

## CHAPTER 14

MISHAP INVESTIGATION AND REPORTING FOR MILITARY,  
CIVIL SERVICE, AND NONAPPROPRIATED FUND PERSONNEL

## Section I

GENERAL INFORMATION

1. Applicability. Under reference (a), the Navy Standard Mishap Reporting System includes military, federal civil service, and nonappropriated fund personnel at shore activities.
2. Scope. This chapter only applies to work-related mishap reporting procedures and requirements. Reports and investigations required for aircraft mishaps/incidents, JAG Manual incidents on misconduct, line of duty determinations, and claims against the Government are not covered by this chapter.
3. Discussion. The objectives of the mishap reporting and analysis system are to reveal the course, nature, and trends of mishaps and injuries so corrective measures may be taken, and to provide necessary information for the administration of a successful mishap prevention program.
4. Mishap Investigation Requirements
  - a. NAEC OSH office shall conduct a safety investigation of every mishap, major or minor, and handle the investigation as a search for facts. The OSH office shall ensure proper investigation of all mishaps and review all investigation reports.
  - b. NAEC OSH office shall report all mishaps meeting the reportable criteria as outlined in reference (a).
5. Requirements to Ensure Reporting of All Mishaps At all levels, the immediate supervisor has the greatest influence on mishap reporting. All Managers, supervisors and people in charge shall take the following action to ensure that they report all mishaps to the OSH office:
  - a. Indoctrinate all subordinates, especially new arrivals, to report all mishaps no matter how small, as well as the "near misses" where only chance prevented a mishap. Ensure personnel fully appreciate that activities cannot correct hazardous conditions unless personnel conscientiously report them.
  - b. All Managers, supervisors and people in charge shall report all mishaps to the activity OSH office immediately so the OSH office can initiate the appropriate action for the mishap investigation.

6. On-Duty Personnel. For the purpose of mishap reporting, Navy military and civilian personnel are on duty when they are:

a. Physically present at any location where they are to perform their officially assigned work. (This includes those activities incident to normal work activities that occur on installations; i.e., lunch, coffee or rest breaks, and all activities aboard vessels, service craft, or small boats.)

b. Participating in compulsory physical training activities (including compulsory sports or command-sponsored activities during working hours).

c. Being transported by DOD or a command conveyance to perform officially assigned work. (This includes reimbursable or nonreimbursable travel in private motor vehicles for performing duty, but not routine travel to and from work.)

d. On temporary duty or temporary additional duty (TDY/TAD). Personnel on assignment away from the regular place of employment are covered 24 hours a day with respect to 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 engage in activities (personal or otherwise) which are not reasonably incidental to the duties of the temporary assignment contemplated by the employer, the person ceases to be considered on-duty for reporting purposes of occupational injuries or illnesses. For civilians, these deviations may not be compensable (OWCP determines on a case-by-case basis).

7. Off-Duty Personnel. For the purpose of mishap reporting, Navy military and civilian personnel are off-duty when they:

a. Are not in an on-duty status, whether on or off installations ashore.

b. Have departed from their official duty station, temporary duty station, or Navy service craft or small boat at the termination of their normal work schedule.

c. Are on leave/liberty.

d. Are traveling prior to and after official duties; i.e., driving to and from work.

e. Are participating in voluntary base/installation team sports.

f. Are on permissive (no cost to the Government other than pay) temporary duty.

g. Are on lunch or another rest break, and engaged in activities unrelated to eating or resting.

8. General Investigating/Reporting Procedures. All civilian personnel injuries at work, and all military personnel injuries at any time, regardless of the severity shall be promptly reported to the immediate supervisor. OSH office shall investigate each mishap, and the Commanding Officer shall review each lost-workday mishap that involves five or more lost workdays with the employee's supervisor, safety, medical, compensation and the next level of management involved and the injured employee if needed for amplifying information.

9. Near Misses. Any near miss involving an industrial work process where activities avoid a fatality or catastrophic loss merely by chance; i.e., if someone says, "Boy we're lucky we didn't kill somebody." Activities should report other 'near miss' incidents by informal correspondence or by SAFETYGRAM, OPNAV 5102/4 to the OSH Office. Also, to provide anonymity, SAFETYGRAMS may be directly submitted to the Commander, Naval Safety Center (COMNAVSAFECEN) without the normal chain of command routing. The name of the activity is required, but not the name of the person originating the correspondence. Copies of OPNAV 5102/4 are available from the OSH Office.

