



DEPARTMENT OF THE NAVY
NAVAL SERVICE TRAINING COMMAND
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NSTCINST 5100.3
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NSTC INSTRUCTION 5100.3

From: Commander, Naval Service Training Command

Subj: SAFETY MANAGEMENT SYSTEM (SMS)

Ref: (a) OPNAV M-5100.23 of 20 September 2023
(b) OPNAVINST 3500.39D
(c) NETCINST 5100.1C
(d) OPNAVINST 6110.1K
(e) OPNAVINST 5100.29A
(f) NETCINST P1552/16
(g) OPNAVINST 3591.1G
(h) OPNAV M-5102.1 of 27 September 2021
(i) OPNAVINST 1500.75D
(j) NETCINST 1500.13E
(k) NSTCINST 1500.13E

1. Purpose. To promulgate guidance for a successful Safety Management System (SMS) for Naval Service Training Command (NSTC) and subordinate commands.

a. Naval Service Training Command (NSTC) Safety (N00X) is the safety and risk management assurance authority for NSTC, charged with establishing domain standards, identifying insufficiently mitigated risk, and assessing the NSTC risk adjudication processes. NSTC is Echelon 3 responsible for subordinate commands' occupational health and safety providing guidance on how to effectively execute the Safety Management System (SMS).

b. SMS, in conjunction with references (a) through (k), establishes a Navy standard framework for a unified and resilient system. It includes a risk control system and commitment to continual improvement to avoid unnecessary harm to people or damage to equipment.

2. Action. SMS applies to NSTC and subordinate commands. These principles apply at all times and in all operating environments. NSTC and subordinate commands shall use the processes and procedures outlined in references (a) through (k) and this instruction.

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

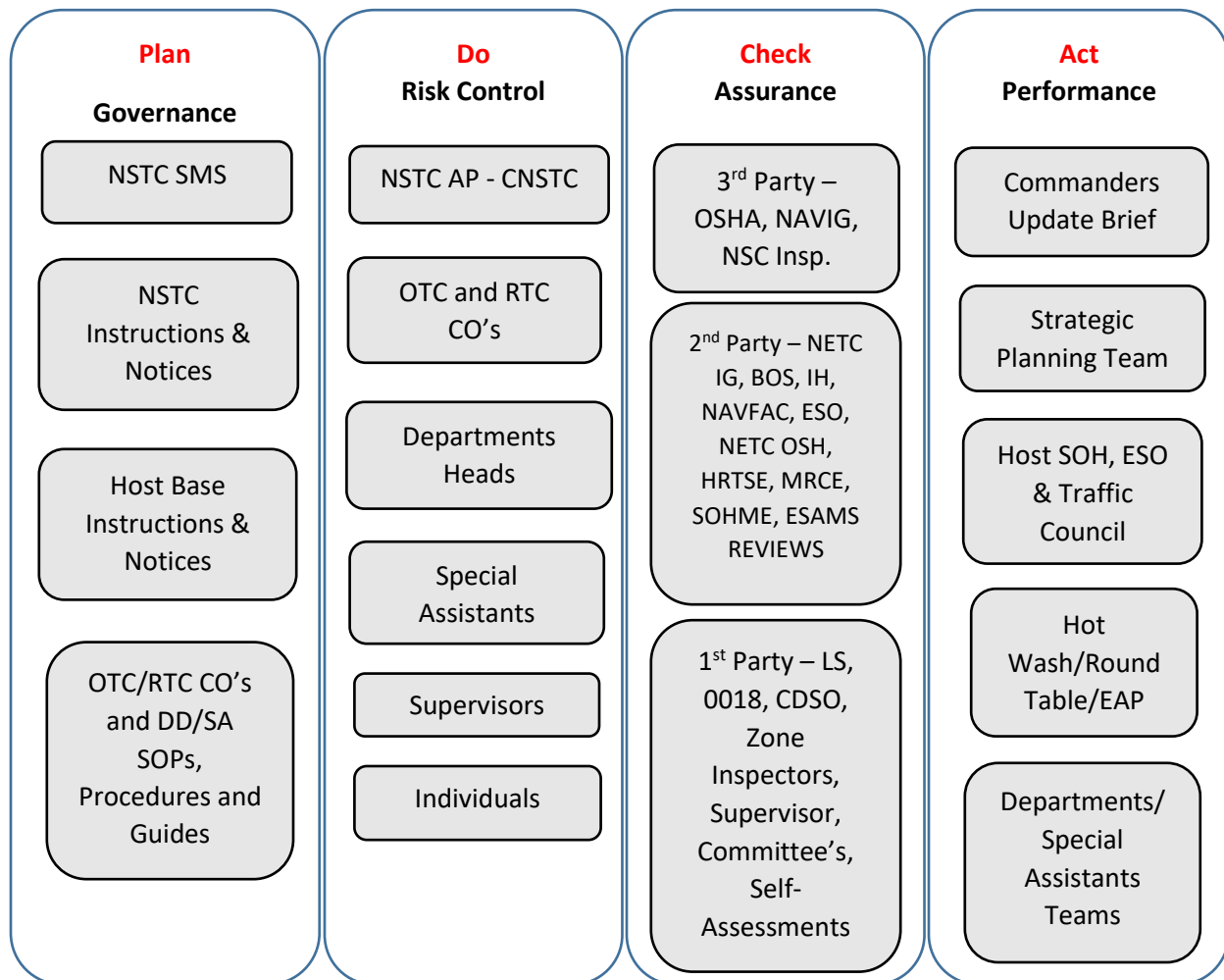
a. Outcome 1: Safe Place: Safe workplace/working environments include the administrative spaces used by NSTC and subordinate commands worldwide where NSTC civilian and military members conduct training, to include locations where high-risk operations occur. NSTC ensures safe entry, working, and egress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

