fitness Assessment
PFT	Physical Fitness Test
PHEL	Physiological Heat Exposure Limit
PHI	Protected Health Information
PII	Personally Identifiable Information
PMS	Planned Maintenance System
PMV	Private Motor Vehicle
PMV-2	Private Motor Vehicle, Two-Wheel
PMV-4	Private Motor Vehicle, Four-Wheel

POC	Point of Contact
POM	Program Objective Memorandum
POR	Program of Record
POV	Privately Owned Vehicle
PPD	Permanent Partial Disability
PRESINSURV	President, Board of Inspection and Survey
PRT	Physical Readiness Test
PSI	Privileged Safety Information
PT	Physical Test
PTD	Permanent Total Disability
PTS	Permanent Threshold Shift
RAC	Risk Assessment Code
RADHAZ	Radiation Hazard
RDX	Cyclotrimethylene Trinitramine [Royal Demolition Explosive]
REL	Recommended Exposure Limit
RF	Radiofrequency
RMI	Risk Management Information
ROTC	Reserve Officer Training Corps
RRF	Ready Reserve Force
SCBA	Self-Contained Breathing Apparatus
Scuba	Self-Contained Underwater Breathing Apparatus [USMC]
SCUBA	Self-Contained Underwater Breathing Apparatus [USN]
SD	Safety Division [USMC]
SDS	Safety Data Sheet
SDZ	Surface Danger Zone
SEAL	Sea-Air-Land
SECNAV	Secretary of the Navy
SECNAV M	Secretary of the Navy Manual
SECNAVINST	Secretary of the Navy Instruction
SHIPALT	Ship Alteration
SIB	Safety Investigation Board
SIO	Single Investigating Officer
SIQ	Sick in Quarters
SIR	Serious Incident Report
SIREP	Safety Investigation Report
SITREP	Situation Report
SJA	Staff Judge Advocate
SME	Subject Matter Expert
SOLAS	Safety of Life at Sea
STANAG	NATO Standardization Agreement
STEL	Short-Term Exposure Limit

STS	Significant Threshold Shift [DoD] and Standard Threshold Shift [OSHA]
SYSCOM	Systems Command
TAD	Temporary Additional Duty
Tb	Tuberculosis
TCIR	Total Case Incidence Rate
TCR	Total Case Rate
TDY	Temporary Duty
TLV	Threshold Limit Value
TLV-C	Threshold Limit Value Ceiling
TNT	Trinitrotoluene
TWA	Time-Weighted Average
TYCOM	Type Command
UA	Unauthorized Absence
UAS	Unmanned Aircraft System
UAV	Unmanned Aerial Vehicle
UBD	Underwater Breathing Device
UCMJ	Uniform Code of Military Justice
USA	United States Army
USAF	United States Air Force
USCG	United States Coast Guard
USD	Under Secretary of Defense
USFF	United States Fleet Forces
USMC	United States Marine Corps
USN	United States Navy
USSF	United States Space Force
U.S.	United States
U.S.C.	United States Code
USNS	United States Naval Ship
USS	United States Ship
USV	Unmanned Surface Vessel
UUV	Unmanned Undersea Vehicle
UV	Ultraviolet
VDR	Voyage Data Recorder
WBGT	Wet-Bulb Globe Temperature
WEEL	Workplace Environmental Exposure Limit

APPENDIX C
MEMORANDUM OF UNDERSTANDING
BETWEEN
U.S. ARMY COMBAT READINESS CENTER
AND
AIR FORCE AND NAVAL SAFETY CENTERS
AND
COMMANDANT OF THE MARINE CORPS (SAFETY DIVISION)
AND
U.S. COAST GUARD HEALTH, SAFETY AND WORK-LIFE DIRECTORATE

SUBJECT: Safety Investigation and Reporting of Multiple Component Mishaps
Memorandum of Understanding (MOU)

