



DEPARTMENT OF THE NAVY
COMMANDER
NAVAL EDUCATION AND TRAINING COMMAND
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NETCINST 5100.1D
N00X
21 Feb 2025

NETC INSTRUCTION 5100.1D

From: Commander, Naval Education and Training Command

Subj: NAVAL EDUCATION AND TRAINING COMMAND SAFETY MANAGEMENT
SYSTEM AND SAFETY AND OCCUPATIONAL HEALTH PROGRAM

Ref: (a) OPNAV M-5100.23 of 20 September 2023
(b) OPNAVINST 3500.39D
(c) SECNAVINST 5100.10L
(d) OPNAVINST 1650.28C
(e) OPNAV M-5102.1 of 27 September 2021
(f) CNIC M-5100.1 of 11 December 2023
(g) OPNAVINST 5450.336D
(h) NETCINST 1500.13F
(i) NETCINST 5214.1D
(j) NAVFAC P-300

Encl: (1) Naval Education and Training Command Safety
Management System
(2) Safety and Occupational Health Program
(3) Operational Risk Management
(4) Hazard Abatement
(5) Enterprise Safety Applications Management System
(6) Safety Awards Program
(7) Mishap Investigation and Reporting
(8) Traffic Safety Program
(9) Recreation and Off-Duty Safety Program
(10) Safety Occupational Health Management Evaluation

1. Purpose. To establish amplifying policy and procedures for the Naval Education and Training Command (NETC) Safety Management System (SMS) and the Safety and Occupational Health (SOH) program. This instruction represents a major change that imbeds SMS requirements throughout the entire instruction. Enclosures (1) through (10) provide amplifying guidance to assist each level of command to implement their specific responsibilities for SMS and the SOH program.

2. Cancellation. NETCINST 5100.1C.

3. Background. Reference (a) establishes policy guidance for the management of the Department of the Navy (DON) SOH Program. Reference (b) establishes policy, guidelines, procedures, and responsibilities to standardize the operational risk management (ORM) process across the Navy. Reference (c) establishes DON SOH Program. Reference (d) establishes policy and procedures for nominating and selecting the annual winners of the Chief of Naval Operations (CNO) Safety Awards. Reference (e) establishes safety investigation and reporting policy for all Navy and Marine Corps activities, commands, personnel, and contractors. Reference (f) establishes amplifying guidance for host-tenant relationships in the effective and efficient management of a core safety program. Reference (g) establishes mission, functions, and tasks of NETC. Reference (h) establishes policy and procedures to abate or minimize mishaps during high and moderate-risk (MR) training. Reference (i) establishes policy, responsibility, and guidance for commander's critical information requirements reporting to force development domain on events requiring notification to Commander, NETC (CNETC) and Headquarters (HQ) staff leadership. Reference (j) assists management at all levels in properly discharging their responsibilities in the efficient management of the transportation program. Enclosure (1) of this instruction establishes a framework for a unified and resilient SMS that aligns with the rest of the Navy. All levels of command are responsible for complying with the requirements outlined in enclosure (2) of this instruction. Enclosure (3) of this instruction explains the ORM roles and responsibilities at all levels. Regardless of the hazard identification method, hazards must be abated per reference (a) and enclosure (4) of this instruction. Enclosure (5) of this instruction discusses the NETC adopted Enterprise Safety Applications Management System (ESAMS). Enclosure (6) provides policy and guidance for the CNO and the NETC safety awards. Specific processes for mishap investigation and reporting are contained in enclosure (7). All levels of command are responsible for complying with the requirements outlined in reference (a) and enclosure (8) of this instruction. Enclosure (9) of this instruction discusses the Navy Recreation and Off-Duty Safety Program (RODS), assigns responsibilities, and establishes basic program requirements for the program. Enclosure (10) discusses the Safety and Occupational Health Management Evaluation (SOHME) process.

4. Policy. NETC's primary mission is to educate and train those who serve while providing the tools and opportunities that enable life-long learning and professional and personal growth and development, ensuring fleet readiness and mission accomplishment; and to perform such other functions and tasks assigned by higher authority. While focusing on the mission we must ensure we do not sacrifice safety and we reduce mishaps. Not only are mishaps costly; they seriously degrade operational readiness by causing fatalities, injuries, occupational illnesses, and damage to property and equipment. We must balance our objectives while embracing the principles of risk management (RM), training safety protocol, and the SOH program by instilling sound safety practices in our daily work ethic. All personnel should apply sound judgment and safe work practices in the performance of their duties. Our success is dependent on the combined efforts of all NETC personnel.

5. Scope and Applicability. This instruction applies to all NETC domain government civilian and military personnel, foreign nationals assigned to NETC activities, mobile training teams, and NETC contracted training operations. Echelon 3 and below activities are mandated to promulgate amplifying policy to cover specific requirements within your activities.

6. Responsibility. All levels of command are responsible for implementing and maintaining an aggressive SMS and SOH program per references (a) through (j), as applicable. As stated in reference (g) and this instruction, NETC exercises echelon 2 control and oversight over management support programs and functional areas of subordinate organizations. These include safety programs associated with occupational health, traffic, and recreation safety for staff and students.

7. Records Management

a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned per the records disposition schedules located on the DON Assistant for Administration, Directives and Records Management Division portal page at <https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/Records-and-Information-Management/Approved%20Record%20Schedules/Forms/AllItems.aspx>.

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b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager.

8. Review and Effective Date. Per OPNAVINST 5215.17A, NETC will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency, and consistency with Federal, Department of Defense (DoD), Secretary of the Navy, and Navy policy and statutory authority using OPNAV 5215/40 (Review of Instruction). This instruction will be in effect for 10 years, unless revised or cancelled in the interim, and will be reissued by the 10-year anniversary date if it is still required, unless it meets one of the exceptions in OPNAVINST 5215.17A, paragraph 9. Otherwise, if the instruction is no longer required, it will be processed for cancellation as soon as the need for cancellation is known following the guidance in OPNAV Manual 5215.1 of May 2016.

9. Forms. The following form is available for download from Naval Forms Online (<https://forms.documentservices.dla.mil/order/>): OPNAV 5100/12 (Safety and Occupational Health Deficiency Notice)



G. J. CZEREWKO

Releasability and distribution:

This instruction is cleared for public release and is available electronically on the NETC public web site (www.netc.navy.mil) or by e-mail at netc-directives@usnavy.mil.

NAVAL EDUCATION AND TRAINING COMMAND SAFETY MANAGEMENT SYSTEM

1. Discussion

a. NETC N00X (Safety), is the safety and RM assurance authority for NETC, charged with establishing domain standards, identifying insufficiently mitigated risk, and assessing the NETC risk adjudication processes. NETC is the echelon 2 and is responsible for all subordinate commands' primary SOH focus. NETC must lead by example. NETC will provide expert advice and guidance on what an SMS is and how subordinate commands will effectively execute SMS within NETC.

b. This SMS, in conjunction with the other enclosures in this instruction, establishes a framework for a unified and resilient SMS that aligns with Navy policy. It includes a risk control system and commitment to continual improvement to avoid unnecessary harm to people or equipment damage and ensure NETC readiness.

2. Action. This SMS applies to NETC and subordinate commands. These principles apply at all times and in all operating environments. Therefore, NETC and subordinate commands must use all processes and procedures outlined in references (a) through (j) and this instruction.

3. Desired Outcomes. NETC has fully adopted the desired outcomes from reference (a), referred to as the "4Ps," and is committed to complying with all Occupational Safety and Health Administration (OSHA) regulations, maintaining and enforcing our safety and health programs, identifying and correcting hazards, preparing for emergencies, and providing safety training. The following are specific NETC and subordinate command outcomes:

a. Outcome 1: Safe Place. Safe workplace and working environments include the administrative spaces used by NETC and subordinate commands worldwide where NETC civilians, military members, and contractors conduct training to include locations where high-risk operations occur. NETC ensures safe entry, working, and egress for each of these, including in an emergency. Ensure emergency protocols and systems are operable and tested regularly.

b. Outcome 2: Safe People. All NETC military members, civilians, and contractors directly supervised by NETC, and subordinate commands are trained and qualified on all aspects of conducting their work. Ensure personnel are experienced, proficient, current, procedurally compliant, risk-aware, and fit to work (general health and well-being). All levels of supervision are trained and qualified to ensure that work is conducted as expected. All personnel are engaged, committed to this outcome, and working safely regardless of role or position in the organization.

c. Outcome 3: Safe Property and Material. NETC and subordinate commands must ensure personnel have proper and available tools, equipment, machinery, infrastructure, and whole equipment systems that are safe-to-operate and operate safely.

d. Outcome 4: Safe Processes and Procedures. NETC and subordinate commands ensure standard operating procedures, job hazard analyses, emergency procedures, and maintenance standards are followed and applied.

4. Framework. To effectively deliver the 4Ps and comply with the Navy SMS in reference (a), NETC has adopted the Office of the Chief of Naval Operations (OPNAV) responsibility structure. Figure 1 specifies how they are applicable to NETC.

