SUBJECT: Enterprise Safety Applications Management System (ESAMS)

References: See Enclosure 1.

1. PURPOSE. This Instruction:

   a. Incorporates and cancels Directive Type Memorandum (DTM) 13-001, “Enterprise Safety Applications Management System (ESAMS),” (Reference (a)) to establish policy, assign roles and responsibilities, and provide procedures for the Agency-wide mandatory use of the ESAMS.

   b. Implements the authorities in part 1904 of title 29, Code of Federal Regulations (CFR) (Reference (b)), part 1960 of title 29, CFR (Reference (e)), and DoD Instruction 6055.07, Accident Investigation, Reporting, and Record Keeping (Reference (f)).

2. APPLICABILITY. This Instruction:

   a. Applies to all DLA activities, DLA bargaining and non-bargaining unit employees and DLA contractors. If there is an applicable collective bargaining agreement and its provisions are in conflict with those of this Instruction, the provisions of the agreement prevail over the relevant provisions of this Instruction.

   b. In addition, these provisions consider limitations on the applicability of section 651 of title 29, United States Code (Reference (c)), Executive Order 12196 (Reference (d)), and Reference (e) (to the Department of Defense (DoD). These limitations include the exemptions or exceptions from Department of Labor oversight for military personnel, military-unique operations and workplaces, specific conditions governed by the statutory authorities, and in certain overseas area, conditions governed by international agreements.

3. POLICY. It is DLA policy that:
a. ESAMS will be used to fulfill the Occupational Safety and Health Administration (OSHA) recordkeeping and reporting requirements for all of DLA in accordance with References (b) through (i). ESAMS will also be used as the DLA tool to record and track hazard information, inspection data, mishaps (Injury, Illness and Property Damage), near misses, and unsafe, unhealthful events. The Contractor Incident Reporting System (CIRS) module in ESAMS may be used to record information about Near Miss and Mishap (Injury, Illness and Property Damage) incidents for contractor personnel.

b. ESAMS narrative fields will not contain personal identifier (e.g. name of employee) information.

c. Every DLA supervisor will use ESAMS for safety management in the following areas: Mishap and Near Miss Corrective Action Requests (injuries, illness, damaged property/equipment); Deficiency Tracking; and Unsafe Unhealthful Reporting Response. Local guidance may require supervisors to use the Supervisor Workplace Inspection Checklist in ESAMS to document self-safety inspections.

d. Additional use of ESAMS capabilities not directly related to Mishap and Corrective Action, Inspection Reporting and Deficiency Tracking, and Unsafe, Unhealthful Reporting and Response is permitted if detailed in a locally written OSH program upon concurrence of DS-O.

4. RESPONSIBILITIES. See Enclosure 2.

5. PROCEDURES. See Enclosure 3.

6. INFORMATION REQUIREMENTS.

a. DLA employees may use DLA Form 1404, “Near Miss/Hazard Report,” to report near miss incidents and hazards in the workplace. Designated OSH personnel will submit the form in ESAMS within one workday of receipt.

b. DLA supervisors will only complete a DLA Form 1591, “Supervisory Mishap Report,” and provide it to designated OSH personnel when ESAMS is not available (e.g. no computer, no internet service, power outage, ESAMS system problems). The form will be submitted to designated OSH personnel within one workday of the DLA supervisor being notified of an incident. Designated OSH personnel will enter these paper reports into ESAMS within one workday of receipt.

Note: Electronic versions of DLA Form 1404 and DLA Form 1591 are available on the DLA Forms Management Web Site at http://www.dla.mil/OfficialForms/Pages/default.aspx.
c. OSH Chief or Managers will require OSH personnel (e.g. 0018, 0019, 0690) to document OSH inspections, mishap, near miss and unsafe unhealthful investigations in a proficient manner in ESAMS.

d. OSH Chiefs or Managers may develop local guidance requiring supervisors document completion of workplace self-safety walkthroughs or inspections (e.g. quarterly, monthly) using the Supervisor Workplace Inspection Checklist in ESAMS.

e. OSH personnel will use ESAMS to generate technically proficient deficiency notices and corrective action requests for hazards identified during OSH walk throughs, inspections or as a result of a mishap investigation.

f. DLA solicitations or contracts that involve the contract employee collecting, maintaining, using, disseminating, or destroying Privacy Act Information or that involve the design, development, or operation of system of records on individuals in order to accomplish an agency function must contain required language in accordance with Reference (k) before access to ESAMS will be granted. OSH personnel will forward request to the DS-O share@dlamil email address when contract employees require greater than Supervisor 2 access in ESAMS.

7. INTERNAL CONTROLS.

a. DS-O will review deficiency notices generated in ESAMS for all open notices with Risk Assessment Codes (RAC) 1, 2, and 3 on a weekly basis. Deficiency notices may be issued as a result of hazards identified during mishap, near miss and unsafe unhealthful investigations or as a result of workplace inspections.

b. DS-O will review mishap (injury, illness, and property damage), unsafe unhealthful, and near miss reports in ESAMS and CIRS to identify reports missing required information. Corrective action requests and deficiency notices generated from mishap near miss reports will also be reviewed to identify notices missing required information, effectiveness of corrective actions/interim controls and timely responses based on RACs. This information will be captured on a Mishap, Near Miss, Unsafe Unhealthful Review Sheet and forwarded to the OSH Chief or Manager on a monthly basis (Enclosure 6).

c. OSH Chief or Manager will provide DS-O status updates on the Mishap, Near Miss, and Unsafe Unhealthful Review sheet the third Friday of each month.

8. RELEASEABILITY. UNLIMITED. This Instruction is approved for public release and is available on the Internet from the DLA Issuances Internet Website.

9. EFFECTIVE DATE. This instruction:

a. Is effective on September 23, 2014.
b. Must be reissued, cancelled, or certified current within 5 years of its publication in accordance with DLAI 5025.01, DLA Issuance Program. If not, it will expire effective September 23, 2024 and be removed from the DLA Issuances Website.

PHYLLISA S. GOLDENBERG
Director, DLA Strategic Plans and Policy

Enclosure(s)
- Enclosure 1 – References
- Enclosure 2 – Responsibilities
- Enclosure 3 – Procedures
- Enclosure 4 – Causal Factor – Root Cause Analysis Chart
- Enclosure 5 – Mishap Near Miss Analysis Sample
- Enclosure 6 – Mishap, Near Miss, Unsafe Unhealthful Review Sheet
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ENCLOSURE 1

REFERENCES

(b) Part 1904 of title 29, Code of Federal Regulations
(c) Section 651 of Title 29 United States Code
(d) Executive Order 12196, Occupational Safety and Health Programs for Federal Employees
(e) Part 1960 of title 29, Code of Federal Regulations
(f) DoD Instruction 6055.07, Accident Investigation, Reporting, and Record Keeping, June 6, 2011
(g) DoD Instruction 6055.05, Occupational and Environmental Health (OEH), November 11, 2008
(h) DoD Instruction 6055.1, DoD Safety and Occupational Health Program, August 19, 1998
(j) DLAI 7207, Injury Compensation Program
(k) Procurement Letter (PROCLTR) 2012-05, Privacy Act Requirements, October 31, 2011
(l) DLAI 6303, For Official Use Only Material
ENCLOSURE 2

