



DEPARTMENT OF THE NAVY
OFFICE OF THE CHIEF OF NAVAL OPERATIONS
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WASHINGTON, DC 20350-2000

OPNAVINST 5102.1E
N09F
23 Sep 2021

OPNAV INSTRUCTION 5102.1E

From: Chief of Naval Operations

Subj: NAVY SAFETY INVESTIGATION AND REPORTING PROGRAM

Ref: (a) OPNAV M-5102.1/MCO 5100.29C
(b) DoDI 6055.07 of 6 June 2011
(c) SECNAVINST 5100.10L
(d) OPNAVINST 3750.6S

1. Purpose

a. To issue U.S. Navy policies, guidelines, procedures and responsibilities for safety investigation and reporting. This instruction and the accompanying manual in reference (a), implement the requirements of references (b) and (c).

b. The policies, guidelines, procedures and responsibilities contained in this instruction and reference (a) represent a complete revision of safety investigation and reporting policy and must be reviewed in their entirety. A non-exhaustive list of major changes to the previous policy are briefly summarized in subparagraphs 1b (1) through 1b (15).

(1) An accompanying manual (reference (a)) has been created that contains the detailed policies, guidelines, procedures and responsibilities for safety investigations and reporting.

Note: U.S. Navy and U.S. Marine Corps safety investigation and reporting policy for events involving a *defined naval aircraft* are not covered in either this instruction or reference (a). Instead, the policy for defined naval aircraft events is covered in reference (d).

(2) Reference to the Web-Enabled Safety System has been removed. Instead, the Risk Management Information (RMI) program of record is used throughout the updated policy. RMI is the Department of the Navy (DON) Web-based database application for safety reporting and is the only authorized application for reporting and recording mishaps, hazards (including near misses) and safety incidents in the DON. This new program of record is referred to in this instruction and in reference (a) as either the "Risk Management Information," "Risk Management Information Program of Record," "RMI POR" or "RMI."

(3) Mishap class cost thresholds have been updated and new Class D and E mishap categories are defined, in order to comply with reference (b).

(4) The roles of controlling command and convening authority are now differentiated and more thoroughly explained.

(5) The mishap endorsement process has been modified. A *concurrent* endorsement process has been adopted which promises to expedite the finalization of safety investigation reports.

(6) The process and procedures to track both mishap and hazard recommendations has been formalized and improved so that risk acceptance decisions are made at the right level and documented, archived and reevaluated on a recurring basis in order to comply with reference (e).

(7) Three mishap-related cost categories (i.e., personnel, materiel and property and miscellaneous) have been created to assist safety investigators in their estimation of all mishap-related costs. Each category has one or more subcategories.

(8) Health care provider mishaps have been added. These mishaps were not addressed in the previous version of this instruction. Health care provider mishaps involve a fatality, injury or illness to any health care provider (i.e., physician, family nurse practitioner, pharmacist, physician assistant, nurse, independent duty corpsman or other licensed or non-licensed health care professional) while engaged in patient care (i.e., medical, dental or pharmaceutical) in an operational environment.

(9) The term “work-related” will be used, wherever possible, in lieu of the term “occupational.” The previous version of this instruction tended to use the term “occupational” rather than the term “work-related.” However, the Occupational Safety and Health Administration (OSHA) places more emphasis on the term “work-related” throughout its Federal regulations for civilian employees. Therefore, reference (a) will tend to use “work-related” rather than the term “occupational,” to maintain consistency with those OSHA regulations.

(10) Criteria for determining which events are reportable or recordable are presented in a tabular format in addition to procedural steps in the body of the text. The new format will save investigators time by greatly facilitating their “go, no-go” decisions. There are separate criteria tables involving military personnel, civilian personnel, contractors, non-DON civilians and materiel and property damage.

(11) The definitions of both on-duty and off-duty were updated in the glossary to provide better clarification. Tables to facilitate military personnel and Department of Defense (DoD) civilian personnel duty determinations for safety reporting purposes were also added.

(12) At the discretion of a convening authority, a safety investigation board may also be appointed to determine causal factors and make recommendations to prevent recurrence of serious near misses (i.e., hazards) that had the potential of being serious reportable mishaps.

(13) New information dissemination control marking requirements for unclassified and classified documents and material that contain privileged safety information have been adopted.

(14) The glossary has been expanded significantly to improve standardization.

(15) All copies of forms that were in the previous instruction have been removed. Paragraph 9 lists all forms mandated for use by this directive.

2. Cancellation. OPNAVINST 5102.1D.

3. Scope and Applicability. This instruction and reference (a) are applicable to all U.S. Navy activities, commands, personnel and contractors (i.e., the latter only when under the direct supervision of U.S. Government personnel). Commands are not required to issue an implementing instruction to augment this policy, except for command-unique applications and requirements.

4. Discussion. References (b) and (c) establish DoD and DON requirements for safety investigations and reporting. Reference (a) contains the implementing guidance for the U.S. Navy, explaining the responsibilities, requirements, policies and procedures to notify, investigate, report and maintain records of all mishaps, hazards (including near misses) and safety incidents.

5. Responsibilities. Reference (a) details each of the roles and responsibilities for the commands listed in subparagraphs 5a through 5l.

- a. Chief of Naval Operations Special Assistant for Safety Matters (CNO N09F);
- b. Commander, Naval Safety Center;
- c. Naval Inspector General;
- d. The President, Board of Inspection and Survey;
- e. Commander, U.S. Fleet Forces Command;
- f. Commander, U.S. Pacific Fleet;
- g. Chief, Bureau of Medicine and Surgery;
- h. Commander, Naval Education and Training Command;
- i. Navy Systems Commands;
- j. Navy echelon 2 and 3 commands assigned responsibility as a controlling command;

k. Navy commands assigned responsibility as a convening authority for safety investigations; and

l. Navy commanders, commanding officers, masters (i.e., for military sealift command vessels) and officers-in-charge of commands, units and activities.

6. Action. This instruction and reference (a) are the guiding documents for the U.S. Navy afloat, shore, expeditionary and ground (i.e., including aviation ordnance) safety investigation process and reporting procedures. Commanders, commanding officers and officers-in-charge will implement these policies for safety investigations and reporting.

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>.

b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact the local records manager or the OPNAV Records Management Program (DNS-16).

8. Review and Effective Date. Per OPNAVINST 5215.17A, CNO N09F will review this instruction annually around the anniversary of its issuance date to ensure applicability, currency and consistency with Federal, 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.



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Releasability and distribution:

This instruction is cleared for public release and is available electronically only via DON Issuances Web site, <https://www.secnav.navy.mil/doni/default.aspx>.