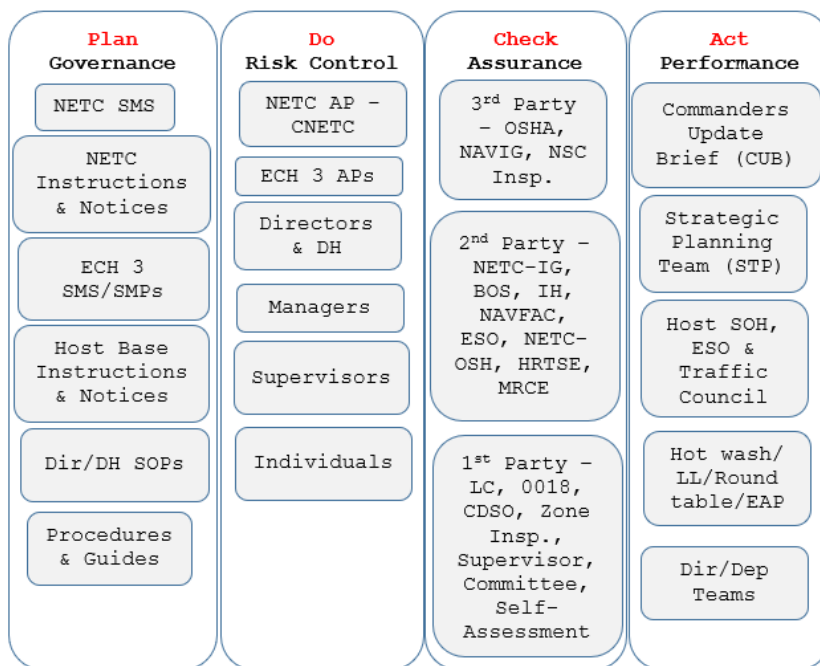


Figure 1: NETC Responsibility Structure

5. Risk Ownership

a. CNETC is the accountable person (AP), and therefore ultimately responsible and accountable for ensuring that NETC and its subordinate commands are both safe-to-operate and operates safely across the 4Ps. Risk Communication Thresholds:

(1) NETC and subordinate commands are expected to exercise RM before commencing on and off-duty tasks, operations, and training per this instruction and reference (b). When the risk has not been reduced or mitigated to as low as reasonably achievable (ALARA), stop activities until controls are in place and the risk has been communicated as specified below.

(2) All personnel are expected to identify and report all injuries, illnesses, near misses, and identified hazards to their immediate supervisor.

(3) Each hazard must be documented, assessed for risk, interim controls applied, and hazard abatement procedures taken per reference (a) and this instruction.

b. Risk Registry and Hazard Review Board (HRB)

(1) NETC and subordinate commands will use ESAMS as a risk registry until the use of the RM Information (RMI) hazard management and inspection modules are mandated. Once the RMI hazard management and inspection modules are mandated for use, RMI will become NETC and all subordinate command's primary risk registry and the main tool for cataloging the aggregated risk impacting the command. All commands are responsible for ensuring accurate and complete data entry in ESAMS and RMI. Learning Center safety managers will ensure safety professionals and collateral duty safety officers (CDSO) at lower echelons understand the requirements and utilize the databases as mandated.

(2) The assurance hierarchy and HRB are synergistic processes that work together to assist decision makers to identify and address risk to anticipate and prevent a pinnacle event. The HRB process mandates periodic reviews of hazard recommendations (HAZREC) and mishap recommendations (MISREC), which allows commands to prioritize actions to remove or mitigate identified risk. HRBs will be established per

reference (e). The HRB will meet at least semi-annually. A memorandum for the record must be created for each HRB meeting and retained at the controlling command for 3 calendar years beyond the current calendar year.

6. Organizational Learning and Assurance

a. NETC has adopted the report, analyze, and get better cycle covered in paragraph A0404 of reference (a).

b. NETC and subordinate commands, military members, civilians, and contractors under the direct supervision of Navy personnel are accountable for their deliberate risk-taking.

c. NETC and subordinate commands, military members, civilians, and contractors under the direct supervision of Navy personnel are accountable for risk communication and must raise all known, discovered, or perceived risks and issues to their immediate supervisor and chain of command (COC).

7. Roles and Responsibilities

a. NETC will:

(1) Be the AP for the organization, and therefore ultimately responsible and accountable for ensuring that all subordinate commands are both safe-to-operate and operates safely across the 4Ps.

(2) Ensure risk communication threshold and guides for SMS implementation throughout NETC and subordinate commands are based on the principles and requirements contained in this instruction and per references (a) and (b).

(3) Ensure NETC and subordinate commands implement and maintain a robust SMS or safety management plan (SMP) that provides a resilient, defense-in-depth based system that:

(a) Includes continuous learning.

(b) Identifies and corrects problems while they are small before growing into more profound systemic issues.

(c) Indicates risk ownership.

(d) Elevates risk if unacceptable or unable to effectively correct or mitigate at the current level.

(e) Formally communicates hazards and near misses.

(f) Establishes accountability at the appropriate level.

(4) Assess the effectiveness of the SMS or SMP throughout the command and subordinate commands. SMS and SMP evaluations will be incorporated into annual self-assessments.

(5) Ensure all leaders and managers understand the responsibility for adequately training their people, identifying and fixing problems under their control, communicating, and accounting for unmitigated risk at the appropriate level in the COC.

(6) Identify and address potential risks to readiness and operations by collecting and analyzing organizational-wide, near-miss, hazards, and mishap related data. Conduct and document HRBs at least semi-annually.

(7) Openly communicate risks and unmitigated risks up and down the COC.

(8) Raise the risk to their higher authority's AP when resources prevent risk mitigation to ALARA.

b. Echelon 3 Commanders as the AP will:

(1) Be the AP for their organization, and therefore ultimately responsible and accountable for safe-to-operate and operates safely across the 4Ps.

(2) Produce a complementary SMS or SMP to meet the requirements within this instruction.

(3) Assess the effectiveness of the SMS and SMP throughout the command, unit, or activity including lower echelons. SMS and SMP evaluations will be incorporated into annual self-assessments.

(4) Ensure subordinate command(s) are properly resourced to execute unit-level safety programs.

(5) Ensure safety managers are documenting and openly communicating risks and unmitigated risks up and down the COC.

(6) Raise the risk to higher command or authority's AP when resources prevent mitigating a risk to ALARA.

(7) Ensure safety managers are conducting HRBs at least semi-annually.

c. Commanding Officers (CO) and Officers in Charge (OIC) will:

(1) Be the AP for the command activity, and therefore ultimately responsible and accountable for safe-to-operate and operates safely across the 4Ps.

(2) Assess how well the requirements and controls of the higher authority SMS or SMP are being executed and maintained as part of the annual self-assessment.

(3) Ensure risk controls are in place and effective to prevent unnecessary harm or loss.

(4) Ensure safety professionals and CDSOs are documenting and openly communicating risks and unmitigated risks up and down the COC.

(5) Raise the risk to higher command or authority's AP when available resources prevent mitigating a risk to ALARA.

d. Personal Accountability

(1) All individuals and teams have a personal responsibility to work safely according to established standards and authorized regulations, instructions, orders, routines, procedures, and processes.

(2) Individuals and teams are to take reasonable care of themselves and others that are affected by their actions.

(3) All Navy personnel are accountable for deliberate risk taking.

(4) All Navy personnel are accountable for risk communication and must raise all known, discovered, or perceived risks and issues to their immediate supervisor or COC.

(5) Report all injuries, illnesses, near misses, and hazards to supervisors.

e. Safety Managers, Safety Professionals, and CDSOs will:

(1) Be responsible for supporting APs to execute an effective SMS or SMP.

(2) Work with APs to assess the effectiveness of the SMS and SMP throughout commands, units, and activities. Document evaluations in annual self-assessments.

(2) Remain independent of those responsible for safely executing work to provide another layer of defense-in-depth to the AP.

(3) Provide advice to leaders, supervisors, and individuals on safety related matters.

(4) Perform and document risk assessments (base operating support (BOS), course risk assessments, etc.).

(5) Maintain a risk registry of risks and issues impacting the overall execution of an effective SMS. Elevate aggregated and unmitigated risks to ensure risk acceptance at the appropriate level.

SAFETY AND OCCUPATIONAL HEALTH PROGRAM

1. Discussion. The success of our SOH program depends on the collaborative efforts of all echelons of command. RM continues to remain the NETC cornerstone for mitigating risks to personnel, property, and equipment.
2. Action. All levels of command are responsible for complying with the requirements outlined in this instruction, as well as references (a) through (j) as applicable.
3. Roles and Responsibilities
 - a. NETC will:
 - (1) Provide amplifying policy, technical advice, direction, guidance, and support on safety matters.
 - (2) Interpret safety standards and regulations and participate in developing new or revised standards, when appropriate.
 - (3) Determine the effectiveness of a command's overall safety posture by conducting subordinate command SOHMEs and reviewing self-assessments.
 - (4) Solicit, collect, and analyze safety related information, as required.
 - (5) Provide a safety professional (GS-0018) to participate in all echelon 3 GS-0018 selection processes across the domain.
 - (6) Conduct a virtual safety committee meeting with all domain safety professionals at least quarterly.
 - (7) Designate a Domain RMI Program Manager in writing to ensure program implementation and quality data entry across all modules. Ensure subordinate commands designate a Command RMI Program Manager.
 - (8) Designate primary and alternate RMI User Administrators (UA) in writing.