RESPONSIBILITIES

1. DLA INSTALLATION SUPPORT OCCUPATIONAL SAFETY AND HEALTH (DS-O), UNDER THE AUTHORITY, DIRECTION, AND CONTROL OF THE DIRECTOR, DLA INSTALLATION SUPPORT (DS-D). DS-O must:

   a. Serve as the proponent for this issuance and program manager for ESAMS.

   b. Maintain the ESAMS contract for use across the Agency.

   c. Provide guidance on ESAMS use (e.g. handouts on supervisor and employee ESAMS login or other training aids as required).

   d. Provide oversight and approval for all ESAMS related changes (e.g. system change requests). DS-O will seek user feedback on significant changes. Provide technical guidance and assistance on system use.

   e. Provide oversight and program management for ESAMS to assure DLA meets all OSH recordkeeping and reporting requirements for DLA organizations worldwide.

   f. Assign OSH personnel as Contractor Incident Reporting System (CIRS) Administrators.

   g. Conduct a monthly review of DLA mishap, near miss, unsafe, unhealthful, and inspection reports for inclusion of privacy information and exclusion of required information. This information will be captured on the Mishap, Near Miss, Unsafe Unhealthful Review sheet and provided to the OSH Chief or Manager on a monthly basis.

   h. Provide periodic updates on ESAMS data system from collected data through the Designated Agency Safety and Health Official (DASHO) to the DLA Director.

   i. Grant ESAMS data system permissions above Supervisor 2 access on a case-by-case basis. All requests will be sent directly to DS-O using the share@dla.mil email address.

2. DLA HEADQUARTERS (DLA HQ) AND PRIMARY LEVEL FIELD ACTIVITIES (PLFA) DIRECTORS / COMMANDERS. The Directors/Commanders must:

   a. Review and monitor the completion status of their Command’s mishaps, inspections, unsafe, unhealthful, and near miss reports in ESAMS.
b. Review the “Command Safety Summary” and the “Executive Safety Summary” in ESAMS. These summaries show a report card on the command. The reports to be reviewed include mishap trends, inspections performed (DLA or Host OSH), and Risk Assessment Code (RAC) 1-3 deficiencies. Training and perception survey reports may also have information available if their use is required by local OSH instructions.

3. OSH CHIEFS/MANAGERS AND STAFF (OSH OFFICIALS). OSH Officials must:

   a. OSH Chiefs and Managers:

      (1) Review and process new user requests and make changes to employee records granting up to Supervisor 2 access in ESAMS’s Personnel Administration (PA) Module.

      (2) May develop local policy requiring supervisors document completion of workplace inspections (quarterly or monthly) on the Supervisor Workplace Inspection Checklists in ESAMS.

      (3) Review mishap, near miss, unsafe, unhealthful, and inspection reports in ESAMS for technical accuracy, timely response and completeness.

      (4) Provide DS-O Director OSH status updates on the Mishap Near Miss Unsafe Unhealthful Review sheet the third Friday of each month.

      (5) Provide Commanders or Directors with updates on mishaps and on the progress of corrective action request and deficiency notice hazard abatement on a quarterly basis.

   b. OSH Staff:

      (1) Review and process new user requests and make changes to employee records granting up to Supervisor 2 access in the ESAMS Personnel Administration (PA) Module.

      (2) Respond to employee and supervisor ESAMS questions or requests for assistance. Forward questions or concerns beyond OSH personnel access or capability to share@dlamil.

      (3) The DLA Form 1591 will be immediately returned to the supervisor for submission in ESAMS if submitted when ESAMS is available (e.g. the report wasn’t submitted in ESAMS because the supervisor never logged into ESAMS).

      (4) Enter DLA Form 1591s and DLA Form 1404s in ESAMS within one workday of receipt.

      (5) Review mishap and near miss reports in ESAMS ensuring that privacy information has not been documented in inappropriate fields. If privacy information has been included incorrectly, mark the report as invalid and close the mishap or near miss report. Request the employee or supervisor resubmit the report without the privacy information.
(6) Review and respond verbally or in writing to the supervisor and employee that submitted the mishap, near miss or unsafe, unhealthful report within one workday of receiving the DLA Form 1404, DLA Form 1591 or ESAMS email notification that an incident or hazard was reported.

(7) Work with the supervisor and safety monitor on site to obtain information required to successfully investigate mishap, near miss/hazard or unsafe unhealthful reports.

(8) Ensure mishap, near miss and unsafe unhealthful reports are investigated and investigation results (e.g. interim controls, corrective actions) are documented in ESAMS within one workday for imminent danger situations, three working days for potentially serious situations, and seven working days for lesser conditions.

(9) Complete a mishap or near miss analysis document (Enclosure 5) identifying causal factors and root causes for incidents (mishaps and near misses). The enclosure is a sample. The analysis document is required; however, the format of the document may be adjusted to meet the site needs so long as it includes, at a minimum, the information on the sample document (Enclosure 5). Enclosure 4 or equivalent analysis methods will be used to determine causal factors and root causes. If equivalent analysis methods are used, document the analysis method in local OSH guidance. Corrective actions generated will be based on the causal factors and root causes. Nonuse, misuse, or malfunction of personal protective equipment that results in injury or occupational illness will be reported as a causal factor. The analysis document will be reviewed and signed by appropriate personnel (e.g., OSH, workplace supervisor, affected employee, and member of management). Attach the analysis document to the mishap or near miss in ESAMS. Ensure the recommended corrective actions follow the hierarchy of controls.

(10) Document safety investigation results that are clear, detailed and technically sound in ESAMS for OSH inspections, hazard reports, near miss reports and mishap reports and OSH inspections. Privacy information will not be placed in fields designated for safety investigation notes in ESAMS.

(11) Deficiency notices will contain information that is written in a clear and technically proficient manner. Assign RACs for identified hazards in accordance with Reference (h). All interim controls identified in ESAMS will be effective in protecting personnel from hazards and followed until the hazard is corrected.

(12) Notify Commanders/Directors, Supervisors, the Union(s) and employees regarding the results of mishap, near miss and unsafe unhealthful report investigations.

(13) Provide the Union(s) notification of hazards identified in the workplace as a result of OSH inspections, mishap, near miss and unsafe unhealthful investigations. Adding the Union as a point of contact on the inspection or on the deficiency notice in ESAMS will result in this information being forwarded to the Union(s) representative.

(14) Provide deficiency notices generated from unsafe unhealthful, near miss, OSH
inspections and mishap reports to the appropriate supervisor and employee(s) identified to assist with corrective actions.

(15) Forward corrective action requests generated from mishap reports to the workplace supervisor for action.

(16) Provide supervisors a copy of the ESAMS deficiency report (abatement log) for all RACs not corrected within 30 days and a summary report for unsafe unhealthful concerns (including anonymous reports to the safety office) on a monthly basis with the requirement that the supervisor brief employees on the open deficiencies and summary report.

(17) Track hazards identified from unsafe unhealthful reports in ESAMS or the submission of a DLA Form 1404 by creating an inspection and generating deficiency notices.

(18) Review and validate corrective actions and interim controls put in place in response to ESAMS initial actions taken email notifications. Initial actions taken emails are generated from deficiency notices and corrective action requests.

(19) Review open deficiency notices and corrective action requests validating corrective actions were taken, interim controls are effective, and that the workplace supervisor is documenting status updates on a weekly basis.

(20) Respond to ESAMS deficiency notice request closure email notifications within one work day for RACs 1, 2, 3 and within 5 working days for all other RACs.

