

DLA-SM ACCIDENT REPORTING & INVESTIGATING PROGRAM

Sep 2022

PURPOSE

The purpose of this program is to establish a procedure for DLA-SM employees to report work related injuries and illnesses promptly and accurately.

RESPONSIBILITIES

DLA-SM Depot Managers must:

Ensure all mishaps and near misses are reported and investigated in detail to determine all factors contributing to the event and document in ESAMS (Enterprise Safety Applications Management System) within established timelines.

Ensure corrective/preventive measures to prevent future occurrences are completed, implemented, and documented.

Document that employees were briefed, corrective actions (interim and permanent) completed, status updates on actions completed, and request closure of ESAMS reports by the DLA-SM Safety Manager once all corrective actions are complete.

DLA-SM Safety Manager is responsible for:

Providing Depot Managers technical guidance when establishing mishap and near miss reporting, investigating, and recordkeeping local standard operating procedures. Local SOPs will include guidance on the responsibility to coordinate and maintain mishap records following OSHA recordkeeping requirements.

Sending DLA-SM annual self-assessment of the DLA-SM Depot facilities to the DLA-HQ OSH Office by the last workday in March each calendar year.

Providing Depot Managers technical guidance as they conduct mishap or near miss investigations, as they complete the DLA Form 7015 documenting all factors contributing to the work-related event, and when determining lessons learned.

Ensuring the investigation results with all contributing factors and lessons learned are documented on the mishap or near miss report in ESAMS. Ensure DLA Form 7015 is complete and attached to the ESAMS report. Issue an ESAMS deficiency notice to address each factor contributing to the work-related event.

Closing completed ESAMS deficiency notices.

Sharing lessons learned with applicable personnel at the Depots as appropriate.

DLA-SM employees will:

Follow the DLA-SM ESOHMS Program requirements to ensure their actions do not create hazards in the workplace that contribute to or result in a mishap or near miss event.

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Report unintended accidents/mishaps to the Depot Manager immediately.

Report near misses immediately using one of the following methods:

1. Verbally notify the Depot Manager.
2. Submit a DLA Form 1404, "Hazard Near Miss Report."
3. Submit a Near Miss Report in ESAMS.

ACCIDENT REPORTING PROCEDURES

Reporting and documenting DLA-SM work-related mishaps and near misses is detail and time critical. Concerning all mishap classes, the Depot Manager of the employee involved in a work-related event documents the mishap in ESAMS (Enterprise Safety Applications Management System) within one workday of being informed the event occurred.

The Depot Manager can use DLA Form 1404, "Hazard Near Miss Report" to document hazards and near misses. The DLA Form 1404 is an optional reporting method available for employee use in addition to using ESAMS.

When reporting unintended incidences, and with assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will investigate the event and put controls in place to protect employees from hazards.

The Depot Manager will document the event investigation in ESAMS within one working day of receiving information that an unintended work-related incident (injury, illness, property damage, fatality, and near miss) occurred. This allows for correction of hazards as soon as possible and accurate tracking of hazard trends. The investigation results must answer the five "Why" questions (See Appendix A of this document or Enclosure 4 of DLAM 6055.01 V1 referenced in this document) and identify ways to prevent future incidents.

The Depot Manager will use DLA Form 1591 "Supervisor Mishap Report" to document mishaps when ESAMS is not available. Forward the completed form to the Safety Manager within one workday of the mishap occurrence. The Safety Manager will enter the DLA Form 1591 "Supervisory Mishap Report" within one workday of ESAMS accessibility and destroys the paper hardcopy.

With assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will use DoD Form 2977 "Deliberate Risk Assessment Worksheet" as the primary method to document risk assessments for all DLA operations and ensure risk is accepted at the appropriate level.

With assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will review DoD Form 2977 after a work-related mishap or near miss occurs and document the review in Block 13 "Risk Assessment Review" of the form. Block 13 "Risk Assessment Review" of DD Form 2977 is to be used to document a review of the incident/occurrence (e.g. after a mishap, near miss, etc.).

With assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will review the DLA Form 7001 (Job Hazard Analysis) after a work-related mishap or near miss and

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document the review using the DLA Form 7001A. This will help support the risk management process in the workplace.

With assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will ensure the current DLA Form 7001 and DD Form 2977 are posted in the workplace and easily accessible to employees.

With assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will document all factors contributing to the mishap or near miss event. Provide the completed form to the Safety Manager.

With assistance from DLA-SM Safety Manager or ESOH personnel, the Depot Manager will respond to ESAMS deficiency notices and update ESAMS records with appropriate and accurate data- briefing employees on hazards identified, controls (interim and permanent) put in place, and document all actions completed on the deficiency notice in ESAMS. Document bi-weekly status updates in ESAMS on the deficiency notice through completion of corrective actions. Request closure of the deficiency notice.

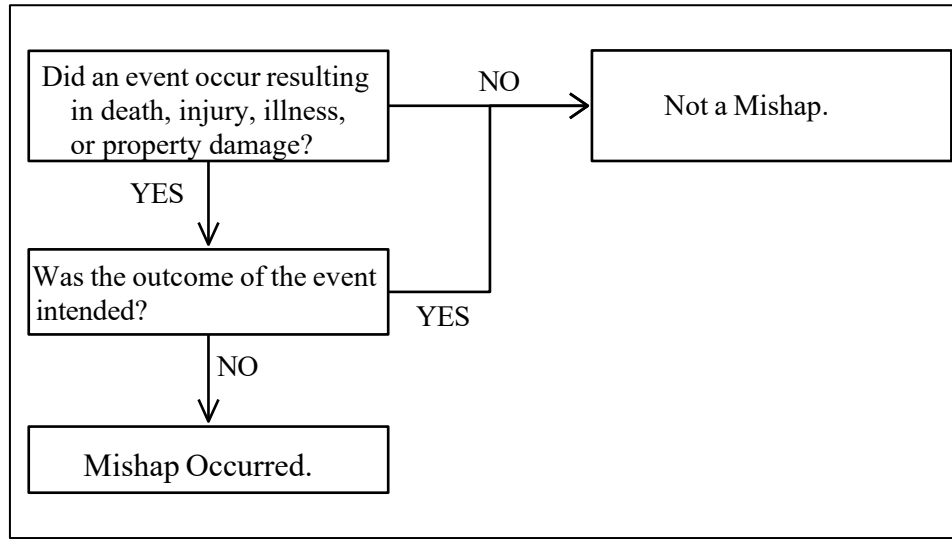
The Depot Manager also completes the DLA Form 7015 “Mishap and Near Miss Analysis” and provides the completed copy to the DLA-SM Safety Manager to attach to the report in ESAMS.

Concerning near miss incidents, the Depot Manager will document a near miss within one working day of being informed the event occurred and document investigation results and corrective actions taken in ESAMS. The Depot Manager also completes a DLA Form 7015 and provides it to the Safety Manager to attach the form to the report in ESAMS. The investigation results will provide information on the severity of injury, interim controls put in place, etc., answering the five “Why” questions provided in Appendix A (Root Cause Analysis Procedure) of this document or in Enclosure 4, Section 4 of DLAM 6055.01 V1.

Depot Managers are to post OSHA Form 300A, “Summary of Work-Related Injuries and Illnesses” in the workplace readily accessible to DLA employees each year from February 1 through April 30.

A DLA-SM employee may use ESAMS or complete a DLA Form 1404 “Hazard Near Miss Report”. ESAMS and the DLA Form 1404 provide the employee the opportunity to report the event anonymously. The DLA-SM Depot Manager or Safety Manager enters the information into ESAMS within three working days of receiving the form.