(9) Ensure all safety professionals and CDSOs meet SOH training requirements per reference (a) and this instruction. In addition to the baseline requirements of reference (a), NETC N00X will maintain and distribute a NETC Domain Safety Job Qualification Requirement (JQR).

(a) The core tab of the JQR must be completed by all GS-0018s as soon as feasible, pending Naval Safety and Environmental Training Center (NAVSAFENVTRACEN) course availability.

(b) If NAVSAFENVTRACEN course availability will prevent timely completion of the JQR (within 1 year), safety professionals must explore all options for completing courses which are considered equivalent by NAVESAFECOM and NETC N00X.

(c) For GS-0018s that manage high-risk training (HRT) or MR courses, the HRT or MR sections of the HRT-MR tab must also be completed. JQRs must be endorsed by GS-0018 supervisors, COs and OICs, and NETC N00X. The JQR can be downloaded from the "Resources" subdirectory on ESAMS or requested via an e-mail to NETC N00X.

b. Navy Recruiting Command (NRC) and Naval Service Training Command (NSTC). Each command will:

(1) Designate a safety professional who will have sufficient authority and responsibility to effectively represent and support the HQ commander in the management and administration of the safety program for all assigned personnel and subordinate commands. The designated safety professional must report directly to the HQ commander and serve as the SOH program central point of contact (POC) for coordination between NETC N00X and all subordinate commands.

(2) Guide and assist subordinate commands in establishing, coordinating, directing, and evaluating the effectiveness of safety policies, plans, programs, and procedures.

(3) Conduct SOHMEs of subordinate commands to ensure effective SOH programs are in place and meet the requirements of references (a) through (j). Forward results to NETC N00X.

(4) Assist NETC in the collection and analysis of safety related information, as requested.

(5) Designate a Command RMI Program Manager in writing to ensure program implementation and quality data entry across all modules. Ensure subordinate commands designate a Command RMI Program Manager.

(6) Designate primary and alternate RMI UAs in writing.

c. Echelon 3 Commands will:

(1) Assist NETC in the collection and analysis of safety related information, as requested.

(2) Provide guidance, policy, and support to subordinate commands in implementing requirements of this instruction and references (a) through (j).

(3) Communicate and ensure implementation of new or revised policy and guidance to subordinate commands.

(4) Provide assistance to subordinate commands that are having difficulty obtaining BOS safety services as defined by reference (f), as required. If on-site support is required, direct reporters will request the nearest BOS service to provide support.

(5) Designate an E-7 or above command CDSO unless a GS-0018 is assigned. The safety professional must be permanently assigned to the activity unit identification code (UIC) and meet all the professional requirements contained in reference (a), as applicable. The safety professional or command CDSO must also complete the required tabs of the NETC Safety Domain JQR as soon as feasible, pending NAVSAFENVTRACEN course availability. If NAVSAFENVTRACEN course availability will prevent timely completion of the JQR (within 1 year), safety personnel must explore all options for completing courses which are considered equivalent by NAVESAFECOM and NETC N00X. The JQR can be downloaded from the "Resources" subdirectory on ESAMS or requested via an e-mail to NETC N00X. Once completed, e-mail a copy to NETC N00X for final endorsement.

(6) Ensure all subordinate commands have designated a CDSO in writing. Ensure all subordinate CDSOs complete a safety JQR that has been developed and promulgated by the immediate superior in command (ISIC) prior to designation.

(7) Serve as the SOH program central POC for coordination between NETC N00X and all subordinate commands.

(8) Not be authorized to conduct formal triennial SOHMEs. NETC N00X retains that responsibility to ensure consistency throughout the NETC domain.

(9) Conduct and forward an annual safety program self-assessment via the COC for inclusion into NETC's N00X annual safety self-assessment. This will be accomplished via an official tasker from NETC N00X.

(10) Evaluate BOS SOH services provided to commands, units, and activities and determine effectiveness.

(11) Advise NETC N00X when a host installation denies BOS safety services to a subordinate activity.

(12) Use ESAMS and RMI for safety management efforts.

(13) Ensure any memorandums of understanding or memorandums of agreement and interservice support agreements (ISSA) include mishap investigation and reporting responsibilities, as applicable.

(14) Assist subordinate commands with implementing applicable SOH programs when they are exposed to occupational hazards (e.g., respiratory protection, sight conservation, hearing protection, etc.).

(15) Assist NETC in development of SOH program policy, procedures, and implementation, as requested.

(16) Develop an e-mail distribution list of all subordinate commands, units, and activity's safety professionals and CDSOs to aid in distribution and dissemination of SOH program related materials received from NETC HQ.

(17) Assist subordinate command personnel with entering mishaps into RMI. Monitor all mishap report e-mails from RMI and assist supported activities, as applicable. Close mishaps within established timelines and ensure accuracy of the report. Specific processes for mishap investigation and reporting are contained in enclosure (7).

(18) Ensure the supported activity COC and NETC N00X are promptly notified when safety issues negatively impact mission.

(19) Assist NETC N00X in the performance of oversight inspections, risk assessments, mishap investigations, and other HQ level safety functions, as requested.

(20) Assist subordinate commands, units, and activities with the completion and submission of required safety related reports and data calls, as requested.

(21) Ensure implementation of applicable SOH programs when a formal course exposes students or staff to occupational hazards. If a formal course exposes students or staff to occupational hazards, then the activity is responsible for establishing and managing the applicable safety program. The host installation is not responsible for providing this service unless agreed to under an ISSA or BOS agreement.

(22) Attend NETC Safety Quarterly Committee Meetings. Meeting attendance is mandatory.

(23) Conduct a safety committee meeting with all safety personnel and CDSOs at least once per quarter and record in ESAMS.

(24) Designate a Command RMI Program Manager to ensure program implementation and quality data entry across all modules. Ensure subordinate commands designate a Command RMI Program Manager.

(25) Designate primary and alternate RMI UAs in writing. Utilize the letter of designation and user agreement provided in RMI.

(26) Notify NETC N00X to participate in all echelon 3 GS-0018 hiring processes. NETC N00X will provide a NETC safety

professional to evaluate resumes and participate on the hiring board. NETC N00X Director must provide concurrence on all echelon 3 hiring actions for GS-0018s across the domain.

(27) Assign an echelon 3 GS-0018 to participate in hiring processes for GS-0018s at subordinate commands.

d. Echelon 4 or Subordinate Activities will:

(1) Provide all employees a safe and healthful working environment.

(2) Designate a CDSO unless a safety professional (GS-0018) is assigned. The designation letter will identify specific duties and responsibilities CDSOs must complete their ISIC's JQR prior to designation. Completion of the NAVSAFENVTRACEN courses, Introduction to Naval Occupational Safety and Health A-493-0050 or A-493-0550 (Global Online), Introduction to OSHA for other federal agencies - OSHA 6008, and Mishap Investigation A-493-0078 must be required in the JQR. If completion of the mishap investigation course is not feasible prior to designation due to NAVSAFENVTRACEN course availability, CDSOs must complete as soon as possible in order to be identified as a mishap investigator within RMI.

(3) Ensure that if a GS-0018 safety professional is assigned, that they meet all of the training requirements contained in reference (a), as applicable. The safety professional must also complete the required tabs of the NETC safety domain JQR as soon as feasible, pending NAVSAFENVTRACEN course availability. If NAVSAFENVTRACEN course availability will prevent timely completion of the JQR (within 1 year), safety professionals must explore all options for completing courses which are considered equivalent by Naval Safety Command (NAVSAFECOM) and NETC N00X. The JQR can be downloaded from the "Resources" subdirectory on ESAMS or requested via an e-mail to NETC N00X. Once completed, e-mail a copy to NETC N00X for final endorsement.

(4) Ensure subordinate activities and their designated CDSOs comply with references (a) through (j) and the local host installation BOS safety programs, as applicable.

(5) Provide annual NAVSAFECOM SOH training needs assessment to the ISIC for consolidation and further reporting to NETC N00X, when directed.

(6) Conduct and forward an annual safety program self-assessment to the ISIC for inclusion into the annual NETC N00X self-assessment tasker.

(7) Implement mishap prevention strategies.

(8) Notify echelon 3 GS-0018 to provide a safety professional to participate in all GS-0018 hiring boards.

(9) Use ESAMS and RMI for SOH program management efforts.

(10) Ensure implementation of applicable SOH programs when a formal course exposes students or staff to occupational hazards. If a formal course exposes students or staff to occupational hazards, then the activity is responsible for establishing and managing the applicable safety program. The host installation is not responsible for providing this service unless agreed to under an ISSA or BOS agreement.

(11) Liaise with host installation safety office to communicate ISSA or BOS safety requirements.

(12) Develop all required risk assessments.

(13) Coordinate with the supporting ISIC to ensure compliance with the applicable requirements of this instruction and references (a) through (j).

(14) Ensure that all newly reporting staff personnel receive command and host installation safety orientation (where applicable), and document in ESAMS. Also, enter contractors that support the command's mission when required by their contract.

(15) Participate in host installation safety committee meetings, where feasible, and disseminate safety related information to all hands.

(16) Ensure CDSOs serve as the POC for all safety related issues.