(21) Close out the ESAMS deficiency notice or corrective action request once all corrective actions and final abatement actions are complete.

(22) Use ESAMS data to identify and evaluate trends (e.g., hazards, accidents, near misses). The data, with all personal identifiers removed, will be used to prepare statistical reports, determine training requirements, etc.

(23) Assign designated representatives (COR or Contractor Supervisor) mishap and near miss reporting access in CIRS.

(24) Submit contractor mishaps and near miss incidents in CIRS when the designated contractor representative does not have access to CIRS.

4. DLA Supervisors must:

   a. Ensure all of their employees (direct reports) are properly assigned in ESAMS.
   
   b. Forward ESAMS questions or requests for assistance to designated OSH personnel.
   
   c. Provide the OSH official conducting inspections the names of one or more employees designated to assist in responding back to deficiency notices in ESAMS.
d. Submit mishap reports in ESAMS within one workday of receiving information relative to an incident (injury or equipment/property damage). Provide the OSH person investigating the mishap all documentation or information (e.g. medical reports, work order information, job hazard analysis, diagrams, etc…) relevant to the mishap. Notify union representatives in accordance with local OSH guidance.

e. DLA Form 1591 (Supervisory Mishap Report) will only be used to report mishaps when ESAMS is not available (e.g. no internet access, no computer). DLA Form 1591 contains Privacy Act protected information and shall be safeguarded in accordance with DLAI 6303 Reference (l). Store DLA Form 1591 either in a locked drawer or behind a locked door. Use DLA Form 1880, “Privacy Act Cover Sheet,” on any printed copies of DLA Form 1591. Only provide access to DLA Form 1591 for those persons with a need for the information as a requirement for the performance of the duties of their job. The DLA 1591 is used to collect information in accordance with Reference (f). The DLA Form 1591 will be completed and provided to designated OSH personnel within one workday of being notified of the incident. Provide the OSH person investigating the mishap all documentation or information (e.g. medical reports, work order information, job hazard analysis, diagrams, etc…) relevant to the mishap.

f. Submit near miss and unsafe unhealthful working condition reports in ESAMS within one workday of identifying the hazard or the near miss occurrence. Provide the OSH person investigating the incident all documentation or information (e.g. work order information, job hazard analysis, diagrams, etc…) relevant to the near miss and unsafe unhealthful working condition.

g. Provide detailed comments on all reports submitted in ESAMS. Do not include privacy information in the comments placed on the report.

h. Review deficiency notices and corrective action request for OSH recommendations on interim and permanent controls. Document interim controls (e.g. cones, caution tape, blocked off area, lock out tag out) and permanent controls (e.g. replaced damaged tile, replace damaged rack, replaced knives with self-retracting box cutters) taken in ESAMS under Section 3 of deficiency notices and corrective action requests within one workday of the notice or request issue date.

i. Interim controls will remain in place until the hazards are corrected.

j. Take action to ensure Risk Assessment Code (RAC) 1 hazards are corrected within 10 working days, RAC 2 hazards are corrected within 30 working days, and RAC 3 hazards are corrected within 90 working days.

k. Provide written status updates in ESAMS Section 3 of the deficiency notice and corrective action request as corrective actions occur and weekly until hazards are corrected.

l. Notify employees of all hazards identified as a result of a mishap, unsafe unhealthful report, near miss report or a safety and health inspection. Provide employees status updates on all hazards until corrective actions are complete.
m. Post copies of the deficiency notices and corrective action requests assigned RACs 1, 2 or 3 in the workplace at or near each place an unsafe or unhealthful working condition exists or existed for at least three days or until the hazard is abated.

n. Post a copy of the hazard abatement log (list of hazards not corrected within 30 days) and a summary report of unsafe unhealthful reports (including anonymous reports to the safety office) in a designated location in the workplace. The log and summary report will be provided monthly by the designated OSH office.

o. Respond to ESAMS email notifications indicating further action required on deficiency notices within two working days of the email notification.

p. Provide employees training on reporting unsafe unhealthful conditions and near misses in ESAMS. ESAMS training provides employees the option of reporting hazards electronically.

q. Provide employees assistance with reporting near misses and unsafe unhealthful working conditions in ESAMS or using the DLA Form 1404.

5. DLA Employees. All employees are encouraged to use ESAMS to notify their supervisor and their local OSH office of unsafe unhealthful working conditions and near misses. Employees may also use the DLA Form 1404 (Near Miss/Hazard Report Form) to notify their supervisor and their designated OSH office of hazards and near misses. Hazards that are immediately dangerous to life and health may be reported verbally to allow for immediate corrective action(s) and then followed up in writing (DLA Form 1404 or ESAMS). Employees will:

a. Comply with all interim controls, posting, and instructions concerning identified hazards and deficiencies.

b. Be alert for suspected unsafe acts, unsafe working conditions (e.g. spills, ripped carpet, etc...), hazards, or discrepancies that could cause damage, injury or death. Notify appropriate authorities in accordance with this instruction and site specific OSH guidance.

c. Comply with requirements identified in the DLA Instruction 7207 (Injury Compensation Program) in cases of an employee occupational illness or injury.

6. Reporting Contractor.

a. The designated Contracting Officer Representative (COR) or Contractor Supervisor will contact the CIRS Administrator (designated OSH personnel) to inform them that an incident has occurred.

b. Enter contract employee mishaps in CIRS.
ENCLOSURE 3

PROCEDURES

1. General User. All DLA personnel have access to report unsafe unhealthful working conditions and to report near miss incidents in ESAMS. Users may edit their own reports. Users may request assistance with ESAMS questions by contacting the designated OSH personnel. General Users (employees and supervisors) may be designated as “Person Responsible for Abatement (PRA)” to update the status of deficiency notices generated as a result of inspections or unsafe unhealthful working conditions.

   a. Near Miss Reports will be submitted for an act or event in which injury or property damage was avoided merely by chance. Employees are encouraged to verbally report near miss events to the workplace supervisor prior to submitting the report to ensure immediate steps are taken to prevent the injury or property damage that was avoided this time. To submit a Near Miss incident: Log into ESAMS, Click on the "Report Near Miss" tab. Select “Submit Report”. Complete all fields on the Near Miss Report. Click the "Submit Near Miss" tab. Employee’s supervisor and safety staff will be notified of this event via e-mail.

   b. Unsafe unhealthful reports will be submitted when an employee feels an unsafe or unhealthful working condition exists. To submit the unsafe unhealthful: Click “Report Unsafe Unhealthful” and select “Submit a Report On-Line”. Complete all fields and click the "Submit" tab. Employee’s supervisor and safety staff will be notified of this event via e-mail. An employee may select to submit the report anonymously. ESAMS will notify designated OSH personnel of the anonymous unsafe unhealthful reports.

   c. Employees (i.e. safety monitor, volunteers to assist the workplace supervisor) may be designated as “Person Responsible for Abatement (PRA)” to update the status of deficiency notices generated as a result of inspections or unsafe unhealthful working conditions.

      (1) Abatements/Corrective Actions Tab: Select the “My Links” tab on the left side of the ESAMS main page. Selecting the Abatements/Corrective Actions option takes the user to a new page that displays deficiency notices for which the employee has been assigned as the person responsible for action. Selecting a specific Deficiency ID number opens the notice and allows the employee access to update the status of deficiency notices generated as a result of inspections or unsafe unhealthful working conditions.

