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MCO P5102.1B
7 January 2005

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

From: Chief of Naval Operations
Commandant of the Marine Corps

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

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

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

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

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

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

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

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

6. **Action**

a. Commander's Intent and Concept of Operations

(1) Commander's Intent

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

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

(2) Concept of Operations

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

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

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

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

b. **Subordinate Element Missions**

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

(2) Ensure safety investigation reports are submitted.

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

7. **Administration and Logistics**

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

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

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

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

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

8. **Report and Forms**

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

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

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

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

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

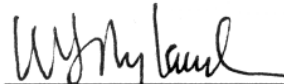
f. Combat Zone Mishap Report (CZ) (Report Symbol 5102-7C), see Figure 5-7.

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

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



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

7 JANUARY 2005

LOCATOR SHEET

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

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RECORD OF CHANGES

Log completed change action as indicated.

Change Number	Date of Change	Date Entered	Signature of person Incorporating Change

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CHAPTER 1

INTRODUCTION AND RESPONSIBILITIES

1000. BACKGROUND

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

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

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

1001. PURPOSE. This manual serves to:

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

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

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

1002. DEFINITION OF TERMS

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

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

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

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

1005. RESPONSIBILITIES

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

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

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

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

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

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

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

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

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

i. Terminate safety investigations.

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

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

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

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

4. CMC (SD) shall:

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

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

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

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

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

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

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

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

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

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

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

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

e. Conduct the final review, analysis, and closing endorsement of Navy SIREPs within 14 days of receipt. Coordinate the final review, analysis, and endorsement of USMC SIREPs with CMC (SD). Retain hard copies of the SIREPs, endorsements, and evidence for five years following the end of the fiscal year to which the mishap occurred. At the end of that period, destroy hard copies of the SIREP, endorsements, and physical evidence. HAZREP hard copies will be retained for one year and then destroyed. Electronic copies of the final endorsed SIREP shall be retained indefinitely, per reference 1a.

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

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

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

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

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

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

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

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

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

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

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

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

and Marine Corps explosive mishaps to:

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

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

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

p. Serve as the Navy and Marine Corps' re-addressal authority for safety investigation reports and endorsements.

Provide sanitized reports of safety investigations, endorsements, and reports to appropriate commands.

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

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

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

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

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

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

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

Commander, Naval Reserve Forces (COMNAVRESFOR);
Commander, Naval Sea System Command (COMNAVSEASYSKOM);
Commander, Naval Security Group Command (COMNSGCOM);
Commander, Space and Naval Warfare Systems Command
(COMSPAWARSYSKOM);
Commander, Naval Special Warfare Command (COMNAVSPECWARCOM);
Commander, Naval Supply Systems Command (COMNAVSUPSYSKOM);
Commander, Military Sealift Command (COMSC);

and Type Commanders for afloat mishaps. Controlling commands shall:

NOTE:

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

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

NOTE:

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

b. Direct an SIB to investigate selected other mishaps deemed appropriate. This applies to any other mishaps or near mishaps that may reveal vital safety information and IFS or flying club aviation related mishaps per reference 1f. Discuss with COMNAVSAFECEN to reach an agreement on whether or not a safety investigation advisor will be provided.

c. When the requirement for an SIB is questionable, CMC (SD) or CNO (N09F) shall be contacted with details of the mishap

within 24 hours. This information will be used to determine if an SIB is required. CMC (SD) or CNO (N09F) will discuss, with the appropriate controlling command, the required course of action.

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

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

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

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

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

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

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

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

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

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

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

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

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

p. Appoint all SIB members in writing.

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

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

(1) Personnel that would participate in safety investigations;

(2) SIB organization; and

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

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

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

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

c. Report all on-duty DoN civilian fatalities, whether believed to be occupational or not, occurring within the United States or U.S. territories to the nearest OSHA area or regional

office within eight hours of obtaining knowledge of the mishap. The OSHA toll-free telephone number is 800-321-OSHA. This requirement applies to each fatality or hospitalization of three or more civilian employees (at least one of which is a DoD civilian), which occurs within 120 days of a mishap.

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

- (1) Make an accurate plot of the scene;
- (2) Take photographs or videotape recordings of the wreckage, its distribution, and the surrounding area; and
- (3) Make a diagram of any underwater damage.

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

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

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

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

g. Ensure personnel assigned to conduct unit or command safety investigations, assigned as a member of an SIB, or assigned to assist the board are excluded from assignment to a Judge Advocate General Manual (JAGMAN) investigation of the same incident conducted per reference 11.

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

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

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

k. Provide administrative and logistic support for the SIB.