1. Situation. This memorandum of understanding (MOU), establishes the working relationship, responsibilities and understanding among U.S. Army, U.S. Air Force, U.S. Marine Corps, U.S. Navy and U.S. Coast Guard (hereafter known as the "[S]ervices") relative to a multiple component safety investigation and reporting of mishaps and incidents involving personnel, equipment and facilities. For the purposes of this MOU, the term "safety entities" includes the U.S. Army Combat Readiness Center, Air Force and Naval Safety Centers, Commandant of the Marine Corps (Safety Division) and the U.S. Coast Guard Health, Safety and Work-Life Directorate. This MOU replaces the MOU titled, Memorandum of Understanding Among The U.S. Army Combat Readiness Center, Air Force and Naval Safety Centers, Commandant of the Marine Corps (Safety Division) and The U.S. Coast Guard Health and Safety Directorate for Safety Investigation and Reporting of Multiple Component Mishaps, dated 10 April 2006.
2. Purpose. DoD Instruction 6055.07 [of 6 June 2011] directs the DoD Components to determine a lead DoD Component to investigate and report each multiple component mishap. The purpose of this document is to clarify responsibility for leading the safety investigation of a mishap when more than one [S]ervice's assets are involved and to provide guidance for the establishment of a single multiple-component investigative board and the selection of investigators from multiple agencies. Additionally, guidance is provided regarding preservation of physical evidence at a mishap site, statistically capturing losses, dissemination of reports, responsibility for recommendations, and the spirit of cooperation and professionalism expected.
3. Scope. This MOU serves to establish agreements, responsibilities, procedures, and funding requirements for multiple component safety investigations involving the [S]ervices. Authority for investigation of military mishaps is contained in DoD Instruction 6055.07 [of 6 June 2011], DoD [S]ervice directives and Coast Guard COMDTINST M5100.47 series.
4. Multiple DoD Component Mishap Definition. A Multiple DoD-Component Mishap is defined as a single mishap, involving two or more Components in autonomous operational or training roles, resulting in injuries or damage to any of the involved Components. The

provisions of this MOU are also applicable to mishaps involving the U.S. Coast Guard as well as joint agencies or joint programs where only one [S]ervice experiences a loss and two or more [S]ervices are or were involved in development and acquisition of a system.

5. Understandings, Agreements and Responsibilities.

a. The [S]ervice safety chiefs must determine which [S]ervice has primary responsibility for investigating and reporting each Class A, multiple component mishap. Only Class A mishaps will require direct coordination between the respective Component Safety Chiefs. Class B or lower mishaps can be coordinated, and investigative lead can be delegated, below the Component Chief level. Normally, the convening authority for the investigation is the [S]ervice experiencing the greater loss, although other factors such as operational roles must also be considered. The convening [S]ervice's safety investigation directives must be used in investigating and reporting the mishap. The [S]ervice safety chiefs have the authority to agree, on a case-by-case basis, to an alternate approach to a safety investigation, to include not participating in the lead [S]ervice's investigation.

b. The safety center which first becomes aware of a Class A, B, C, or D multiple component mishap must provide immediate telephonic or email notification to the other involved [S]ervices' safety centers. Each [S]ervice must make available operational and technical experts for the safety investigation board as required. The [S]ervice owning or controlling the facility where a mishap occurs or the [S]ervice that is geographically closest, will secure, protect, document and preserve the mishap site to prevent contamination or removal of evidence. The securing [S]ervice must make every effort to document the mishap site during and after search, recovery and criminal investigations and minimize disturbances to the mishap scene until released by the multiple component president or senior member.

c. Multiple component safety investigation boards must be comprised of the representatives listed in subparagraphs 5c(1) through 5c(4).

(1) Each involved [S]ervice safety chief may send safety investigators to participate in the board. These investigators will be voting (primary) board members, who are experts in the program, operation or utilization of the facilities, personnel or equipment involved in the mishap. Those investigators must be granted access to all relevant information, both privileged and non-privileged, and related board deliberations.

(2) Other board members, including members from joint or DoD agencies, may be required as determined by the involved safety centers.

(3) The board president or senior member must authorize all external communications. Voting (primary) board members, non-voting (non-primary) technical advisors and observers must not discuss privileged or non-privileged investigative proceedings with their parent [S]ervice without approval of the board president or senior member.

(4) Voting (primary) board members work solely for the safety investigation board president or senior member and will be released at the discretion of the safety investigation board president or senior member.

d. The multiple component safety investigation board president or senior member must allow legal investigation investigators access to the mishap site and non-privileged physical evidence per the controlling guidance of the [S]ervice leading the safety investigation.

e. The convening [S]ervice's safety center must promptly provide all involved [S]ervices safety centers a complete, un-redacted copy of all the joint safety investigation board's reports and subsequent endorsements. Supporting documents must be provided upon request. Safety centers may further distribute any reports within DoD and the U.S. Coast Guard for mishap prevention purposes. The [S]ervice producing the safety investigation report must respond to requests for copies of portions of the report, to include requests from other DoD or U.S. Coast Guard staff sections, organizations and commands.