b. Outcome 2: Safe People: All NSTC military members, civilians, and contractors directly supervised by NSTC 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: NSTC and subordinate commands must ensure personnel have proper and available tools, equipment, machinery, infrastructure, and whole equipment systems that are Safe-to-Operate and Operates Safely.

d. Outcome 4: Safe Processes and Procedures: NSTC 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) and (c). NSTC has adopted the Office of the Chief of Naval Operations (OPNAV) responsibility structure and specifies how they are applicable to NSTC below.



5. Risk Ownership. Commander, Naval Service Training Command (CNSTC) is the Accountable Person (AP), and therefore ultimately responsible and accountable for ensuring that NSTC and its subordinate commands are both Safe-to-Operate and Operates Safely across the 4Ps.

a. Risk Communication Thresholds

(1) NSTC and subordinate commands are expected to exercise risk management before commencing on and off-duty tasks, operations, and training in accordance with 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, occupational illnesses, near misses, and identified hazards to their immediate supervisor immediately and if incapable of reporting immediately as soon as possible.

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

b. Risk Registry & Hazard Review Board

(1) NSTC and subordinate commands will use Enterprise Safety Applications Management System (ESAMS) as a Risk Registry for deficiencies until the release of the Risk Management Information (RMI) Hazard Management module. Once the RMI Hazard Management module is released and mandated for use, it will become NSTC and all subordinate commands "Command's Risk Registry" and primary tool for cataloging the aggregated risk impacting the command.

(2) The SMS and Hazard Review Board (HRB) processes aggregate identified risks into a Risk Registry (i.e., an aggregated holistic risk picture of mishaps). The HRB process mandates periodic reviews of the Risk Registry, which allows commands to prioritize actions to remove or mitigate identified risk. HRBs will be established per reference (a). 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 will meet at least semiannually. A memorandum for the record must be created for each HRB meeting and retained at the controlling command for three calendar years beyond the current calendar year.

6. Organizational Learning & Assurance.

a. NSTC has adopted the Report, Analyze, and Get Better (RAG) cycle covered in paragraph A0404 of reference (a).

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

c. NSTC 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. CNSTC

(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 NSTC and subordinate commands are based on the principles and requirements contained in this instruction and per reference (a) and (b).

(3) Ensure NSTC 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.

(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.

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

(8) Where resources prevent risk mitigation to ALARA, commanders must raise the risk to their higher authority's AP.

b. Commanding Officers and Officers in Charge shall:

(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) Perform auditing to measure how well the requirements and controls of the higher authority SMS or SMP are being executed and maintained.

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

(4) Where available resources prevent mitigating a risk to ALARA, commanders must raise the risk to higher command or authority's AP.

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. NSTC safety professionals and Command safety representatives (CSR) shall:

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

(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 other leaders, supervisors, and individuals on safety related matters.

(4) Provide advice and guidance to the command on carrying out risk analysis, as required.

(5) Safety professionals and CSRs at each command shall maintain a Risk Registry of risks and issues impacting the overall execution of an effective SMS.

8. Records Management. Records created as a result of this instruction, regardless of media and format, must be managed per Secretary of the Navy Manual 5210.1 of September 2019.

9. Review and Effective Date. Per OPNAVINST 5215.17A, NSTC will review this instruction annually on the anniversary of its effective date to ensure palpability, currency, and consistency with Federal, Department of Defense, Secretary of the Navy and Navy policy and statutory authority using OPNAV form 5215/40, Review of Instruction.


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