Determining if an incident is considered a mishap or a near miss:



DLA document reference:

DLAM 6055.01-V1 - Enclosure 4: DLA Mishap and Near Miss Reporting and Safety Investigation Procedures

ACCIDENT INVESTIGATION PROCEDURES

The DLA-SM Depot Manager, with assistance from the DLA-SM Safety Manager or ESOH personnel, conducts a safety investigation for work-related mishaps and near misses. Investigation results and corrective actions are to be included in the ESAMS report. Near miss investigations are the most important investigations since no harm came to an employee. Examining a near miss is an opportunity to correct causes before an injury or property damage happens.

Mishap/Near Miss Investigation procedure

DLA-SM Depot Managers and/or Safety Manager shall:

1. Immediately address any medical issues as appropriate and ensure that the area the incident occurred is adequately protected and safe.
2. Report the incident to the appropriate DLA-SM Materials Management/DLA Management as soon as possible, but no more than twenty-four (24) hours after it's occurrence by fax, phone, or e-mail.
3. Begin the initial investigation by gathering the basic facts.
4. Enter any gathered facts into ESAMS or complete within one (1) working day. (The DLA 1591 form can be used as a tool to document gathered facts prior to being entered into ESAMS or if ESAMS is not operational.)

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5. Institute any interim controls for deficiencies identified.
6. Verify all long-term controls are instituted as required.
7. ESOH personnel shall participate in the initial investigation as appropriate.
8. Investigate all mishaps/near misses utilizing the Root Cause Analysis Procedure and form (Appendix A) and determine the root cause(s).
9. Identify and document any deficiencies, appropriate corrective actions, lessons learned, etc.
10. Verify that interim controls are adequate and instituted for any identified deficiencies.
11. Document final outcomes utilizing the Root Cause Analysis form (Appendix A) and upload the completed form to ESAMS record.
12. Finalize the input of required information into ESAMS including, but not limited to, ensuring a notation is entered documenting that any restrictions have been met, medical documentation is uploaded, etc.
13. Ensure the completed investigation report is routed for review by Materials Management personnel and concurrence.
14. In the event of non-concurrence, ensure all issues raised are addressed and the report is re-routed for concurrence.

All mishap/near miss safety incidence investigations shall be handled as a search for facts and must not be used to determine personal fault, nor shall the information obtained be used against an employee to invoke disciplinary action.

The purpose of mishap and near miss safety investigations is to prevent future mishaps. Work related mishap classifications are determined both by the severity of injury and/or property damage caused by the mishap and the cost associated with that mishap.

All mishap/near miss investigation findings/root causes will be completed and recorded in ESAMS by the Depot Manager or Safety Manager within six (6) calendar days after the mishap date. The investigation results will provide information on the severity of injury, interim or permanent controls put in place, etc. ensuring to answer the five “Why” questions provided either as The Root Cause Analysis Procedure in Appendix A of this document or in Enclosure 4, Section 4 of DLAM 6055.01 V1.

Work related mishap classes:

1. Class A: Death, permanent total disabling injury or illness, property damage equal to or greater than \$2.5 million.

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2. Class B: Permanent partial disabling injury (including loss of an eye or amputation) or illness, inpatient hospitalization of 1 or more individuals, or property damage equal to or greater than \$600,000 but less than \$2.5 million. Incorporates one inpatient hospitalization to align with the current OSHA requirements.
3. Class C: A recordable non-fatal injury or illness resulting in 1 or more days away from work, not including the day of the injury or property damage equal to or greater than \$60,000 but less than \$600,000.
4. Class D: Property damage equal to or greater than \$25,000 but less than \$60,000; or an injury or illness including first aid not classified as a Class A, B, or C mishap.