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

m. When injured personnel are lost to the command, include the command to which the individual was transferred in the SIREP, to trace the individual in the event that additional mishap information is required.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1006. REFERENCES

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

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

- 1c. OPNAVINST 5100.23F, Navy Occupational Safety and Health Program
- 1d. MCO P5100.8F, Marine Corps Occupational Safety and Health Program
- 1e. OPNAVINST 5100.19D, Navy Occupational Safety and Health Program Manual for Forces Afloat
- 1f. OPNAVINST 3750.16B, Participation in a Military or Civil Aircraft Accident Safety Investigation
- 1g. OPNAVINST 3100.6G, Special Incident Reporting (OPREP-3, Navy Blue, and UNIT SITREP Procedures)
- 1h. BUPERSINST 1770.3, Personnel Casualty Procedures Manual
- 1i. MILPERSMAN 1770010, Navy Military Personnel Manual
- 1j. MCO P3040.4D, Marine Corps Causality Procedure Manual
- 1k. MCO 5740.2F, Serious Incident Reports (SIR)
- 1l. JAGINST 5800.7D, Manual of the Judge Advocate General
- 1m. 45 Code of Federal Regulations, Part 164.512(b)(i): Health Insurance Portability and Accountability Act

CHAPTER 2

MISHAP CLASSIFICATION

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

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

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

1. Class A Mishap. The resulting total cost of damages to DoD or non-DoD property in an amount of \$1 million or more; a DoD aircraft is destroyed; or an injury and/or occupational illness result in a fatality or permanent total disability.
2. Class B Mishap. The resulting total cost of damages to DoD or non-DoD property is \$200,000 or more, but less than \$1 million. An injury and/or occupational illness result in permanent partial disability or when three or more personnel are hospitalized for inpatient care (beyond observation) as a result of a single mishap.
3. Class C Mishap. The resulting total cost of damages to DoD or non-DoD property is \$20,000 or more, but less than \$200,000; a nonfatal injury that causes any loss of time from work beyond the day or shift on which it occurred; or a nonfatal occupational illness that causes loss of time from work or disability at any time.

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

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

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

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

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

a. Being transported by Navy or Marine Corps or commercial conveyance to perform officially assigned work. (This includes travel in Private Motor Vehicles (PMV) or commercial conveyances while performing official duty, but not routine travel to and from work.)

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

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

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

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

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

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

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

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

a private vehicle. Only the Navy van damage costs would be considered.

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

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

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

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

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

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

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

3. Non-Navy and Marine Corps Property.

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

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

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

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

2005. REFERENCES

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

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

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

2d. Title 32, United States Code, "National Guard".

OPNAVINST 5102.1D

MCO P5102.1B

7 January 2005

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CHAPTER 3

RECORD KEEPING AND REPORTING

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

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

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

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

2. Report all DON on-duty civilian fatalities occurring within the United States or U.S. territories to the nearest

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

- a. Command name
- b. Location of mishap
- c. Time and date of the mishap
- d. Number of fatalities and/or hospitalized employees
- e. Point of contact with rank, name and phone number
- f. Circumstances or brief description of the mishap

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

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

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

1. Mishap records include work-related injury and illness logs, Safety Investigation Reports (SIREP), Hazard Reports (HAZREP), investigation records, mishap logs, and other files maintained in any format that summarize mishaps involving injuries or

property damage, track safety reports and corrective actions, and provide a single reference for trend analysis.

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

1. Mishaps associated with naval nuclear propulsion plants per references 3a, 3q, 3r, 3s and 3t. However, mishaps associated with the secondary side of naval nuclear propulsion plant or non-nuclear components are reportable per this manual.
2. Mishaps involving nuclear weapons.
3. Damage or injury by direct action of an enemy or hostile force. This does not include suspected cases of friendly fire.
4. Intentional, controlled jettison or release, during flight, of canopies, cargo, doors, drag chutes, hatches, life rafts, auxiliary fuel tanks, missiles, target drones, rockets, conventional munitions, and externally carried equipment not essential to flight, when there is no injury, no reportable damage to the aircraft or other property, and, in the case of missiles, drones, or munitions, when the reason for jettison is not a malfunction of the launch or release system. See references 3g and 3h for malfunction or deficiency reporting. Navy activities holding Marine Corps Class V (W), and Marine Corps activities will submit reports of all missing, lost, stolen or recovered arms, ammunition and explosives (AA&E) per reference 3u.
5. Replacement of component parts due to normal wear and tear, and when any associated damage is confined to the component part. This exemption only applies to items that are normally used until they fail or until predetermined wear limits are reached. Replacement need may not be evident until malfunction or failure of the part.
6. Injuries associated with non-occupational diseases, when the disease, not the injury, is the proximate cause of the lost time, such as diabetes and its resultant complications, such as loss of vision. Complications of the injury (such as the infection of a cut aggravated by a work-related activity) that result in lost time are reportable.