(17) Utilize the services of the ISIC to provide guidance and assistance with SOH matters.

(18) Designate a Command RMI Program Manager to ensure program implementation and quality data entry across all modules.

(19) Attend quarterly echelon 3 Safety Committee Meetings.

(20) Ensure GS-0018 participation in the NETC Safety Quarterly Committee meeting. CDSO participation is not mandated; however, it is highly encouraged.

OPERATIONAL RISK MANAGEMENT

1. Discussion

a. Risk is inherent in all tasks, whether training, operations, or personal activities, no matter how routine. The most common cause of task degradation or mission failure is human error, specifically the inability to consistently manage risk. As professionals, Navy personnel are responsible for managing risk in all tasks, while leaders at all levels are responsible for ensuring proper procedures are in place, and appropriate resources are available for their personnel to perform assigned tasks. The Navy's vision is to develop an environment in which every officer, enlisted, or civilian is trained and motivated to personally manage risk in everything they do, this includes on- and off-duty activities.

b. RM reduces or offsets risks by systematically identifying hazards, assessing, and controlling the associated risks, while allowing decision making that weighs risks while assessing the potential impact on operations.

2. Roles and Responsibilities

a. NETC will:

(1) Provide amplifying guidance to enhance domain-wide safety posture.

(2) Evaluate subordinate command policies and implementation of the ORM process during triennial SOHMEs.

(3) Ensure the correct ORM training is incorporated at the appropriate level of leadership.

(4) Ensure risk assessments are part of the decision-making process.

(5) Identify and manage risk caused by changes that may affect established processes utilizing reference (b).

(6) Ensure aggregated and unmitigated risks are identified, reported, and accepted by leadership at the appropriate levels.

b. Echelon 3 and Subordinate Activities will:

(1) Ensure the commander, CO, or OIC designates the executive officer or equivalent as the ORM program manager in writing.

(2) The ORM program manager will select at least one officer and one senior enlisted person, or a civilian equivalent, for designation as ORM assistants.

(3) All military and civilian personnel will be assigned the appropriate ORM level in ESAMS and complete ORM training as applicable. Ensure operational, non-operational, and off-duty ORM is included in the command indoctrination and training.

(4) Apply the ORM process to command operations and activities (other than formalized training) per reference (b). The ORM process for formalized training courses is contained in references (b) and (h), as applicable.

(5) Review all risk assessments annually and when processes, operations, activities, and tasks have changed since the initial assessment.

(6) Apply ORM strategies to eliminate occupational injury or illness and loss of mission capability and resources both on- and off-duty.

(7) Communicate hazards, along with the controls and causal factors, throughout the command.

(8) Identify and manage risk caused by changes that may affect established processes.

(9) Ensure aggregated and unmitigated risks are identified, reported, and accepted by leadership at the appropriate levels.

HAZARD ABATEMENT

1. Discussion. Hazard identification and abatement. Hazards can be identified through periodic internal inspections, industrial hygiene surveys, employee unsafe/unhealthful reports, self-assessments, and oversight evaluations. They can also be identified from mishap investigation reports as HAZRECs and MISRECs. Command, unit, and activity safety professionals and CDSOs are responsible for managing the hazard identification and abatement program. For hazards that are work process related, the owner of the work process manages hazard abatement. For hazards that are facility related, the owner of the facility manages hazard abatement. Regardless of the hazard identification method, hazards must be abated per reference (a) and this instruction.

NOTE: HAZRECs and MISRECs have additional mandatory abatement tracking and processing requirements listed in reference (e) and enclosure (7) of this instruction.

2. Roles and Responsibilities

a. NETC will:

(1) Provide amplifying policy, technical advice, directional guidance, and support on hazard abatement issues.

(2) Determine the effectiveness of a command's hazard abatement program by conducting subordinate command SOHMEs, reviewing self-assessments, and conducting HRBs.

b. Echelon 3 and Subordinate Activities:

(1) Risk Assessment. The command, unit, or activity safety office will assign each identified hazard a risk assessment code (RAC) utilizing reference (b) if it cannot be corrected immediately. The RAC represents the degree of risk associated with the hazard and combines the elements of hazard severity and mishap probability. When a hazard has been discovered to be an imminent danger situation (RAC 1 and RAC 2), provide immediate notification to the affected employees and the CO. Immediate hazard abatement action must be taken, or the operation must be terminated.

(2) Hazard Abatement Notification, SOH Deficiency Notice. The command safety representative will describe workplace hazards with a RAC of 1, 2, or 3 that cannot be corrected immediately, in section A of OPNAV 5100/12 (SOH Deficiency Notice). Hazards with a RAC 1, 2, or 3 will be tracked in the ESAMS inspections, deficiency, and abatement tracking system (IDATS) module and RMI hazard abatement module once its use is mandated for inspections. IDATS and RMI are the preferred methods for maintaining a risk registry as required by reference (e) and enclosure (1) of this instruction. The command safety professional or CDSO will forward a copy of the notice to the official in charge of the operation where the hazard exists. The workplace supervisor will post a copy of the notice in the area of the hazard until the hazard has been corrected. The command safety professional or CDSO will update the notice, as necessary, to accurately reflect the status of the abatement action and required interim controls. The command safety professional or CDSO may also use the notices and IDATS for documenting the correction of RAC 4 and 5 hazards as deemed appropriate.

(3) Abatement Plans. The person responsible for abatement will take prompt action to correct the hazard, and within 30 days of the date of the notice, will complete section B of the SOH Deficiency Notice and return a copy to the safety office and update IDATS, as applicable. RMI will be utilized for managing open MISRECs and HAZRECs and for determining, managing, and accepting the risks associated with those MISRECs and HAZRECs. The command, unit, or activity will implement interim protective measures pending permanent abatement and list interim corrections on the notice. The notice will also indicate the status of the hazard, and if the hazard has been corrected or specific abatement action has been taken. Hazards assigned RACs 1, 2, or 3 that require more than 30 days for correction must be recorded in a formal hazard abatement plan and will be added to the risk registry. IDATS and RMI are an acceptable documentation method for both.

(4) Interim Controls. Commands, units, or activities may be unable to immediately abate deficiencies under normal working conditions, and some hazards may require temporary measures to protect employees from harmful exposure. Therefore, appropriate interim controls will be established as soon as unsafe or unhealthful exposures are identified. Where

engineering controls are not immediately applicable, administrative controls and personal protective equipment (PPE) are appropriate for use as interim hazard abatement measures. Such controls will be documented on the OPNAV 5100/12. The safety professional or the CDSO responsible for abatement oversight will review and approve interim protective measures in effect for more than 30 days and revise, as appropriate.

(5) Permanent Hazard Abatement. If elimination or substitutions are not possible, engineering controls are the preferred method of hazard abatement, followed by administrative controls, and PPE. Follow-up inspections must be conducted and documented in IDATS to verify that corrections have been made.

(6) Offices of Primary Responsibility of open MISRECs and HAZRECs must provide an update at least every 6 months in RMI until the MISREC or HAZREC is closed.

ENTERPRISE SAFETY APPLICATIONS MANAGEMENT SYSTEM

1. Discussion

a. Reference (a) requires NETC to establish, maintain, and monitor a records reporting and feedback system that manages safety program documentation requirements, identified hazards, and assesses risk controls within the NETC SMS. ESAMS is the NETC adopted web-based safety data management system and oversight tool that allows management and safety personnel to track and trend a variety of safety applications and reports until RMI can be used for all of these functions. ESAMS has been adopted by NETC as the safety and records management system, and its use is mandatory.

b. ESAMS is no longer the data management system of record for mishap and near-mishap reporting. All mishaps and near-mishaps must be reported in RMI per reference (e) and enclosure (7) of this instruction.

2. Action. All NETC commands will fully implement ESAMS.

3. Roles and Responsibilities

a. NETC will:

(1) Promulgate ESAMS-related policy.

(2) Designate an ESAMS coordinator for the NETC domain. The ESAMS coordinator will assist in the development and approval process for specific duty tasks and assign access levels for subordinate activity administrators

(3) Attend ESAMS annual stakeholder's meeting to bring forward relevant issues.

(4) Provide assistance and training to subordinate commands, as requested.

(5) Evaluate ESAMS usage during periodic SOHMEs.

b. Echelon 3 Commands will:

(1) Designate an ESAMS coordinator in writing. Provide name and contact data to the NETC ESAMS coordinator so appropriate accesses and duty tasks can be provided based on anticipated duty assignments.

(2) Assist subordinate commands in using ESAMS for documentation of safety-related training, active duty motorcycle questionnaire, collection of required safety program data, medical surveillance, inspections, evaluations, hazard abatement, and trend analysis, at a minimum.

(3) Ensure command's active duty military and civil service employees are entered into ESAMS during the command check-in process. Only contractors involved in HRT must be entered to support HRT instructor documentation requirements contained in reference (h).

(4) Conduct frequent reviews of ESAMS data to ensure subordinate commands are utilizing ESAMS to its fullest extent.

(5) Ensure the ESAMS coordinator reviews applicable ESAMS instructional manuals located on the ESAMS main page under "HELP."