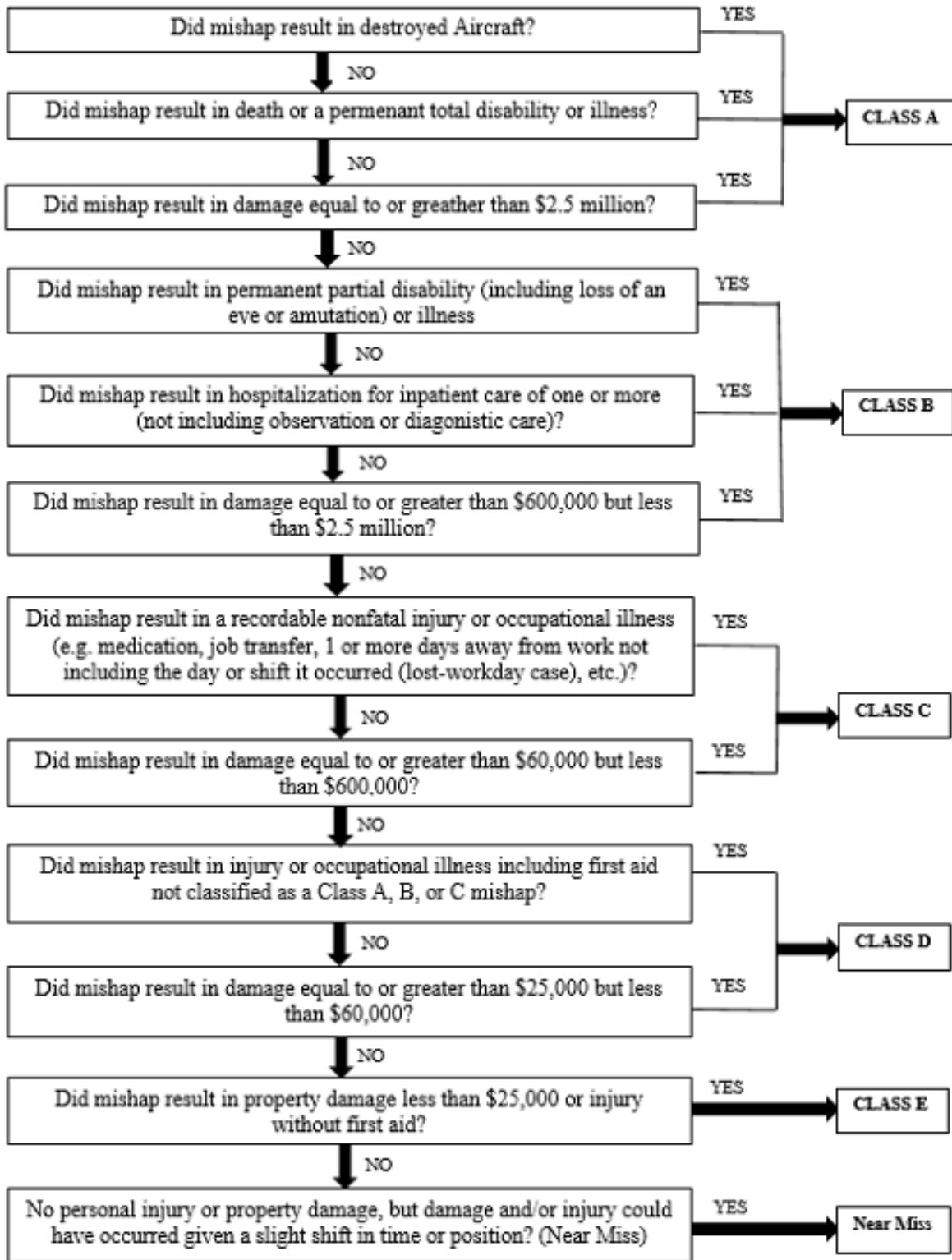
Work related mishaps or near misses not meeting DoD thresholds:

1. Class E: Property damage less than \$25,000 or injury without first aid.
2. Near Miss: No property damage and no personal injury, but damage and/or injury could have occurred given a slight shift in time or position.