10. Releasing Information. Mishap reports and information contained in them shall not be released to any organization or person except those whose duties require such information for official safety purposes. Reference (a) contains a more detailed account of the restrictions on releasing information.

## Section II

### MISHAP REPORTING PROCEDURES FOR FEDERAL CIVIL SERVICE PERSONNEL

1. Dispensary Permit, NAWCADLKE 12810/1 (2-94). Supervisors shall use NAWCADLKE 12810/1 to send employees to Medical (Code D-07) after an injury. Civilian employees shall not be permitted to visit Medical (Code D-07) without having obtained this form, unless the nature of the injury dictates immediate medical treatment. If the situation is such that the injured person must have immediate treatment, his or her supervisor shall prepare and deliver this form to Code D-07 with minimal delay. In addition:

a. The employee's immediate supervisor shall prepare the upper half of NAWCADLKE 12810/1 in duplicate specifying what the employee was doing at the time of the injury and what part of the body was injured.

b. The employee shall take the NAWCADLKE 12810/1 to code D-07.

c. Code D-07 personnel shall complete the forms, return the original to the injured employee, and forward the copy to the Human Resources Office, (code 7.3.1.4) who shall record the injury and forward a copy of NAWCADLKE 12810/1 to the OSH Office.

d. When the employees has been found fit for full duty (Class I) and returned to work and no follow up is necessary, the supervisor shall note the

time the employee returned to the job on the original NAWCADLKE 12810/1 and file it.

e. When loss of time from the job is indicated, the employee's supervisor shall retain the original NAWCADLKE 12810/1 until the employee is cleared by Code D-07 to return to work. When the employee returns, the supervisor shall note the date and time of return on the form and file it. All repeat visits to medical will require a new NAWCADLKE 12810/1 completed by supervisor.

f. When the injured employee has returned to work in a light-duty status and/or further treatment is indicated, the employee shall report to the supervisor each time treatment is needed at Medical. The supervisor shall issue a new NAWCADLKE 12810/1 for each treatment. All light duty assignments will be approved by appropriate medical authority and will be reviewed by OSH office personnel. Supervisors will contact the OSH office for review of the light duty assignments.

2. Federal Employees' Compensation. If a work-related injury or illness occurs, the employee will probably be eligible for compensation benefits. Information concerning eligibility and reporting requirements is available in NAVAIRWARCENACDIVINST 12810.1 or from HRO Code 7.3.1.4.

3. Personal injury/Mishap Reports. At the time an injury occurs the immediate supervisor of the injured shall:

- a. Ensure appropriate medical attention is immediately provided.
- b. Secure the area and ensure it is not disturbed if at all possible.
- c. Notify the OSH office.
- d. Assist the OSH office representative in the mishap investigation.

### Section III

#### MISHAP REPORTING PROCEDURES FOR MILITARY PERSONNEL

1. Military Personnel. All Navy military personnel on active duty (USN/USNR); naval reserve personnel (USNR-R) on active duty or in a drill status; naval academy midshipmen; naval reserve officer training corps (NROTC) midshipmen when they are engaged in directed training activities; and other DOD and foreign national military personnel assigned to the Navy or embarked in Navy or Military Sealift Command vessels shall follow the mishap reporting procedures in this section.

2. Military Injury Mishap Reports. As in the case of civil service personnel and nonappropriated fund employees, for military personnel injured on-duty the immediate supervisor shall:

- a. Ensure appropriate medical attention is immediately provided.
- b. Secure the area and ensure it is not disturbed if at all possible.
- c. Notify The OSH Office.
- d. Assist The OSH representative in the mishap investigation.

3. Military Off Duty Mishap Reports. Military off-duty mishaps involving recreation, athletic, home safety and motor vehicles are required to be investigated and reported accordingly. Therefore, all military supervisors or persons in charge shall contact the OSH office when they become aware of a mishap involving their people who are in an off-duty status.

#### **Section IV**

##### **MISHAP PREVENTION AND REDUCTION PLAN**

1. Purpose. This plan provides implementation guidelines to attain the Occupational Safety and Health (OSH) goals set forth by the Naval Air Engineering Station Lakehurst (NAVAIRWARCENACDIVLKE) Executive Steering Committee (ESC) and higher authority.