(6) Submit requests for ESAMS data changes or modifications to the NETC ESAMS coordinator. Activities are not authorized to communicate directly with HGW and Associates, LLC for ESAMS data changes or modifications. This does not affect any activity's ability to request password resets and other simple inquiries.

c. Echelon 4 and Subordinate Activities will:

(1) Designate an activity ESAMS coordinator in writing. Provide name and contact data to ISIC so appropriate accesses and duty tasks can be assigned.

(2) Ensure the activity ESAMS coordinator reviews applicable ESAMS instructional manuals located on the ESAMS main page under "HELP."

(3) Submit requests for data changes or modifications to ESAMS to the NETC ESAMS coordinator via the COC. Activities are not authorized to communicate directly with HGW and Associates, LLC for ESAMS data changes or modifications. This does not affect any activity's ability to request password resets and other simple inquiries, etc.

(4) Ensure all employees maintain an active ESAMS account, complete all required training, and verify e-mail and phone number data is correct.

(5) Ensure all safety-related deficiencies are entered into ESAMS and that steps are taken to abate the hazard and mitigate the risk per reference (a) and enclosure (4) of this instruction.

d. Activity ESAMS Coordinator will:

(1) Utilize ESAMS for management of safety programs to include documentation of safety related training, collection of data driven metrics, medical surveillance, inspections, evaluations, deficiencies, and trend analyses.

(2) Ensure active duty military and civil service employees are entered into ESAMS and assigned the correct duty tasks for the local area during the command check-in process. Also, ensure employee's ESAMS accounts are deactivated, noting retirement or transfer during the check-out process. Contractors involved in HRT or ESAMS support must also be entered to support HRT instructor documentation requirements contained in reference (h).

(3) Review applicable ESAMS instructional manuals located on the ESAMS main page under "HELP."

(4) Review command compliance reports in ESAMS and take appropriate action.

(5) Submit any requests for data changes or modifications to the NETC ESAMS coordinator via the COC. Activities are not authorized to communicate directly with HGW and Associates, LLC for ESAMS data changes or modifications.

SAFETY AWARDS PROGRAM

1. Discussion. Safety awards recognize outstanding support and achievement in SOH and HRT safety (HRTS). This enclosure provides policy and guidance for the CNO and the NETC Safety Awards.

a. Commands are strongly encouraged to submit nomination packages for the NETC Safety Awards. The five separate awards recognize outstanding support and achievement in SOH and HRTS. Packages must be submitted to NETC N00X, via the COC, arriving no later than 31 December. NETC N00X will not consider packages that do not follow guidance in this enclosure, or any received after the deadline. The categories for the NETC safety awards are:

(1) NETC Activity SOH Safety Award. This category applies to any command or activity within the NETC domain.

(2) NETC Activity HRTS Safety Award. This category applies to any command or activity that conducts HRT.

(3) Dale Ault Civilian Safety Professional Award (GS-0018/0019 Series). This category pertains strictly to civilian (Civil Service) safety professionals acting in full time safety professional roles. Nominations for this award will not be accepted. NETC N00X will determine this award winner based on a review of ESAMS data of the supported activities and knowledge of the individual's accomplishments. NETC N00X may request specific information to verify accomplishments.

(4) NETC CDSO Award. This category pertains to civilian and military personnel serving in a collateral duty SOH position.

(5) NETC HRTS Officer (HRTSO) Award. This category pertains to civilian and military personnel serving as a HRTSO.

b. Commands are strongly encouraged to submit a nomination package for the CNO Shore Safety Awards. These awards are presented annually on a fiscal year basis to shore activities based on the overall quality of their SMS and RM programs, mishap prevention records, and contributions to the Navy's safety program. Activities must ensure nomination packages

follow the guidance of CNO Shore Safety Award for non-industrial activities, and address all required elements provided in reference (d) enclosure (3). Packages must be submitted to NETC N00X, via the COC, arriving no later than 30 November. Commands are also encouraged to establish safety related on-the-spot awards for individuals that demonstrate significant contribution to the command's safety program.

2. Action. All NETC activities will comply with the award processes provided in this enclosure and the NETC annual safety award announcement that will be provided via Enterprise Task Management Solution System from NETC N00X.

3. Roles and Responsibilities

a. NETC will:

(1) Provide policy and guidance covering submission criteria for NETC Safety Award packages.

(2) Prepare and send, by 30 September, an announcement e-mail detailing award submission dates, submission package requirements, and any changes to award nomination criteria.

(3) Encourage activities to submit an award package for the NETC activity SOH, activity HRTS, CDSO, and the HRTSO awards, and solicit nominations for the CNO safety award.

(4) Review all award submissions and select the most qualified nominee in each category as the award recipient.

(5) Select the most qualified individual to receive the Dale Ault Civilian Safety Professional Award.

(6) Ensure awardees of NETC safety awards receive appropriate recognition.

b. Echelon 3 Commands and Subordinate Activities will:

(1) Forward the NETC annual safety awards announcement and encourage nominations for each category.

(2) Review all nomination packages to ensure they are in appropriate format and contain required information.

(3) Forward one nomination package from each category to arrive at NETC N00X no later than 31 December via e-mail to [NETC HQ Safety N00X@us.navy.mil](mailto:NETC_HQ_Safety_N00X@us.navy.mil). NETC N00X will not consider packages received after the deadline. Electronic submittals are required.

c. Submitting Activities will:

(1) Review award criteria and complete applicable nomination package.

(2) Submit safety award nominations to their ISIC for consideration and endorsement, to arrive no later than 30 November.

4. Format. All NETC safety award submissions will use the following applicable format:

a. Activity Safety Award (SOH and HRTS)

(1) SOH. Each nomination package for an Activity SOH Safety Award must comply with the following criteria:

(a) Limit to five pages.

(b) Include an introduction, including major mission, number of civilian and military personnel, as well as number of buildings and training areas.

(c) Address the scoring elements provided in paragraph 5a(1) through 5a(4) of this enclosure.

(2) HRTS. Each nomination package for an activity HRTS Safety Award must comply with the following criteria:

(a) Limit to five pages.

(b) Include an introduction, including major mission, number of civilian and military personnel, as well as the number of buildings and training areas.

(c) Address the scoring elements provided in paragraph 5b(2) (a) through 5b(2) (c) of this enclosure.

b. Individual Awards (CDSO and HRTSO)

NOTE: Nominations for the Dale Ault Civilian Safety Professional Award will not be accepted. NETC N00X will determine an annual winner for this award based on internally developed criteria.

(1) Nomination packages will be no more than three pages.

(2) Each nomination must contain the following, at a minimum:

(a) Date of safety assignment.

(b) Any special qualifications achieved while at current command.

(c) The package must address scoring elements provided in paragraph 5c(1) through 5c(5) or 5d(1) through 5d(4) of this enclosure, as applicable.

5. Scoring and Selection. Once the nomination packages are received by NETC N00X, they will be scored using the guidance listed below. The activity or individual with the highest score in each category will be selected as the winner. Once the selection process is complete, commands will be notified, and awards will be presented to selectees in each category via their CO.

a. SOH Activity Safety Award. The activity must mention all SOH program elements applicable to the activity.

(1) Safety Policy: 0-10 points. Clearly defined policies, procedures, and organizational structure that explicitly describe responsibility, authority, accountability, and the expectation that safety must be a core value. Culture of safety leadership and employee participation (e.g., how was the command's culture changed to focus on early identification and resolution of safety issues; how did safety committees, employee safety recognition programs, or meaningful activities contribute to the change in safety culture).

(2) RM: 0-25 points.

(a) Review of 3-year hazard abatement data, including how hazards were abated.

(b) Review of 3-year civilian mishaps.

(c) Review of 3-year military mishaps.

(d) Review of 3-year government vehicle mishaps.

(e) Review of efforts to reduce mishaps.

(3) Safety Assurance: 0-25 points.

(a) Policies, process measures, assessments, oversight, and controls in place for data collection and analysis to ensure safety goals are achieved.

(b) What are the predictive or "leading" performance measures or indicators to identify and correct problems and opportunities for risk reduction before injuries or illness occur (e.g., near-miss incidents, non-conformance during inspections, risk associated with ergonomic factors, etc.)?

(c) What is the process to ensure the necessary information is available for management to evaluate the continuing suitability, adequacy, and effectiveness of the SOH program? How are the results presented to focus management on the SOH elements most in need of their attention?

(d) What documentation and ongoing monitoring are implemented to support hazard tracking and analysis?

(4) Safety Promotion: 0-20 points.

(a) How are lessons learned used to help mitigate safety risks?

(b) Provide actual lessons learned and best practices or implementation strategies that helped mitigate safety risks.

(5) Degree of difficulty (determined by NETC): 0-20 points.

b. HRTS Activity Safety Award

(1) ESAMS data

(a) HRTSO. Is training completed, required observation notes entered with required information, letter of designation that includes all required elements, risk assessment entered, and HRTSO ESAMS page completed? 0-10 points.

(b) Instructors entered into ESAMS, all required training completed, screening dates entered, all evaluation data entered. 0-10 points.

(c) Emergency action plan quarterly walk-through and annual drill documented. Annual drills are realistic and different each year. All data elements entered. 0-10 points.

(d) Risk assessment completed, using correct form, approved within 1 year, approval signature, all hazards identified, all potential injuries identified, accurate controls, and realistic RACs. 0-10 points.