The explanation above is formatted into an easy-to-use diagram in the mishap and near miss classification determination table below.

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Assigning Mishap Classes to work-related mishap or near miss:



Work related events may be reassigned to a different class as more data becomes available.

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For detailed work-related mishap and near miss safety investigation procedures, see DLAM 6055.01 V1 Enclosure 4, Appendix A and Appendix B. All DLAM 6055.01 V1 Enclosures are listed below for easy reference on what each Enclosure addresses.

DLAM 6055.01-V1 - Enclosure 3: Investigations

DLAM 6055.01-V1 - Enclosure 4: DLA Mishap and Near Miss Reporting and Safety Investigation Procedures

DLAM 6055.01-V1 - Enclosure 4: Appendix A Work Related Mishap Class C, Class D, Class E, and Near Miss Safety Investigation Procedures

DLAM 6055.01-V1 - Enclosure 4: Appendix B Work Related DLA Mishap Class A and Class B Safety Investigation Procedures

DLAM 6055.01-V1 - Enclosure 4: Appendix C Procedures for Recording Injury Costs Associated With a Mishap

DLAM 6055.01-V1 - Enclosure 4: Appendix D Human Factors and Classification System (HFACS)

DLAM 6055.01-V1 - Enclosure 4: Appendix E Sample Interview Statement

DLAM 6055.01-V1 - Enclosure 5: Privileged Safety Information

DLAM 6055.01-V1 - Enclosure 6: Data and Record Keeping Requirements

DLAM 6055.01-V1 - Enclosure 7: Mishap Notification Investigation and Reporting Procedures

DLAM 6055.01-V1 - Enclosure 8: Requirements for Safety Investigation Reports

DLAM 6055.01-V1 - Enclosure 9: Information Cross-Feed Requirements

INJURY/MEDICAL ISSUES

Injuries/illnesses that require the employee to be compensated must be reported to the appropriate Injury Compensation Center (ICC) by the employee or the Depot Manager within thirty (30) days of the mishap date. For additional information, contact the DLA Human Resources division.

RECORDKEEPING

The DLA-SM Safety Manager will be maintaining the OSHA 300 Log in ESAMS and providing the OSHA 300A Log to the Depot Managers for public posting at their respective Depot facility, as required, each year from February 1 through April 30.

Mishap reports shall remain active in ESAMS for the length of service of the employee and then archived.

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TRAINING

The DLA-SM Depot Manager, Safety Manager, and/or ESOH (Environmental, Safety, & Occupational Health) personnel will provide training to all DLA-SM Depot employees on the mishap and near miss reporting and investigation procedures annually.

Training will consist of the procedure for employees on reporting near misses or hazardous conditions through ESAMS or DLA form 1404 “Hazard Near Miss Report”, and reporting any mishaps to the Depot Manager; Depot Manager reporting of mishaps or near misses in ESAMS and DLA form 1591 “Supervisory Mishap Report”, if ESAMS is unavailable; JHAs; mishap classes; site location where the OSHA form 300A is posted for public viewing; and the highlights of conducting reporting and investigating mishaps and near misses within the DLA workplace in accordance with the DLAM 6055.01 V1 manual standard procedures and the contents of this program document.

REFERENCES

Occupational Safety & Health Administration (OSHA) 29 CFR 1904 Recording and Reporting Occupational Injuries and Illness

DLAI 6055.01 Safety and Occupational Health (SOH) Program, 2018

DLAM 6055.01-V1 Mishap and Near Miss Notification, Investigation, Reporting, and Record Keeping, 2020

DLAM 6055.01-V2 Safety and Occupational Health (SOH) Inspection and Hazard Management, 2020

DLAM 6055.01-V3 Safety and Occupational Health (SOH) Training and Awareness, 2020

APPENDIX A

ROOT CAUSE ANALYSIS PROCEDURE

May 2022

PURPOSE

To establish the procedure for a structured approach to conducting a root cause analysis for ESOH (Environmental, Safety, & Occupational Health) findings. The goals of the procedure are to identify:

- (1) the underlying factors of identified problems,
- (2) what needs to be changed to prevent the recurrence of these outcomes, and
- (3) the techniques required to promote the achievement of fewer consequences in the future.