      (2) Document Abatement/Corrective Actions on Deficiency Notices:

         (a) Select “My Links” Tab

         (b) Select Abatements/Corrective Actions
(c) Select the + next to Deficiencies

(d) Select the Deficiency Identification (DEF ID)

(e) Sections 1 and 2: Scroll through the notice to review the Deficiency Comments, Recommended Interim Controls and Recommended Permanent Controls (corrective actions).

(f) Section 3A Abatement Initiated: Document interim controls put in place (cones, caution tape, etc…), estimated completion date and the work order description and number (as applicable).

(g) Section 3B Work Order Information: Enter the work order description, number and date (as applicable).

(h) Section 3D Costs: Estimated, final labor, final material and other costs should be documented as information is available.

(i) Scroll back to Section 3 Abatement: Select the “Save” tab on the right and then the “Abatement Initiated” tab. Close the window.

(j) Section 3E Status Comments: Provide weekly status updates for all hazards not corrected immediately. Provide detailed information on action taken since the last update. Once comments are added select the “Save” tab.

(k) Section 3C Request Closure: Once all recommended corrective actions are complete document the completion date and provide details in the Corrections Made block. Scroll back up to Section 3 Abatement and select the “Save” tab in the right corner before selecting the “Request Closure” tab in the left corner.

2. Supervisor 2. All DLA Supervisors will have “Supervisor 2” access allowing them to review and input mishap information on any DLA employee that falls within their Command. Supervisors will be designated as “Person Responsible for Corrective Action (PRCA)” to update the status of a corrective action or hazard abatement generated from mishap investigations.

a. Mishap Report (injury, illness):

   (1) Log into ESAMS. Select the “Supervisor Links” tab on the left side of the ESAMS main page. Select the “Report Mishap” tab and then the “Submit Mishap” extension to the right.

   (2) Provide information in all required fields. Do not include privacy information (e.g. employee names, addresses) in the comments sections of the report. The required fields are identified with a red asterisk. Additional supervisors can be added in Section 4 Comments and Actions. Supervisors included on the report will receive an email notice, can access the mishap from the hot list, and can add comments or status updates to the record.
(3) Select the “CONTINUE as a Mishap Report” tab at the bottom left of the screen.

(4) Select the “Add an Injury Illness” tab. Document the information for the employee injured in the mishap on the following screen and select the “Continue and/or Submit” tab.

(5) Select the appropriate response tab “I am Finished, Add an Injury Illness or Add a Property Damage.” Once all information has been added to the incident select the “I am Finished” tab. If required information was not provided an error message will appear. If all required information is provided a message will appear stating the injury/illness report was successfully submitted.

(6) An email notification is sent to the supervisor identified on the mishap report and designated OSH personnel.

(7) Successful submission will generate a printer friendly copy of the mishap, and the record will be viewable from the supervisor's hot list. The hotlist is located by selecting the “Supervisor Links” tab and selecting “Report Mishap.” The option to view the hotlist is displayed in the extension to the left.

b. Property Damage Report:

(1) Select the “Supervisor Links” tab on the left side of the ESAMS main page. Select the “Report Property Damage” tab and select “Submit Property Damage Report” extension to the right.

(2) Complete all fields providing detailed information on the mishap. Required fields are identified with a red asterisk. Do not include privacy information (e.g. employee names, addresses, etc…) in the comment sections of the report.

(3) Additional supervisors can be added in Section 4 Comments and Actions. Selected supervisors receive an email notice, can access the mishap from the hot list, and can add comments and status updates to the record.

(4) Select the “CONTINUE as a Mishap Report” tab and select the “Add a Property Damage” tab.

(5) Document the information for the property damage for every piece of equipment or property damaged and employee(s) injuries (if applicable).

(6) When material handling equipment or heavy machinery used to transport or move material is involved in a mishap the weight of the equipment (e.g. forklift trucks, cranes, stock chaser, stand up lifts, etc…) MUST be included in Tab 2 (Property Damage) of the mishap report in Section 1 Involved Persons, Description of Damage and Property block.
(7) Provided detailed information on the property (e.g. estimated cost, property identification number, is property repairable) in the Tab 2 Description of Damage and Property block.

(8) Provide details on the activity at the time of the incident and attach information. Information attached may include pictures of the incident, diagrams, or a job hazard analysis.

(9) Select the “Continue and/or Submit” tab. Select the appropriate response tab “I am Finished, Add an Injury Illness or Add a Property Damage.” Once all information has been added to the incident select the “I am Finished” tab. If required information was not provided an error message will appear. If all required information is provided a message will appear stating the property damage report was successfully submitted.

(10) Successful submission will generate a printer friendly copy of the mishap, and the record will be viewable from the supervisor's hot list. The hotlist is located by selecting the “Supervisor Links” tab and selecting “Report Property Damage”. The option to view the hotlist is displayed in the extension to the left.

(11) An email notification is sent to the supervisor identified on the report and designated OSH personnel.

c. Corrective Action Request: Corrective action request are issued to Supervisors. Supervisors will receive Correctives Action Requests generated from mishap (injury and property damage) and near miss reports. Respond to Corrective Action Requests:

(1) Select “My Links” Tab

(2) Select Abatements/Corrective Actions

(3) Select the + next to Corrective Actions

(4) Select the tab with corrective action requests

(5) Section 1: Corrective Action Information: Review the description of issue being mitigated and corrective action recommendation.

(6) Section 3 Actions Taken: Provide details on corrective actions taken and select an Estimated Completion Date. Document the costs to correct the hazard and work order information as figures are available.

(7) Scroll back to Section 2: Status: Select the “Save” tab and then select the “Initiated” tab.

(8) Section 3 Actions Taken: Provide weekly status updates for all hazards not corrected immediately. Provide detailed information documenting actions taken since the last update.
Include estimated costs, final costs, work order number(s) and the work order description as information is available. Select the “Save” tab.

(9) Section 2 Status: Once all recommended corrective actions are complete document the completion date and provide details in Section 3 Actions Taken block. Scroll back up to Section 2 Status and select the “Save” tab in the right corner before selecting the “Request Closure” tab.

(10) OSH personnel will review the request. If all actions are complete the request will be closed. ESAMS will generate a closure email to all persons designated responsible for corrective action(s).

3. Command. OSH personnel and management officials will be given Command-level access to review, input and edit data in ESAMS that relates to their command, covering both personnel and facilities. Data includes mishap, inspection, deficiency and abatement tracking reports of their supported activity.

4. Multi-Command. DLA locations with a Designated Senior DLA Commander or Site Lead will designate OSH Chiefs or Managers and OSH personnel to have access to the ESAMS records for all DLA organizations located at the installation. For locations that do not have a Designated Senior DLA Commander or Site Lead, DS-O will designate personnel to have access to ESAMS records at a specific installation.

5. DS-O. Conduct a review of mishap (injury, illness, and property damage), unsafe unhealthful, and near miss reports in ESAMS and CIRS to identify reports missing required information. Corrective action requests and deficiency notices generated from inspections, mishap and near miss reports will also be reviewed to identify notices missing required information, effectiveness of corrective actions/interim controls and timely responses based on RACs. This information will be captured on a Mishap, Near Miss, Unsafe Unhealthful Review Sheet and forwarded to the OSH Chief or Manager on a monthly basis (Enclosure 6).