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

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

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

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

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

12. Injuries that result from the following:

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

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

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

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

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

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

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

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

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

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

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

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

3006. COMBAT ZONE REPORTING

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

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

3011. MISHAP RECORDS RETENTION PERIOD

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

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

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

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

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

3012. SAFETY RECORDS ACCESS

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

(a) CMC (SD) and COMNAVSAFECEN personnel.

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

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

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

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

3013. REFERENCES

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

3b. BUPERSINST 1770.3, Personnel Casualty Procedures Manual

3c. MILPERSMAN 1770010, Navy Military Personnel Manual

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

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

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

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

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

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

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

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

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

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

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

- 3o. OPNAVINST 1500.75, Safety Policies and Procedures for Conducting High Risk Training.
- 3p. MCO 1553.2A, Management for Marine Corps Formal Schools and Training Centers.
- 3q. OPNAVINST 3040.5D, Procedures and Reporting Requirements for Nuclear Reactors and Radiological Accidents.
- 3r. NAVSEA Manual 389-0152, Water Chemistry Control.
- 3s. NAVSEA Manual 389-0288, Radiological Controls.
- 3t. NAVSEA Manual S9213-33-MMA-000/(V), Radiological Controls for Ships.
- 3u. OPNAVINST 5530.13C, Department of the Navy Physical Security Instruction for Conventional Arms, Ammunition and Explosives (AA&E).
- 3v. SECNAVINST 5510.36, Department of the Navy Information Security Program Regulation.
- 3w. MILPERSMAN 5030140 (Enlisted) and 5030141 (Officer), Navy Military Personnel Manual.
- 3x. MCO P1070.12K, Marine Corps Individual Record/Administrative Manual.

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FIGURE 3-1

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

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

Civilian/military service

Local Serial, case or file number

Unit identification code (UIC/RUC/MCC)

Activity name

Last name, first name and middle initial

Sex

Age

Job title

Rank/Rate/Grade

Date of mishap

Time of mishap

General location of mishap

Narrative describing mishap without names/personal identifiers

Date of death, if fatality

Total days away from Work (start counting at the first full day after the mishap and include consecutive, calendar days)

Total days of Job Transfer or Restricted from Work (civilian)

Total Days of Light or Limited Duty (military)

Injury type

OSHA Code

Body part

Mishap type

Object involved (Injury source)

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FIGURE 3-2

ANNUAL SUMMARY OF WORK-RELATED INJURIES AND ILLNESSES

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

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

ADDRESS (Complete mailing address of activity)

ACTIVITY DESCRIPTION:

Industry or activity Description (depot, shipyard, staff, etc.)

Annual average number of civilian employees/military personnel, as applicable

Total hours worked by all civilian/military employees last year.

TOTAL NUMBER OF DEATHS

TOTAL NUMBER OF CASES WITH DAYS AWAY FROM WORK

TOTAL NUMBER OF CASES WITH JOB TRANSFER OR RESTRICTED WORK

TOTAL NUMBER OF OTHER RECORDABLE CASES

TOTAL NUMBER OF DAYS OF JOB TRANSFER OR RESTRICTED WORK

TOTAL NUMBER OF DAYS AWAY FROM WORK

TOTAL NUMBER OF:

INJURIES

SKIN DISORDERS

RESPIRATORY CONDITIONS

POISONINGS

ALL OTHER OCCUPATIONAL ILLNESSES

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

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

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CHAPTER 4

HAZARD REPORTS

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

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

4002. HAZARD IDENTIFICATION AND ASSESSMENT

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

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

4003. REPORTING GUIDELINES

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

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

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

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

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

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

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

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

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

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

4004. SUBMISSION GUIDELINES

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

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

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

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

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

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

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

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

4005. REFERENCES

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

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

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

4d. OPNAVINST 3750.6R, Naval Aviation Safety Program

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

CHAPTER 5

SAFETY REPORTS

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

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

5002. SAFETY REPORT FORMATS

1. The Report Matrix, Figure 5-1, provides an overview of the types and circumstances under which safety reports are to be prepared and transmitted to COMNAVSAFECEN.
2. All SIREPs are submitted to COMNAVSAFECEN using the Web-Enabled Safety System (WESS). The format required for the type and severity of report is automatically presented by the web-enabled system. If internet connectivity to WESS is inconsistent and unreliable for timely submission of reports, the off-line WESS-DS via e-mail is available. If e-mail capability for WESS-DS is unavailable for timely submission of reports, use Figure 5-2 Part A, via naval message, as your alternate mishap reporting method.
3. An SIB will use WESS for the investigation report and endorsements. Otherwise, figure 5-2, Parts A and B may be used to submit a formal investigation report via message, and COMNAVSAFECEN will enter the data into WESS.
4. If using naval messages instead of WESS, for requesting a SIREP Extension, use message Figure 5-3; for SIREP endorsement message use Figure 5-4; and for the SIREP Inventory of Evidence