f. The involved safety centers will negotiate and agree upon a review and comment process for the multiple component safety investigation board's report.

g. The [S]ervice preparing the report must clearly identify recommendations targeted toward other [S]ervices or agencies and forward the recommendations to the other [S]ervices' safety center or to joint, DoD, or U.S. Coast Guard agencies when appropriate. Each [S]ervice's safety center will, in turn, forward applicable recommendations to the appropriate agency, organization or elements in their [S]ervice. Each [S]ervice's safety center will track to completion the status of those recommendations and inform any other involved [S]ervice's safety entity of actions taken.

h. When there is a suspected material failure, the board president or senior member must submit the item(s) in question to the [S]ervice appropriate facility for analysis. The [S]ervice whose facility conducts the analysis must fund the analysis.

i. Each [S]ervice must provide funding for travel, per diem, rental car, and other expenses incurred by its representatives. The nearest military installation to the mishap site must provide administrative and host base support, including organic site security, while the board president or senior member is present. Other expenses (special equipment, consultants, experts, etc.) must be borne by the investigating [S]ervice. Each [S]ervice must provide funding for salvage and wreckage recovery of its own assets.

j. When briefings are requested, the [S]ervice safety chiefs must coordinate requirements.

k. The [S]ervice that is determined to have ownership of the mishap must account for all fatalities, injuries and property damage in that [S]ervice's mishap statistics. The [S]ervices recognize that this is not an obvious interpretation of D0DI 6055.07 [of 6 June 2011] reporting

requirements, but have obtained DoD concurrence for this approach. Consistently reporting all losses in conjunction with a single event without regard to assignment of the assets assures proper prioritization of mishap prevention resources.

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 superseded. This agreement may be cancelled at any time by mutual agreement or by any safety entity with at least 30 days advanced written notice. All safety centers must review this agreement every three years and it may be modified by mutual consent of the signatories. A written request for modification must be provided to the other safety entities at least 60 days prior to the proposed date of changed.

//s//
THOMAS M. BEDELL
Colonel, USMC
Commandant of the Marine Corps
Director, Safety Division

20 September 2019

//s//
TIMOTHY J. DAUGHERTY
Brigadier General, USA
Commanding General
U.S. Army Combat Readiness Center
and Director of Army Safety

7 June 2019

//s//
FREDRICK R. LUCHTMAN
RADM, USN
CNO Special Assistant for Safety Matters
Commander, U.S. Naval Safety Center

12 August 2019

//s//
DANA L. THOMAS
RADM, M.D., USPHS
Headquarters, U.S. Coast Guard
Director of Health, Safety and Work-Life

14 November 2019

//s//
JOHN T. RAUCH JR.
Maj Gen, USAF
Chief of Safety
Commander, U.S. Air Force Safety

14 August 2019

APPENDIX D
FORMS

1. Forms mandated by this manual are listed in subparagraphs 1a and 1b. RMI will be able to generate the forms listed in subparagraphs 1a(1) through 1a(3) using data in the system. An equivalent form for those listed in subparagraphs 1a(1) through 1a(3) may also be used. However, to be considered an equivalent form, any substitute must contain all the information asked for on these respective forms.

a. The following forms are available for download from U.S. Department of Labor Web site at <https://www.osha.gov/recordkeeping/RKforms.html>.

- (1) OSHA 300 Log of Work-Related Injuries and Illnesses.
- (2) OSHA 300A Summary of Work-Related Injuries and Illnesses.
- (3) OSHA 301 Injury and Illness Incident Report.

b. The following forms are available for download from Navy Forms Online <https://forms.documentservices.dla.mil/order>.

- (1) NAVMAR 5102/1 Advice to Witness.
- (2) JNAVMAR 5102/2 Advice to Witness (Promise of Confidentiality).

c. SF 901 Controlled Unclassified Information (CUI) Coversheet is available for download from the GSA forms website <https://www.gsa.gov/reference/forms#SF/forms#SF>.

d. The following form are available for purchase from GSA Global Supply www.gsaglobalsupply.gsa.gov.

Note: Government Contractors will need to have their Government Department, Agency or Office sponsor their request before placing order.

- (1) SF 902 CUI Label S/N 7540-01-679-3318.
- (2) SF 903 CUI Label – Thumb Drive S/N 7540-01-679-3319.