6. OSH Officials. Use ESAMS to fulfill the OSHA recordkeeping and reporting requirements for all of DLA and applicable DLA contractors as well as the Agency tool to record and track deficiency (hazard) information, inspection data and unsafe, unhealthful events.

   a. Mishap Report (injury and illness):

      (1) “Incident Info” Tab;

      (a) Factors and Conditions Section: Select appropriate responses and ensure the Other Factors field contains clear relevant information. The cause code selected will reflect the information obtained from the safety investigation and the mishap near miss analysis.

      (b) Prevention and Lessons Learned Section: Add clear, detailed, technically sound information in the Investigation Comments and Lessons Learned fields.

      i. Lessons learned will be derived from the results of the safety
investigation and from employee feedback during mishap and near miss review or reenactments. OSH personnel will provide leadership an overview of the mishap or near miss along with lessons learned. The workplace supervisor will ensure incident summaries and lessons learned are shared with the workforce.

2. Select Job Hazard Analysis or Root Cause Analysis as appropriate. Use a mishap analysis document to provide details on the root cause analysis (Enclosure 5) completed for each incident. The enclosure is a sample. The analysis document is required; however, the format of the document may be adjusted to meet the site needs as long as it includes, at a minimum, the information on the sample document. The document will be reviewed and signed by the workplace supervisor, injured employee and a member of management. Attach the Mishap Analysis document to the ESAMS mishap report under the “Employee Name Tab” (2nd Tab across the top of the screen).

(2) “Employee Name” Tab;

(a) Section 4. Determination of Incident: Document whether the incident is a valid injury or illness report, select the type of incident from the drop down, identify whether it is an Occupational Safety and Health Administration (OSHA) log reportable case. Provide clear detailed information in the Determination Comment field justifying the OSHA Log Reportable decision.

(b) Section 5. Mishap Information Case Number: Document how the report was received by selecting from the menu. The Publicly Releasable Summary field will contain brief, clear, to the point information. Describe the injury or illness, parts of body affected, and object/substance that directly injured or made the person ill (e.g. Second degree burns on right forearm from acetylene torch) or damage sustained as a result of the incident. NOTE: The information put in this block will appear on the OSHA 300 Log in Column F Describe Injury or Illness. The Official Narrative field will contain clear, detailed, technically sound information from the safety investigation. Avoid duplicating the supervisor’s comments in the Publicly Releasable Summary field and the Official Narrative fields. Document the number of days the employee was off from work as a result of a licensed physician’s recommendation in the mission days lost block.

(c) Section 6. Lost Time and Cost Information Section: Select the appropriate choices from the menu options. Document hospitalization, lost and restricted days.

(d) Section 7. Injury Occupational Illness Information: Select the appropriate option from the drop down fields documenting the injury. Type in any medical information the employee provided in the Additional Medical Comments field.

(e) Section 8. Individual Prevention Actions:

1. Lessons learned will be derived from the results of the safety investigation and from employee feedback during mishap and near miss review or reenactments. OSH personnel will provide leadership an overview of the mishap or near miss along with
lessons learned. The workplace supervisor will ensure incident summaries and lessons learned are shared with the workforce.

2. Document corrective actions required by issuing a Corrective Action Request. The written information documented on the corrective action request will be clear, detailed, and technically sound for the intended supervisor to understand. The Corrective Action Request can only be issued to the injured employee’s supervisor. If additional actions are required to correct hazards, create a “One Time” inspection and issue a deficiency notice to the appropriate responsible person(s). Ensure the recommended corrective actions follow the hierarchy of controls.

3. Conduct a weekly review of corrective action requests and deficiency notices issued as a result of the mishap. Respond to corrective action request and deficiency notice Request Closure email notifications generated by ESAMS within one work day for RACs 1, 2 and 3 and within 5 working days for all other RACs.

(f) Attached Documents: Attach a mishap analysis document (Enclosure 5), pictures, the DLA provided OSHA Form 301 (if available) and any other information relevant to the mishap investigation in this area. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

b. Mishap Report (property damage):

(1) “Incident Information” Tab;

(a) Factors and Conditions Section: Select appropriate responses and ensure the Other Factors field contains clear relevant information. The cause code selected will reflect the information obtained from the safety investigation and the mishap analysis.

(b) Prevention and Lessons Learned Section:

1. Add clear, detailed, technically sound information in the Investigation Comments and Lessons Learned fields.

2. Select Job Hazard Analysis or Root Cause Analysis as appropriate. Use a mishap analysis document (Enclosure 5) to document the causal factor analysis was completed for each incident. The enclosure is a sample. The document is required; however, the format of the document may be adjusted to meet the site needs as long as it includes, at a minimum, the information on the sample document. The document will be reviewed and signed by the workplace supervisor, injured employee and a member of management. Attach the Mishap Analysis document (Enclosure 5) to the ESAMS mishap report under the “Property Damage” Tab (2nd tab across the top of the screen).

3. Lessons learned will be derived from the results of the safety investigation.
and from employee feedback during mishap and near miss review or reenactment. OSH personnel will provide leadership an overview of the mishap or near miss along with lessons learned. The workplace supervisor will ensure incident summaries and lessons learned are shared with the workforce.

(2) “Property Damage” Tab:

(a) Section 2. Determination of Incident: Document whether the incident is a valid property damage report. Provide clear, detailed information in the Determination Comment field explaining the determination.

(b) Section 3. Material Property Damaged: Click on “Add Property Detail” tab to document the information on each piece of equipment or property damaged in the mishap. Provide clear and detailed information obtained during the safety investigation in the Property and Damage Description field. OSH personnel will include the weight of the material handling equipment or heavy machinery used to transport material in the Damage Description Field.

(c) Section 4. Admin Investigation: Select the appropriate options from the selection menu. The Publicly Releasable Summary will be direct, clear, and technically sound. Document the number of days employees were unable to complete the mission as a result of the unavailability of the damaged property.

(d) Section 5. Property Damage Prevention Actions:

1. Select Add New Corrective Action to issue a Corrective Action Request. Document corrective actions required by issuing a Corrective Action Request. The written information documented on the corrective action request will be clear, detailed, and technically sound for the intended supervisor to understand. The Corrective Action Request can only be issued to the involved employee’s supervisor. If additional actions are required to correct hazards, create a “One Time” inspection and issue a deficiency notice to the appropriate responsible person(s). Ensure the recommended corrective actions follow the hierarchy of controls.

2. Conduct a weekly review of corrective action requests and deficiency notices issued as a result of the mishap. Respond to corrective action request and deficiency notice Request Closure email notifications generated by ESAMS within 1 workday for RACs 1, 2 and 3 and within 5 working days for all other RACs.

(e) Attached Documents: Attach the mishap analysis document, pictures, and any other information relevant to the mishap investigation in this area. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

c. Near Miss Report. “Incident Information” Tab:

(1) Determination of Incident Section: Document whether the incident is a valid
near miss report (e.g. no property or equipment damage, no injuries). If the incident involves damage or injuries close as invalid and request the workplace supervisor to submit the appropriate mishap report in ESAMS.

(2) Provide clear detailed information in the Determination Comment field.

(3) Factors and Conditions Section: Select appropriate responses and ensure the Other Factors field contains clear relevant information. The cause code selected will reflect the information obtained from the safety investigation and the mishap analysis.