(e) Performance on recent HRTS Evaluations. 0-15 points.

(2) Nomination Package

(a) Safety Policy. 0-10 points.

(1) What makes your program stand out?

(2) How does your safety policy equate to improved safety?

(b) RM. 0-10 points.

(1) What are examples of risk associated with your course(s)?

(2) How did you mitigate each risk?

(c) Safety Promotion. 0-15 points.

(1) List examples of initiatives and how they improved your safety posture.

(2) List lessons learned and best practices.

(3) List examples of leadership involvement.

(d) Degree of difficulty (determined by NETC).
0-25 points.

c. CDSO Award

(1) Leadership

(a) Overall scope of leadership. 0-10 points.

(b) How well does nominee promote safety? 0-5
points.

(c) Safety training completed. 0-5 points.

(d) List of improvements made to the safety program.
0-5 points.

(2) Mishap Reduction Efforts

(a) Number of mishap and near mishaps. 0-10 points.

(b) Mishap reduction efforts. 0-10 points.

(3) ESAMS

(a) All personnel entered, and job duty task codes
assigned. 0-5 points.

(b) All personnel have completed required safety
training. 0-5 points.

(4) SOHME

(a) What impact did the CDSO have on the overall
results of the SOHME? 0-15 points.

(b) SOHME program compliance. 0-15 points.

(5) RM. Examples of use, both on- and off-duty. 0-10 points.

(6) Degree of difficulty (determined by NETC). 0-25 points.

d. HRTSO Award

(1) Leadership

(a) Overall scope of leadership. 0-10 points.

(b) Examples of how nominee promotes safety. 0-10 points.

(c) List of improvements made to the safety program. 0-10 points.

(2) HRTSE

(a) What impact did nominee have on overall results of HRTSE? 0-15 points.

(b) HRTS program compliance. 0-15 points.

(3) Mishap Reduction Efforts

(a) Number of mishaps and near-mishaps. 0-5 points.

(b) Nominee's mishap reduction efforts. 0-5 points.

(4) ESAMS

(a) HRTSO. Is training completed, required observation notes entered with required information, letter of designation that includes all required elements, risk assessment entered, and HRTSO ESAMS page completed? 0-5 points.

(b) Instructors entered into ESAMS, all required training completed, screening dates entered, all evaluation data entered. 0-5 points.

(c) Emergency action plan quarterly walk-through and annual drill documented. Annual drills are realistic and different each year. All data elements entered. 0-5 points.

(d) Risk assessment completed, using correct form, approved within one year, approval signature, all hazards identified, all potential injuries identified, accurate controls, and realistic RAC. 0-5 points.

(e) Mishaps Investigated, entered in ESAMS, validated, and closed. 0-5 points.

(5) Degree of difficulty (determined by NETC). 0-25 points.

MISHAP INVESTIGATION AND REPORTING

1. Discussion

a. Mishaps seriously degrade operational readiness through death, injuries, occupational illnesses, and equipment damage. Therefore, it is NETC policy to provide our students and staff a safe and healthy working environment. Unsafe conditions, reckless behavior, insufficient training, and complacency often lead to mishaps.

b. The prevention of mishaps requires steadfast commitment and accountability by all parties. When efforts fail and a near miss or mishap occurs, the safety professional, CDSO, and those assigned to investigate mishaps will focus on identifying causal factors and formulating corrective measures to help preclude further mishaps.

c. Investigation procedures, reports, and records required by reference (e), as well as the procedures contained in this instruction, are designed to assist investigating officials in their efforts.

d. Air Force Safety Automated System RMI is a web-enabled, role-based system and is the single program of record (POR) for capturing and analyzing all aviation, afloat, ground, and motor vehicle mishaps. The shortened acronym RMI is synonymous with the RMI POR.

e. The RMI database application is required for reporting, recording, and analyzing all mishaps, near misses, and incidents. The RMI database is DoD common access card enabled and is available on the NAVSAFECOM web site or accessible via <https://afsas.safety.af.mil/>. Navy and Marine Corps personnel must use the RMI to report mishaps, near misses, and incidents as required by references (a) and (e).

2. Action. All levels of command are responsible for complying with the processes and procedures outlined in reference (e) and this instruction.

3. Roles and Responsibilities

a. NETC will:

(1) Provide amplifying policy, guidance, and oversight.

(2) Provide appointment letters for a Standing Safety Investigation Board (SSIB) from NETC HQ. SSIB members must start the investigation into the mishap on the ground within 72 hours, and may or may not be, replaced with other safety investigation members for the Safety Investigation Board (SIB).

(3) Appoint a SIB, in writing, for:

(a) All on-duty class A personnel mishaps occurring on a U.S. Government installation. This includes an on-duty injury where death or permanent total disability is likely to occur.

(b) All on-duty class A personnel mishaps occurring off a U.S. Government installation, while performing official duties. This includes an on-duty injury where death or permanent total disability is likely to occur.

(c) Military personnel fatality or permanent total disability that, in the opinion of a competent medical authority, was associated with a medical event (e.g., chest pain, heart attack, coma, etc.) that commenced during or after any on-duty physical training, remedial physical training, physical readiness test, physical fitness testing, physical fitness assessment or command-sponsored physical activity (e.g., conditioning hikes, screening, etc.), regardless of any pre-existing medical condition.

(d) On- or off-duty military personnel work-related injury or illness where three or more personnel were hospitalized for inpatient care (e.g., beyond observation, diagnostic testing, administrative reasons, or counseling) as a result of a single mishap. On-duty work-related injury or illness where three or more personnel with at least one of whom is a DoD civilian were hospitalized for inpatient care as a result of a single mishap.

- (e) Training-related fatality.
 - (f) All live-fire mishaps resulting in an injury.
 - (g) Public and private property damage estimates meet or exceed or may be expected to meet or exceed, \$2.5 million.
 - (h) All afloat Class A mishaps involving allision, collision, fire, flooding, or grounding.
 - (i) All Class A explosives mishaps.
 - (j) All Class A chemical agent mishaps.
- (4) Any mishap (including near miss) where NETC determines a more thorough investigation and report, beyond that provided by a command's safety investigation, is required.
- (5) Appoint a single investigating officer (SIO). The convening authority (CA) can appoint an SIO to investigate any mishap, and near miss, not investigated by an SIB. Any SIO will be trained per reference (e).
- (6) Ensure a safety investigation report is submitted in RMI for all Class A and B mishaps. All safety investigations should be completed within 30 days. If the investigation cannot be completed within the required time, the SIB or SIO must request an extension from the CA.
- (7) Be assigned as the CA in RMI for all Class A and B mishaps.
- (8) Report all fatalities, regardless of method (e.g., suicide, homicide, murder, medical, etc.), to NAVSAFECOM per reference (e).
- (9) Ensure all DON civilian on-duty fatalities occurring within the United States or its territories are reported to NAVSAFECOM and the nearest OSHA area or regional office within 8 hours of having knowledge of the mishap.

(10) Review on-duty Class A mishaps involving civilian contractors for any mishap prevention lessons learned applicable to the DON.

(11) Incorporate mishap prevention, investigation, and reporting into the training requirements of training manuals, master training plans, or training guides.

(12) Designate RMI UAs in writing. RMI UAs manage users within their UIC and below.

(13) Ensure all echelon 3 commands have established a process to ensure all reportable mishaps are entered into RMI within 5 days, are opened, reviewed, and closed out no later than 30 days, unless extensions are granted using RMI messaging.

NOTE: RMI user guides, videos, and additional resources are available at: <https://navalsafetycommand.navy.mil/Resources/RMI/>.

NOTE: HAZRECs, MISRECs, and memorandum of final evaluation (MOFE) have additional mandatory abatement tracking and processing requirements listed in reference (e) and enclosure (7) of this instruction.

(14) Promote the sharing of lessons learned and other safety-related information including mishap and near-miss information.

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

b. Echelon 3 Commands will:

(1) Notify the NETC Staff Duty Officer (SDO) and NETC N00X of all Class A and Class B mishaps. Report all fatalities, regardless of method (e.g., suicide, homicide, murder, medical, accident, etc.), to NAVSAFECOM and NETC by telephone or other electronic means. There are other reporting requirements that may be applicable depending upon the nature and circumstances of the event. These requirements, though not safety related, are

essential in ensuring that due diligence is executed regarding the care of mishap victims as well as providing adequate notifications.

(2) The following should also be considered:

(a) Situational report (SITREP), operational report (OPREP), personnel casualty report (PCR), and line of duty and misconduct determination.

(b) Further consultation with legal officer or Judge Advocate General's Corps (JAG) may be required to determine if a preliminary inquiry (PI), Command Investigation (JAGMAN) or other investigation (e.g., an investigation to gather facts in anticipation of litigation) is required.

(c) While these additional reporting requirements may not fall under the safety responsibility, it is beneficial to have awareness of them and maintain an open line of communication throughout to ensure full compliance.

(3) Ensure all reportable staff and student mishaps are investigated and reported per reference (e) and this instruction.

(4) At the discretion of each echelon 3, report events below the minimum thresholds set forth in reference (e) and this instruction (e.g., some on duty Class E mishaps, off-duty Class D mishaps) if doing so furthers mishap prevention efforts.