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

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

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

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

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

5003. SAFETY INVESTIGATION REPORTS (SIREPs)

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

2. Submission Deadlines:

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

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

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

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

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

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

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

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

d. SIREP messages are exempt from MINIMIZE restrictions.

4. Handling of SIREPS:

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

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

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

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

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

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

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

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

5005. REFERENCES

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

5b. MILPERSMAN 1770010, Navy Military Personnel Manual

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

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

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

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FIGURE 5-1

MISHAP REPORTING MATRIX

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

MISHAP SEVERITY	APPLICABLE PERSONNEL	REPORT REQUIRED	DEADLINE
<p>Class A:</p> <ul style="list-style-type: none"> ➤ Fatality. ➤ PTD - Permanent Total Disability. ➤ Property Damage > \$1M. <p>Other:</p> <ul style="list-style-type: none"> ➤ Fatality as result of medical event within 1 hour of PFA/PFT/PRT. ➤ Training-related fatality. ➤ All afloat Class A mishaps involving collision, fire, grounding and flooding. ➤ All Class B and C explosive mishaps, all ordnance impacting off range and all live fire mishaps. ➤ Selected other mishaps. 	<ul style="list-style-type: none"> ❖ On-Duty DoD Civilian Employees and Contractors Under DoD Supervision. ❖ On-Duty Military. ❖ On-Base Military. 	<p>WESS or SIREP Message</p>	<p>30 Days</p>

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

MISHAP SEVERITY	APPLICABLE PERSONNEL	REPORT REQUIRED	DEADLINE
<p>Class B and C:</p> <ul style="list-style-type: none"> ➤ Permanent Partial Disability. ➤ Hospitalization of 3 or more personnel. ➤ Property Damage > \$20K but < \$1M. ➤ Days away from work resulting from injury or occupational illness. <p>Other reportable mishaps:</p> <ul style="list-style-type: none"> ➤ Fatality of off-base, off-duty military. ➤ Fatality or permanent partial disability of non-DoD 	<ul style="list-style-type: none"> ❖ On-Duty DoD Civilian Employees and Contractors under direct DoD Supervision. ❖ On-/Off-Duty Military on or off base. 	<p>WESS, WESS-DS, or SIREP message if no e-mail access.</p>	<p>30 Days (6 days to initiate log entries for work-related injuries)</p>

<p>guest or military dependent as result of DoD operation or evolution.</p> <ul style="list-style-type: none"> ➤ Any parachuting, HRST, or cargo airdrop mishap. ➤ Any diving mishap resulting in hyperbaric treatment, CNS, oxygen toxicity, or POIs. ➤ Any GMV or GOV vehicle mishap causing \$5K damage or injury/fatality. ➤ Injury or occupational illness resulting in medical treatment beyond first aid, loss of consciousness, light or limited duty, restricted days away from work, or removal from work due to OSH-related restriction. ➤ Occupational TB exposure. ➤ Work-related needle/sharps stick with suspected infectious material. ➤ Work-related Significant Threshold Shift (STS). ➤ Diagnosed occupational disease such as cumulative trauma disorder. ➤ Loss of 1 training day or rollback in a high-risk course. ➤ All explosive mishaps (as determined by para 1005.5.b). ➤ All other afloat groundings, collisions, fires, and flooding mishaps. 	<ul style="list-style-type: none"> ❖ On-Duty DoD Civilian Employees and Contractors under DoD Supervision. ❖ On-/Off-Duty Military on or off base. 	<p>WESS, WESS-DS, or SIREP message if no e-mail access.</p>	<p>or illnesses)</p> <p>30 Days</p>
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3. The following hazards, in addition to those to be brought to outside attention, are to be reported as a HAZREP using WESS.

MISHAP SEVERITY	APPLICABLE PERSONNEL	REPORT REQUIRED	DEADLINE
<ul style="list-style-type: none"> ➤ Electrical shock afloat from a design deficiency (no injury). ➤ Man-overboard mishaps underway 	<ul style="list-style-type: none"> ❖ On-Duty Military and Civilian Employees 	<p>HAZREP using WESS, WESS-DS</p>	<p>None</p>