(4) Prevention and Lessons Learned Section:

(a) Add clear, detailed, technically sound information in the Investigation Comments field.

(b) Corrective Action Request.

1. Section 1 Corrective Action Information;

   a. Description of Issue Being Mitigated: Enter clear, detailed technically sound information describing the causal factor(s) that contributed to the incident occurring (mishap or near miss).

   b. Corrective Action Recommendation: Enter clear, detailed, technically sound recommendations that directly address the causal factor(s).

   c. RAC Current: Select the appropriate RAC based on the intensity, frequency, duration of exposures and the severity of health effects in accordance with Reference (h).

   d. Annual Exposure Personnel: Enter the number of people exposed to the hazard on an annual basis.

   e. Hazard Category: Select the applicable category from the drop down menu.

   f. Corrective Action Type: Select the applicable category from the drop down menu.

   g. Personnel Responsible for Corrective Action: ESAMS restricts the person responsible for corrective action to the workplace supervisor(s) identified on the incident report. To protect privacy information, only supervisors with a valid need to know will be assigned as additional supervisors to the mishap report. If corrective actions are required by an employee other than the involved employee’s workplace supervisor, OSH personnel will initiate a “One Time” inspection and issue deficiency notices to the appropriate responsible person(s).
Document the deficiency notice identification number on the Corrective Action Request and the Near Miss Analysis document (Attachment 3).

h. Select the “Save” and then the “Response Required” tabs. The workplace supervisor can now access the corrective action request in ESAMS under the My Links “Abatements/Corrective Actions” tabs.

2. Section 2 Status;
   a. The workplace supervisor will select the “Initiated” Or “Request Closure” tabs as corrective actions are in progress and are completed.
   b. OSH personnel will select “Close Corrective Action” once all actions are complete. ESAMS will forward notification of the closure to the person(s) responsible for corrective actions.

3. Section 3 Actions Taken;
   a. The workplace supervisor will document Actions Taken, Estimated Completion Date, and Actual Completion Date. Work order information (Work to be Completed, Estimated Cost, Actual Cost, Work Order Number, and Identify whether Funds are Required) will also be documented when available.
   b. The workplace supervisor will provide a response to ESAMS notification of Corrective Action Requests within one work day for RACs 1, 2 and 3 and within 5 working days for all other RACs.
   c. The workplace supervisor will provide weekly status updates in Section 3 for open Corrective Action Requests in ESAMS until corrective actions are complete. Select the “Save” tab to retain the information on the corrective action request.
   d. Once all actions are complete the workplace supervisor will document all actions taken, select “Save” and then the “Request Closure” tab.

4. Select Job Hazard Analysis or Root Cause Analysis as appropriate. Complete a near miss analysis document (Enclosure 5) to record the causal factor analysis for each incident. The enclosure is a sample. The document is required; however, the format of the document may be adjusted to meet the site needs as long as it includes, at a minimum, the information on the sample document. The near miss analysis document will be reviewed and signed by the workplace supervisor, effected employee and a member of management. Attach the Near Miss Analysis document to the ESAMS Near Miss report under the “Near Miss Tab” (2nd tab across the top of the screen).

5. Lessons learned will be derived from the results of the safety investigation and from employee feedback during mishap and near miss review or reenactments. OSH personnel will provide leadership an overview of the mishap or near miss along with lessons learned. The
workplace supervisor will ensure incident summaries and lessons learned are shared with the workforce.

(5) “Near Miss” Tab:

(a) Admin Investigation Section: The Publicly Releasable Summary field will contain brief, clear, to the point information describing the incident. The publically releasable summary field will not be filled in with a copy and paste of the supervisor comments. Use the drop down or select from the menu options to complete the remaining parts of this section.

(b) Attached Documents Section: Attached Documents: Attach the near miss analysis document (Enclosure 5), pictures, and any other information relevant to the safety investigation in this area. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

(6) OSH personnel will review open corrective action requests on a weekly basis and provide assistance to the personnel responsible for action if needed.

(7) OSH personnel are responsible for responding to Request Closure ESAMS email notifications within one workday for RACs 1, 2 and 3 and within 5 working days for all other RACs.

d. Unsafe Unhealthful Report:

(1) Number 1a and 1b: Add clear, detailed, technically sound information in the Investigation Comments block. Select the appropriate date and Risk Assessment Code (RAC) using the drop down menu. Select the RAC based on the intensity, frequency, duration of exposures and the severity of health effects in accordance with Reference (h).

(2) Number 2 and 3: Add clear, detailed, technically sound information in the Employee and Supervisor Contact blocks. Document the date contact was made.

(3) Initiate an Unsafe Unhealthful inspection and issue deficiency notices for hazards. Ensure the recommended corrective actions follow the hierarchy of controls. Document the Unsafe Unhealthful report number on the deficiency notice in the Deficiency Comments Block. Update block 1a of the Unsafe Unhealthful Report to include the deficiency notice number in the Investigation Comments section. Conduct a weekly review of deficiency notice(s) issued as a result of the hazard identified on the unsafe unhealthful report. Respond to request closure notices from ESAMS within 5 working days of receipt.

(4) Select the “Save” tab to record the data.

(5) Number 4: Document the actions that have been taken to correct the hazard in the interim response block. Select the date from the drop down menu.
(6) Number 5: Provide recommendations for interim controls. Interim controls may consist of but are not limited to orange cones, posting caution tape to secure the area, etc…

(7) Click on the Generate Interim Response Letter above # 4. Generating the Interim Response letter will not automatically send notification to the creator of the unsafe unhealthful report. The letter generated is in Microsoft Word format. The Interim Response letter requires modification. Modifications include updating or adding references, removing references to the U.S. Navy in the body of the letter and adding the names of personnel the letter will be courtesy copied to. Distribute the letter. The site may develop a site specific response letter to provide the employee(s). Attach a copy of the site specific response letter to the unsafe unhealthful report in ESAMS.

(8) Number 6 and 7: Document the deficiency notice number and actions taken to correct or remove the hazard from the workplace.

(9) Select the “Save” tab to save the data.

(10) Select the Generate Final Response Letter above # 4. Generating the Final Response letter will not automatically send notification to the creator of the unsafe unhealthful report. The letter generated is in Microsoft Word format. The Final Response letter requires modification. Modifications include updating the references, removing references to the U.S. Navy in the body of the letter, adding address and telephone number to # 5 and adding the names of personnel the letter will be courtesy copied to. Distribute the letter. The site may develop site a specific response letter to provide the employee(s). Attach a copy of the site specific letter to the unsafe unhealthful report in ESAMS.

(11) Scroll to the top of the report and select Closed from the drop down menu. Select the “Save” tab.

e. Inspections:

(1) Create an Inspection;

(a) Initiate an inspection by selecting Administrative Links, inspection, inspection schedule and create an inspection. Select the inspection type, inspected object type, installation, status, and start date before hitting the “Create Inspection” tab. NOTE: Leaving the status as “Scheduled” will generate an email notice to the Inspector prior to the inspection due date with the frequency depending on the Inspection Type selected.