NOTE: All ISICs must ensure that subordinate commands only investigate and report mishaps for personnel assigned to NETC UICs. If a student or staff member is ordered into a fellow service liaison office and command, then all on-duty mishaps will be jointly investigated but reported by the members' liaison office or command. All off-duty mishaps will be investigated and reported by the member's service liaison office and command.

(5) Assist NETC N00X in conducting mishap investigations, as requested.

(6) Conduct annual mishap trend analysis (or more frequent if desired) for all mishaps at own activity as well as subordinate commands, assessing the effectiveness of the command's mishap prevention efforts. Implement initiatives to reduce mishap frequencies.

(7) Ensure that notification, investigation, reporting, and record keeping are completed for all mishaps, near misses, and incidents involving command, unit, or activity, as required by reference (e).

(8) Ensure personnel assigned duties that include mishap investigation are properly trained and maintain knowledge of current mishap investigating and reporting policies, instructions, and protocol.

(9) Designate RMI UAs in writing. RMI UAs manage users within their UIC and below (maximum of two UAs per command). The UA performs the following in RMI:

(a) UAs assign RMI account roles for personnel in their organization and those personnel below their command or activity in the organizational hierarchy, including subordinate command UAs. This includes creating user accounts.

NOTE: Reference (e) provides important information for making RMI account role determinations based on functional roles and billet types. In some cases, personnel will be assigned multiple RMI account roles simultaneously, while in other cases, a single RMI account role is all that is required.

(b) UAs must validate requester need before assigning RMI roles to personnel. RMI roles must only be assigned to personnel with a legitimate need. Additionally, only the account roles necessary to complete assigned tasks will be assigned to personnel. To include adding, editing, or removing users in current or subordinate activities.

(c) UAs manage RMI account roles for personnel in their organization and those personnel below their command or activity in the organizational hierarchy, including subordinate command UAs.

(d) UAs must ensure those assigned access to privileged safety information (PSI) have read reference (e) and understand all special handling requirements before RMI account roles are assigned.

(e) Approve, deny, or change assigned roles. Although UAs are authorized to grant and update RMI account permissions for assigned DON uniformed and government civilian personnel, they are prohibited from granting permissions to other DON organizations, military services, U.S. government agencies, contractors, foreign exchange or liaison personnel, or any non-DON civilians.

NOTE: RMI user guides, videos, and additional resources are available at: <https://navalsafetycommand.navy.mil/Resources/RMI>.

(f) The UAs will establish an organizational e-mail in RMI.

(10) Ensure safety professionals or CDSOs are designated in writing, have an active RMI account, proper roles assigned, are properly trained in mishap investigation, and enter all mishap data into RMI.

(11) Ensure all echelon 4 and below activities have established a process to ensure all mishaps are entered into RMI within 5 days, reviewed, and closed out no later than 30 days, unless extensions are granted using the RMI messaging.

NOTE: Identify NETC as the CA for Class A and B mishaps. NRC, NSTC, and echelon 3 commands will be the CA for all other mishaps, unless those responsibilities are delegated down in writing to subordinate commanders.

NOTE: HAZRECs, MISRECs, and MOFEs have additional mandatory abatement tracking and processing requirements listed in reference (e) and enclosure (7) of this instruction.

(12) Promote the sharing of lessons learned and other safety related information including mishap and near miss information.

(13) Incorporate mishap prevention, investigation, and reporting into the training requirements of training manuals, master training plans, or training guides.

(14) Class A and B mishaps, in addition to the previous reporting requirements, will be reported to NETC N00X via e-mail to NETC Mishap Reporting at [NETC Mishap Reporting@us.navy.mil](mailto:NETC_Mishap_Reporting@us.navy.mil).

c. Echelon 4 and Subordinate Activities will:

(1) Notify the NETC SDO and NETC N00X within 8 hours of all non-aviation Class A and B mishaps.

(a) Report all fatalities, regardless of method (e.g., suicide, homicide, murder, medical, accident, etc.), to NAVSAFECOM SDO at 757-444-3520, extension 7017, and to NETC N00X Safety via e-mail to NETC Mishap Reporting at [NETC Mishap Reporting@us.navy.mil](mailto:NETC_Mishap_Reporting@us.navy.mil).

(b) There are other reporting requirements that may be applicable depending upon the nature and circumstances of the event. These requirements, though not safety related, are essential in ensuring that due diligence is executed regarding the care of mishap victims as well as providing adequate notifications.

(c) The following should also be considered: SITREP, OPREP, PCR, and line of duty or misconduct determination. Further consultation with legal officer or JAG may be required to determine if a PI, JAGMAN, or a higher-level investigation is required. While these additional reporting requirements may not fall under the safety responsibility, it is beneficial that you have an awareness of them and maintain an open line of communication throughout to ensure full compliance.

(2) 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:

(a) Make an accurate plot of the scene.

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

(c) Make a diagram of any damage.

(d) Protect PSI from unauthorized disclosure, per reference (e).

(e) Make a complete list of witnesses that were involved in the mishap.

(3) Ensure all staff and student mishaps are investigated and reported per reference (e) and this instruction.

NOTE: Report events below the minimum thresholds set forth in reference (e) and this instruction (e.g., some on-duty Class E mishaps, off-duty Class D mishaps) only if doing so furthers mishap prevention efforts.

(4) Only investigate and report mishaps for personnel ordered into NETC UICs. Mishaps involving two or more services must be investigated and reported per reference (e). All off-duty mishaps must be investigated and reported by the respective service office.

(5) Designate RMI UAs in writing (maximum of two UAs per command). RMI UAs manage users within their UIC and below and in the organizational hierarchy. This includes creating user accounts.

NOTE: Reference (e) provides important information for making RMI account role determinations based on functional roles and billet types. In some cases, personnel will be assigned multiple RMI account roles simultaneously, while in other cases, a single RMI account role is all that is required.

(a) UAs must validate requester need before assigning RMI roles to personnel. RMI roles must only be assigned to personnel with a legitimate need. Additionally, only the account roles necessary to complete assigned tasks will be assigned to personnel, to include the ability to add, edit, or remove users in current or subordinate activities.

(b) UAs manage RMI account roles for personnel in their organization or activity in the organizational hierarchy. This includes making RMI account changes and addressing issues with the RMI accounts they administer.

(c) UAs must ensure those assigned access to PSI have read and understood reference (e) and understand all special handling requirements before RMI account roles are assigned.

(d) Create user accounts. Although UAs are authorized to grant and update RMI account permissions for assigned DON uniformed and government civilian personnel. UAs are prohibited from granting permissions from other DON organizations, military services, or U.S. government agencies, as well as to contractors, foreign exchange or liaison personnel, or any non-DON civilians.

NOTE: RMI user guides, videos, and additional resources are available at: <https://navalsafetycommand.navy.mil/resources/RMI/>.

(e) Ensure that notification, investigation, reporting, and record keeping are completed for all mishaps, near misses, and incidents involving command, unit, or activity, as required by reference (e).

(f) The UAs will establish an organizational e-mail in RMI.

(6) Ensure safety professionals and CDSOs are designated in writing, have an active RMI account, proper roles assigned, and enter mishap data into RMI.

(7) Ensure personnel assigned duties that include mishap investigation are designated in writing and have received proper training per reference (e).

(8) Ensure all mishaps are entered into RMI within 5 days, are opened, reviewed, and closed out no later than 30 days, unless an extension is granted using the RMI messaging.

NOTE: Identify NETC as the CA for Class A and B mishaps. NRC, NSTC, and echelon 3 commands will be the CA for all other mishaps, unless those responsibilities are delegated down in writing to subordinate commanders.

NOTE: HAZRECs, MISRECs, and MOFEs have additional mandatory abatement tracking and processing requirements listed in reference (e) and enclosure (7) of this instruction.

(9) Conduct annual mishap trend analysis (or more frequent if desired) for all mishaps at own activity, assessing the effectiveness of the command's mishap prevention efforts. Implement initiatives to reduce mishap frequencies.

(10) Ensure that notification, investigation, reporting, and record keeping are completed for all mishaps, near misses, and incidents involving command, unit, or activity, as required by reference (e).

(11) Promote the sharing of lessons learned and other safety related information including mishap and near miss information.

(12) Ensure personnel assigned to conduct safety investigations, assigned as a member of an SIB, or assigned to assist the board are excluded from assignment to a JAGMAN investigation of the same incident.

(13) International Students. Ensure any mishaps involving international students are referred to the nearest International Military Student Officer.

(14) Class A and B mishaps in addition to the previous reporting requirements must be reported to NETC N00X via e-mail to NETC Mishap Reporting at "[NETC Mishap Reporting@us.navy.mil](mailto:NETC_Mishap_Reporting@us.navy.mil)."

d. Supervisors

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

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

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

(4) Require subordinate personnel to immediately report all mishaps, near misses, and incidents.

(5) Keep the safety professional or CDSO informed in a timely fashion of all injuries, property damage, and mishaps that become known to the supervisor.

(6) Assist activity with reviews of any event that involves the supervisor's subordinate personnel and requires the submission of a safety investigation report.