PROCESS

Responsibility and Authority

The Environment, Safety, and Occupational Health (ESOH) Management personnel/representative (rep) have/has the primary responsibility and authority to monitor the ESOH Management System (ESOHMS) and are authorized to take necessary actions to assist the Depot Manager and Safety Manager to resolve identified nonconformance issues. The primary responsibilities of Depot Managers include investigating findings, implementing corrective and preventive actions, and maintaining documentation.

Assessing and Documenting Root Causes

Once an ESOH incident/event has been identified, the root cause process may be initiated as described below:

- a. ESOH personnel will conduct the analysis and complete the attached Root Cause form.
 - i. The form is based on the “Five Whys” technique. The “Five Whys” is a quick and easy analysis method to identify the root cause of a problem or variation.
 - ii. This technique involves asking “why” up to five times to determine the root cause:
 1. Ask “why” the problem happens and write the answer down below the problem

“Five Whys” Example

- (1) Why did you have a noncompliance? **Because the sample was not taken.**
- (2) Why wasn't the sample taken? **Because the designated person was out sick.**
- (3) Why didn't someone else take the sample? **Because no one else knew how.**
- (4) Why didn't someone else know how? **Inadequately roles and responsibilities.**

Root Cause: **Because the procedure did not designate a backup**

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2. Ask “why” the previous answer happened and write that answer down
3. Continue asking “why” for the previous answer until the problem's root cause is identified (may take fewer or more times than five whys)
4. This technique is also applied to the review of equipment malfunction or failures that may also cause or contribute to mishaps/near misses and conformance/compliance complications with ESOH provisions. Typical root cause results are as follows:

Equipment failure

Maintenance

Operation related

Power failure

System shutdown

System startup

System upset

Third-party damage

Under investigation

Weather related

Improper training

Inadequate procedure

Inadequate roles and responsibilities

- iii. The ESOH rep is to document this process in the Root Cause form.
 - iv. If the ESOH rep believes that the root cause can be determined with fewer than five questions, skip to the Root Cause cell of the form. Additional root causes can be added as determined by the ESOH rep.
- b. If there is a likelihood that the adverse finding may recur, the ESOH rep shall recommend a preventive action, which is indicated on the form, otherwise mark “N/A”.
 - c. Once the ESOH rep has completed the Root Cause form, it shall be forwarded to the Safety Manager for approval.
 - i. The Safety Manager shall determine whether the analysis is appropriate or not and if the corrective/preventive action addresses the root cause.
 - d. To approve the Root Cause Analysis, the Safety Manager signs the form, updates the ESAMS appropriately to indicate that the analysis has been completed, and attaches the completed Root Cause form to the ESAMS investigation report.

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DLA-SM ROOT CAUSE ANALYSIS FORM - FIVE WHYS TECHNIQUE
May 2022

Incident: _____

Date: _____

<p>A. Why did the incident occur?</p> <p>Example: There was only one qualifying rain event for sampling.</p>	
<p>B. Why did A. occur?</p> <p>The designated sampler was out the day it rained.</p>	
<p>C. Why did B. occur?</p> <p>No one else knew how to collect a sample.</p>	
<p>D. Why did C. occur?</p> <p>No one else had been trained on the procedure.</p>	
<p>E. Why did D. occur?</p> <p>No back-up sampler had been assigned.</p>	
<p>Root Cause:</p> <p>Inadequate roles and responsibilities.</p>	
<p>Corrective/Preventive Action?</p>	

ESOH Rep: _____

Safety Manager: _____

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