(b) Section 1 Inspection Information;

1. Enter the end date, mission risk category, buildings and department code.

2. Only OSH personnel (e.g. 0018, 0019, 0690) will be added to the Additional Administrator(s)/Closure Authority block. OSH personnel added will have access to work the
inspection and close deficiency notices. Selecting the “Make Mentor” tab allows senior OSH professionals to monitor less experienced OSH professionals as they complete inspections.

   a. Section 1 Inspection Information: Enter the end date, mission risk category, buildings and department code.

   b. Section 2A Inspection Point(s) of Contact: Enter names

   c. Section 3 Attached Documents: Load the inspection checklist and any other relevant documentation.

   d. Select Open Inspection

   e. Select Add Deficiencies and click on the Deficiency Identification Number to open and add information. Save information added and select Return to Inspection.

   f. Once all deficiencies have been added to the Section 1 of the inspection, select “Complete Inspection” Tab in the Click to Change Status box on the right side of the screen. If all required information was entered on the inspection and deficiency notices the inspection will close out as completed and the deficiency notice status will update to Response Required.

   g. Completing the inspection generates email notifications from ESAMS to the inspection POCs informing them the inspection has been completed and provides a list of deficiency notices issued. The Persons Responsible for Abatement identified on the deficiency notices will also receive email notification that they have items requiring their attention in ESAMS.

(2) Deficiency Notices (Inspection Section 4):

   (a) Select add deficiencies and click on the deficiency identification number to open and add information.

   (b) Section 1 Inspection Information: Add the external deficiency reference number if applicable.

   (c) Section 2 Deficiency Information:

       1. Select the date the deficiency will be issued and the building using the drop down menu. The option is available to type in a specific location if the location required is not provided in the drop down menu. Identify whether it is a repeat deficiency by checking the box and add the abatement priority using numbers or words (high, medium, low) in accordance with local OSH policy. Entering the priority will assist with prioritizing repairs and the abatement log entries. Enter information identifying the hazard, annual exposure, abatement type, Risk Assessment Code, and standard violated using the menu tabs.
2. Description Violation: Type in technically sound information explaining how the standard was violated.

3. Personnel Responsible for Abatement: Enter the names of the personnel responsible for abatement. Personnel responsible for abatement will include the workplace supervisor and employees the supervisor designates to assist with corrective actions.

4. Deficiency Comments: Explain the hazard or the hazardous conditions identified. (e.g. The support beam was missing from the rack. Material hanging off the rack creates a strike or crush hazard.)

5. Recommended Interim Controls: Enter technically sound information clearly describing what will be or has already been put in place to control the hazard in the workplace. (e.g., Place caution tape around the damaged rack.)

6. Recommended Permanent Controls: Enter technically sound information describing recommendations to correct or eliminate the hazard. (e.g. Repair the damaged water pipe and replace the damaged ceiling tile.)

7. Attach Document: Attach pictures, templates or other relevant information that will assist the personnel responsible for abatement with correcting the hazard. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

8. Save the information entered on the deficiency notice. Select the “Return to Inspection” tab.

9. The inspection has to be completed and closed out for the deficiency notices to be forwarded to the personnel responsible for abatement.

(d) Personnel Responsible for Abatement will respond to the deficiency notice and document interim controls and initial actions taken to correct the hazard within one workday for RACs 1, 2, 3 and within 5 working days for all other RACs. ESAMS will send email notification to the OSH official, inspection points of contact and the employees identified as responsible for abatement notifying them that abatement actions have been initiated.

(e) The OSH official will review open deficiency notices and provide assistance to personnel responsible for abatement on a weekly basis.

1. The OSH official is responsible for responding to request closure ESAMS notifications within workday of receiving notification for RACs 1, 2 and 3. Respond to all other RACs within 5 working days of receipt.

2. The OSH official will review deficiency notices requesting closure to verify all actions are complete. Once all actions are complete, select the “Close Deficiency” tab. ESAMS will generate email notification to the designated OSH official(s), inspection points of contact.
and employees designated as Personnel Responsible for Abatement indicating the notice has been closed.

3. If additional actions are required, designated OSH personnel will add comments in Section 3E Status Comments explaining what is required before selecting the “Save” and “Additional Response Required” tabs on the Deficiency notice. The notice will be returned to the Personnel Responsible for Corrective Action.

f. Contractor Incident Reporting System (CIRS):

(1) Complete instructions on the use of CIRS to generate contractor incident reports can be found by selecting the Help tab on the ESAMS main page, select ESAMS Documents, Instructional Guides, and CIRS Manual. The CIRS document is also accessible by going to: https://esams.cnic.navy.mil/ESAMS_GENER_2/DoD_Docs/ESAMS_DOC/ESAMSInstructionDocs/CIRS%20Manual.pdf.

(2) DS-O will assign designated OSH personnel as CIRS Administrator with access to create, edit, approve and submit a mishap or near miss report for contractors in the CIRS module in ESAMS.

(3) OSH personnel will provide DS-O the names of the COR(s) on site. DS-O will assign the COR(s) as a CIRS Administrator – Create/Edit/Report in ESAMS.

(4) Working (Entering) the Incident Report:

(a) Clearly describe the activity the employee was performing at time of incident. Do not include privacy information in narrative description blocks. Select the appropriate drop down response for personal protective equipment and who provided cleanup.

(b) Attach any document or pictures regarding the involved person’s injury or illness. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

(c) Document the type of property damaged using the drop down option and the property ID (make, model, serial, vin#). Provide a detailed description of the damage and include the weight of material handling or heavy equipment. Document the vehicle license number, and the number of days the equipment was unavailable for use as a result of the damage.

(d) Document whether appropriate license and certifications are current. Attach a copy of the license or certification.

(e) Once all required and relevant information specific to the mishap or near miss has been entered and the report is submitted ESAMS will generate an email to designated OSH personnel stating an incident has been reported and the record must be reviewed.

(5) Reviewing the Incident Record (CIRS Administrator – Create/Edit/Approve/Submit):
(a) Once the incident record has been submitted the record moves into Submitted status. The CIRS Administrator (OSH personnel) will receive an email stating that an incident has been reported and the record must be reviewed.

(b) Select Administrative Links then Contractor Incident Reporting(CIRS) in the drop down menu. The CIRS Main page will open.

(c) Go into the Administrative View section to review and complete the incident record.

(d) Attach relevant information from the safety investigation to the report.

(e) Select the standard violated.

(f) Identify whether a mishap review board was convened for the mishap.

(g) Select the cause code.

(h) Identify whether the incident occurred on base.

(i) Document the safety investigation results on the Administrative Comment Log.

(j) Click the “Save Admin Options” tab to save any information entered in the Administrative area without changing the status or sending an email.

(k) If additional information is required from the Reporting Contractor select Return to Contractor for More Info. The incident record status changes to Returned and emails are sent to the Reporting Contractor containing a new User ID and Password to enter CIRS and take required actions.

(l) If the CIRS Administrator is satisfied with the information in the incident record, the “Reviewed” tab is selected and the status of the report changes to Reviewed.

(m) The CIRS Administrator will Accept or Decline the report in the Administrative View area.

7. **CIRS Administrator –Create/Edit/Report (COR).**


   b. Email ESAMS questions or request for assistance to share@dla.mil.
c. The COR will have access to create, edit and review reports within their scope using the CIRS module in ESAMS. The contractor supervisor will contact the COR within one workday of being notified that an incident occurred.

d. The COR will assign the contractor supervisor (reporting contractor) access to CIRS on a one time basis for each mishap (injury/illness/property damage) and near miss incident within one workday of being informed an incident occurred. The COR will enter the appropriate information in CIRS to create and issue the contractor supervisor a User ID and password allowing one time access to submit a contractor mishap or near miss report. The contractor supervisor will receive two emails. One will contain the User ID and the other will contain the password.

e. Contractor User IDs and Passwords expire five (5) days after they are created. If the system is not accessed within five days the CIRS Administrator will have to open the incident record and select Reset Contractor User ID and Password. If the contractor went into the incident but didn’t complete all actions within five days, the CIRS Administrator (COR) will go into the CIRS Main page, select Requested Incidents and select Reset Login. Emails will go out containing the password and UserID.