TRAFFIC SAFETY PROGRAM

1. Discussion. The primary goal of the Navy Traffic Safety Program is to reduce, and ultimately eliminate, motor vehicle mishaps and the deaths, injuries, and property damage associated with them.

2. Action

a. All levels of command are responsible for complying with the requirements outlined in reference (a) and this instruction.

b. The Traffic Safety Program will be managed in concert with all applicable federal, state, local, and host-nation laws or regulations.

3. Roles and Responsibilities

a. NETC will:

(1) Ensure all subordinate commands fully participate with the Commander, Navy Installations Command (CNIC) BOS traffic safety program or establish an independent program per reference (a).

(2) Ensure all subordinate commands have a traffic safety coordinator (TSC) and motorcycle safety representative (MSR), designated in writing; it can be the same person.

(3) Ensure all commands fully comply with investigation, reporting, and recordkeeping requirements for traffic related mishaps per reference (b) and enclosure (7) of this instruction.

b. All NETC Commands

(1) Ensure all activities fully participate with the CNIC BOS traffic safety program or establish an independent program per references (a) and (f).

(2) All activities will have a TSC and MSR designated in writing to perform the duties identified in reference (a). The activity ESAMS coordinator will assign the TSC and MSR duty task command motorcycle and traffic coordinator (4003205) and access levels (personnel and training administration) in ESAMS. Ensure

TSC and MSC participate in the CNIC established traffic safety council meetings or establish an independent traffic safety council, where a CNIC-led council is not established.

(3) Ensure all activities fully comply with investigation, reporting, and recordkeeping requirements for traffic related mishaps per reference (e) and enclosure (7) of this instruction.

(4) Ensure traffic safety training is provided for all military members and DoD civilians who operate a government motor vehicle (GMV) as part of their official duties. All traffic safety training will be recorded in ESAMS.

(5) All newly assigned personnel will receive a local area traffic safety training indoctrination within 30 days of arrival. Document training in ESAMS using course ID 1742.

(6) Ensure traffic safety briefs are provided for all personnel prior to any holiday, long liberty or leave periods, seasonal changes, or when traffic related mishap warrants additional training. Document traffic safety briefs for all personnel in ESAMS using course ID 1176.

(7) Operators of GMVs will be licensed per references (a) and (j).

(8) Ensure all newly reporting military personnel complete the motorcycle questionnaire in ESAMS. Personnel must update their rider status as necessary.

(9) Ensure all military personnel who ride motorcycles, and who own or plan to purchase a motorcycle, comply with the training and PPE requirements per reference (a).

(10) Establish additional measures such as tailored training and mentorship programs for personnel who pose the greatest risk for motorcycle mishaps; junior personnel, inexperienced riders, those riding sport bikes, and individuals with previous speeding or other serious traffic violation convictions may fall into this category. Identification as "greatest risk" is non-punitive and does not constitute a basis for non-judicial punishment or adverse administrative action.

(11) Ensure supervisors counsel all military personnel on proposed travel plans, mode of travel, length of travel time, and other contingencies prior to granting leave. Military members will apply the RM process required under reference (b) when planning trips and will consider all risk factors that could lead to a motor vehicle mishap. Use of the Traffic Risk Planning System (TRiPS) is highly encouraged. For more information on TRiPS, refer to the NAVSAFECOM web site (<https://navalsafetycommand.navy.mil/Resources/TRiPS/>).

(12) Report, investigate, and document traffic related mishaps in RMI per reference (e).

(13) Establish policy and procedures that meet the requirements of references (a) and (j) for the following types of vehicles.

- (a) All-Terrain Vehicles.
- (b) Recreational Off-Highway Vehicles.
- (c) Utility Terrain Vehicles.
- (d) Off-Road Vehicles.
- (e) Emergency Vehicles.
- (f) Government Vehicle Other.
- (g) Low Speed Vehicles.

(14) Ensure all vehicles are operated and maintained per the manufacturer's guidance and references (a) and (j). Vehicles utilized on or off the installation and on- or off-road will comply with host-nation, federal, state, local laws and regulations.

(15) Conduct an annual review of the Traffic Safety Program to ensure compliance with reference (a).

RECREATION AND OFF-DUTY SAFETY PROGRAM

1. Discussion. The Navy RODS assigns responsibilities and establishes basic program requirements for the program. Hence, an effective RODS program is critical to mission accomplishment and must be maintained at all levels of the command. To accomplish this, there are core program requirements that must be met. These will include CO's safety policy statement and RM. The CO's safety policy statement must include the commanders' intent regarding RODS. RM should identify potential hazards associated with RODS events and activities and must be fully assessed using a hazard analysis. All activities must appoint a command RODS program manager in writing with the authority to successfully execute the program per reference (a).

2. Assessment Review. Military members engaging in RODS activities must be provided continual engagement with the COC. Direct communication at the one-on-one level reinforces the need to include RM into all recreational and off-duty decision making. Military members who participate or desire to participate in high-risk recreational activities must receive an initial review of their ability to safely engage in that activity. The review will include an assessment of their knowledge and performance level, a hazard analysis of the activity, and must have supervisory or CO or OIC approval. The individual assessment is not a briefing, but rather a determination of the level of readiness, training, and physical ability to perform the activity.

3. Equipment Considerations. Equipment and facilities established for morale, welfare, and recreation (MWR) or off-duty recreational purposes must meet rigid safety considerations. Introduction of large-scale recreational operations or local purchase and installation of recreational equipment outside of the MWR or BOS service sphere will meet the same safety requirements. Commands desiring to establish their own recreational operation or install equipment will consult with their local BOS service provider, or another qualified safety authority to ensure a thorough risk assessment is completed. At a minimum, the safety considerations listed in the manufacturer instructions, pertinent safety consensus standards, and reference (a) will be maintained for MWR type operations and equipment.

4. Hazards. Hazard identification of RODS related facilities and infrastructure will be done during annual program self-assessments and safety inspections per reference (a). Documentation, tracking, and abatement of identified hazards will be done per enclosure (4) of this instruction. Mishap reporting and investigations will be done per enclosure (4) of this instruction.

5. Training. All personnel will receive RODS training through command indoctrinations, RODS safety briefs, specific participant or patron training, and group physical training or recreational events per reference (a). Authorized users participating in RODS activities and using related facilities and equipment will follow applicable safety requirements and procedures per reference (a). Personnel will wear all required PPE when participating in RODS activities.

SAFETY AND OCCUPATIONAL HEALTH MANAGEMENT EVALUATION

1. Discussion. The SOHME has been designed to measure the degree of compliance with the SMS and required SOH standards and processes.

2. Action. All levels of command are responsible for complying with the processes and procedures outlined in this instruction and references (a) through (j), as applicable.

3. Roles and Responsibilities

a. NETC

(1) Conduct SOHMEs to assess the effectiveness of every subordinate command's SMS and SOH program compliance.

(2) The frequency of SOHMEs for safety management conformance and performance will be data-driven and informed by the risks identified within the individual command, unit or activity. At a minimum, HQ commands will conduct SOHMEs of subordinate activities at least once every 4 years.

(3) Promulgate a SOHME schedule to be released no later than 1 October of each year.

(4) Provide a formal SOHME announcement to activities at least 30 days prior to commencement of the evaluation.

(5) Provide an advanced copy of the SOHME initial request for information to the ISIC CO, safety professional (GS-0018), and CDSO via electronic means, and allow sufficient time to gather necessary documentation.

(6) Provide a formal report of findings to the ISIC CO following completion of the SOHME.

b. Echelon 3 Commands

(1) Assist subordinate commands, units, and activities in preparing for SOHMEs.

(2) Provide guidance for the correction of deficiencies identified during the SOHME process, as necessary. Ensure mitigation, documentation, and closure of identified deficiencies.

(3) Respond to all requests for safety-related information to accomplish the SOHME.

(4) Ensure formal reports of findings sent to the CO following completion of the SOHME are forwarded to the SOHME "receiver" with comments and endorsement.

(5) Echelon 3 commands with subordinate commands, units, and activities will be evaluated on their compliance with roles and responsibilities within this instruction during SOHMEs.

c. Echelon 4 and Subordinate Activities

(1) Respond to all requests for safety-related information to accomplish the SOHME. Ensure the ISIC safety professional or CDSO is included on all correspondence.

(2) Correct all deficiencies identified during the SOHME per enclosure (4) of this instruction and reference (a).

4. SOHME Process

a. Process. The SOHME process measures the degree of program implementation, provided support, and compliance with this instruction and references (a) through (j). The SOHME may be performed via virtual examination of program-related records and reports or in person by a NETC safety professional. For virtual SOHMEs, a Microsoft Teams meeting in-brief with the ISIC safety representative, the evaluated command's safety representative, and the NETC N00X lead evaluator will be required. The meeting link will be provided by NETC N00X prior to commencement of the SOHME.

b. Re-Evaluations. If NETC N00X determines that a command's SOH program is ineffective based on lack of required programs, processes, and required documentation, a re-evaluation is required. Re-evaluations will be performed virtually or on-site by a NETC safety professional within 6 months. If an on-site re-evaluation is required, the ISIC will be required to

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fund the travel requirements to conduct another SOHME.
Scheduling of re-evaluations will be coordinated by NETC N00X.

Enclosure (10)