2. Naval Air Systems Command Goals. Reference (a) set a mishap reduction goal to continuously reduce occupational injuries and minimize compensation payments. The following objectives were established:

- a. Lessen the severity of back injuries.
- b. Reduce lost-time case claims.
- c. Decrease continuation of pay (COP) costs.
- d. Control OWCP chargeback payments.

3. NAES Goals. Reference (b) set a mishap prevention and reduction goal to make safety and health inherent in every process. Specific indicators included:

- a. The number of safety requirements completed.

b. The number of hazards identified.

c. The number and cost of mishaps.

d. These indicators relate to the incident mishap process depicted in Figure (1).

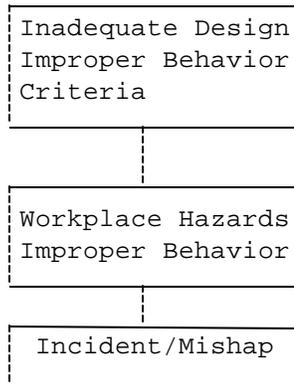


FIGURE 1

4. Philosophy. Mishap prevention and reduction efforts must be based on data. Furthermore, this data must have originated from a large enough sample to make population predictions with reasonable statistical certainty. Efforts must be initiated at the earliest point in the life cycle of a project or system. Early involvement of safety, health, and fire protection principles in the design process is the most effective and least costly way to ensure residual risks are minimized.

5. Action Plan outlines efforts to meet the three primary goals stated in paragraph 3 and outlined in Figure 1.

a. Safety and health requirements are stipulated by instructions, regulations, laws, and otherwise. These requirements almost always reference or incorporate standards, handbooks, and guidelines developed by the Government and industry. Safety and health requirements are developed utilizing relatively large amounts of data usually taken from broad occupational groups. Since the regulatory process for developing safety and health requirements is usually lengthy and complicated, these requirements typically lag the current technology. However, inclusion of published requirements in design processes are the initial and minimum actions to be taken to prevent and reduce future mishaps. Specific actions include process, facility, and purchase reviews as follows:

(1) Process review for OSH considerations:

(a) Industrial operations.

(b) Test Operations.

(c) Construction practices.

- (d) Maintenance practices.
  - (e) Shipping & Receiving Operations.
  - (f) Office Practices.
- (2) Facility review for OSH considerations:
- (a) Internal Changes & "Self-Help."
  - (b) Small scale projects (<\$25K).
    - 1. Shops.
    - 2. Small Contracts.
  - (c) Large scale projects (>\$25K).
    - 1. NAES designed.
    - 2. NAVFAC designed.
- (3) RAPS Purchase Request review for OSH considerations:
- (a) Supply system items.
  - (b) Open purchase items.
  - (c) Items obtained from disposal.

b. The review cited above must be initiated at the earliest point in the life cycle and may need to be updated and performed in greater detail as the design progresses. These reviews are to consider all applicable safety, health, and fire protection technical disciplines such as asbestos hazards, ergonomics, radiation, hazard specific training, etc.

c. Efforts must be continually in place to identify, assess, eliminate or, control workplace hazards. Workplace safety and health hazards can occur as a result of modified processes which did not incorporate safety, health, and fire prevention recommendations; processes which did not receive or received inadequate recommendations; or due to deterioration of processes over time. Specific actions include:

- (1) Current and effective inspection scheduling program.
- (2) Inspections performed on schedule.
- (3) Accurate Log of Deficiencies.
- (4) Deficiency Abatement Plan utilized by the Public Safety Department, customer and Public Works Department.

(5) Periodic deficiency abatement reviews.

d. If an incident or mishap occurs, the hazard prevention and reduction process did not necessarily fail. All processes cannot be analyzed, all hazards cannot be identified, and all risks cannot be eliminated. When an incident or mishap occurs, it becomes the most accurate and realistic data concerning a hazard. An incident or mishap is a hazard which was built into the process, did not get identified or if it did, did not get eliminated or reduced and eventually caused an undesired event. The data collected is useful as feedback in preventing future similar events. We must be careful, however, to distinguish between random variation and special causes if we are using the data for control purposes. Specific actions include:

(1) Timely and complete investigations of all incidents and mishaps.

(2) Improvement and maintenance of an incident/mishap analysis data base.

(3) Acquisition of industry mishap analysis and comparison to NAES rates and severities.

(4) Trend analysis and mishap rate prediction where statistically appropriate.

6. Responsibility. It is primarily the responsibility of the Public Safety Department to implement this action plan with support from Station departments. Departmental responsibilities are delineated throughout reference (c).