8. Reporting Contractor (Contractor Supervisor). The Reporting Contractor contacts the COR within one workday of being notified that an incident occurred. The reporting contractor is provided a UserID and a password allowing access to CIRS on a one time basis for each mishap (injury/illness/property damage) and near miss incident as it is reported.

   a. Working (Entering) the Incident Report:

      (1) Select Administrative Links then Contractor Incident Reporting(CIRS) in the drop down menu. The CIRS Main page will open.

      (2) Incident Information Section

         (a) Section 1 – Contactor Information: Already populated.

         (b) Section 2 – Incident Type: Select the appropriate type of incident.

         (c) Section 3 – General Information: Select the date and time of accident by clicking on the field and use the popup windows. Enter a factual description of the incident. Do not include personal identifiers or opinions. Enter the specific location and identify whether hazardous material was involved. Clearly describe the activity the employee was performing at time of incident. Select the appropriate drop down response for personal protective equipment and who provided cleanup.

         (d) Section 4 – Fully Explain What Allowed or Caused the Accident: Document the direct and indirect cause(s) (action, event, etc…) which caused the incident. Document actions taken to prevent the incident from reoccurring.
(e) Section 5 – Contributing Factors: Select the appropriate factor or document in detail the factor that contributed to the incident.

(f) Section 6 – Attached Documents: Attach appropriate information relevant to the incident (e.g. pictures, training guidance, etc.). Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

(g) Section 7 – Additional Information: Information previously entered populates this area. Select the appropriate tab indicating whether the incident is an incident (mishap) or a near miss. If the user selects the “Incident (Mishap)” tab, then the options become available to select Add an Injury Illness or Add a Property Damage. Provide information relating to the mishap (injury, illness, property damage) or near miss to include the weight of the material handling or heavy equipment involved in the incident (mishap). Selecting the “Near Miss” tab will generate a message confirming there were no injuries or damage. Selecting “…OOOPS I still Need to Make Changes” tab allows the user to return to the involved person’s record and make any changes required. If information is not provided or entered correctly in required fields the system will provide a message indicating the areas requiring attention before the user allowing to continue.

b. Person Section (Mishap – Injury/Illness):

(1) Section 1 – Incident Type: Select the appropriate type of incident.

(2) Section 2 – General Information: Select the appropriate factors.

(3) Section 3 – Injury/Illness/Fatality Information: Select information appropriate for the incident.

(4) Section 4 – License: Document whether appropriate license and certifications are current. Attach a copy of the license or certification.

(5) Section 5 – Training: Document training information.

(6) Section 6 – Attached Documents: Attach any document or pictures regarding the involved person’s injury or illness. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

(7) Submit Incident: Select “Submit Incident” tab. I am Finished, Add an Injury Illness, Add a Property Damage, or …OOOPS I still Need to Make Changes will appear. Select the appropriate option. Once all information is added and “I am Finished” is selected, the record status changes to “Submitted.” ESAMS generates an email notifying the CIRS Administrator (OSH personnel) that action is required on the reported incident.
c. Property Damage Section:

(1) Section 1 – Involved Person Data: Select or provide appropriate information.

(2) Section 2 – Attached Documents: Attach any document or pictures regarding the property damage. Take appropriate precautionary measures in accordance with federal or local guidance (privacy, controlled area, sensitive information, etc…) when posting documents or pictures.

(3) Section 3 – Property Damage: Select the appropriate icon to document the incident. Document the type of property damaged using the drop down option and the property ID (make, model, serial, vin#). Provide a detailed description of the equipment to include the weight of the material handling or heavy equipment. Document the vehicle license number, and the number of days the equipment was unavailable for use as a result of the damage.

(4) Section 4 – License: Document whether appropriate license and certifications are current. Attach a copy of the license or certification.

(5) Section 5 – Training: Document training information.

(6) Submit Incident: Once all required and relevant information specific to the damaged property has been entered click Submit Incident. The following three options appear: I am Finished, Add an Injury Illness or …OOPS I still Need to Make Changes. Select the appropriate option. Once all information is added and “I am Finished” is selected, the record status changes to “Submitted.” ESAMS generates an email notifying the CIRS Administrator (OSH personnel) that action is required on the reported incident.
Causal factors are human errors or equipment problems that directly led to the loss event or allowed the consequences of the event to be more severe. Root causes are the management system weaknesses that allowed the causal factor to occur. The root causes of the causal factors must be identified and corrected.
## MISHAP NEAR MISS ANALYSIS SAMPLE

### Mishap Near Miss Analysis Sheet

<table>
<thead>
<tr>
<th>ESAMS Case Number</th>
<th>Date of Incident</th>
<th>Employee Name</th>
<th>Employee Job Title</th>
<th>Status</th>
<th>Organization</th>
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<td>LA20111XX</td>
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<table>
<thead>
<tr>
<th>Title</th>
<th>Prepared By</th>
<th>On Duty</th>
<th>Off Duty</th>
<th>Restricted Work Days</th>
<th>Lost Work Days</th>
<th>Mission Days Lost</th>
<th>OSH Representative Organization</th>
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<td></td>
<td></td>
<td></td>
<td>#</td>
<td>#</td>
<td>#</td>
<td></td>
</tr>
</tbody>
</table>

### What Happened

**Describe what happened in great detail. Do not include names in this section. If more than one employee was involved Employee A and Employee B may be used. Include pictures to show the scene of the incident.**

### Why Did It Happen?

**Provide the details on what contributed to or caused the incident to occur.**

#### Support Failure

- **(Equipment, Material, Supplies, etc..)**
- **Standards Failure**(SOP, JHAs, etc.)
- **Training Failure** (was correct, complete and sufficient training provided)
- **Leader Failure** (are standards communicated and enforced)
- **Individual Failure** (did not follow standards, tired, haste, self-induced fatigue)

**Provide the details on the corrective actions and interim controls recommended on the corrective action request and deficiency notices issued. Include the corrective action ID number or deficiency notice number issued in ESAMS here as well.**

#### Corrective Action Request (CAR)

- **Support Failure**
- **Standards Failure**
- **Training Failure**
- **Leader Failure**
- **Individual Failure**
- **Other**

### Supervisor Comments (Corrective Actions Taken)

- **The supervisor of the employee involved in the mishap or near miss will fill in the actions they took in response to the corrective action request or deficiency notice.**
  - **e.g. briefing employees on hazards, putting interim controls in place, calling in work orders, etc.,**

### Routing

- Safety Representative
- Supervisor
- Employee
- Senior Management Representative ((The Supervisors Boss))
- Deputy Director

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**ENCLOSURE 5**

Naval Air Station Key West 5100.21C, Safety Instruction
<table>
<thead>
<tr>
<th>Incident ID or Case#</th>
<th>Installation</th>
<th>OSH Chief or Manager</th>
<th>Discrepancy</th>
<th>Status Update</th>
</tr>
</thead>
<tbody>
<tr>
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