

## Mishap Reporting Procedures 15-6.01-K

Know the mishap reporting procedures, as presented in the E-PME Study Guide

### ***Mishap Reporting Procedures***

A mishap is an unplanned or unsought event or series of events that may result in death, injury, or occupational illness to Coast Guard and non-Coast Guard personnel as a result of a Coast Guard operation. Damage to or loss of Coast Guard equipment or property also serves as a mishap.

The Coast Guard has a Mishap Prevention Program in place to minimize personnel loss and property damage. Both command and individuals are delegated responsibility in the program.

- **Command Responsibilities.** Commanding Officers/Officers-in-Charge are responsible for ensuring that:
  - ▶ Personnel at or under their command are provided a safe and healthful environment
  - ▶ Their facilities and operations comply with all applicable federal laws and regulations and all Coast Guard instructions

Chapter 1 of the *Safety and Environmental Health Manual*, COMDTINST M5100.47, outlines specific responsibilities.

- **Individual Responsibilities.** EVERY person assigned to the unit, including the entire chain of command up to the Commandant, are responsible for ensuring a safe and healthful work environment.

Once the command determines that a mishap has occurred, and the initial assessment is completed or in progress, the mishap must be promptly reported to the proper authority in accordance with the Safety and Environmental Health Manual, COMDTINST M5100.47.

Mishap reports serve two main purposes. They:

- Initiate corrective action that will prevent future similar mishaps
- Improve Coast Guard operational readiness and efficiency by reducing unplanned losses due to mishaps

Accurate mishap reporting provides the Coast Guard with a safety-oriented understanding of the incident, resulting in valuable recommendations to prevent future mishaps.

***Reportable Events***

When reporting events that qualify as a mishap, the reporting priority used must match the mishap classification. To qualify as a reportable mishap, the event must involve death, injury, occupational illness, or damage or loss of property or equipment.

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***Death, Injury, or Occupational Illness***

The following are reportable mishaps:

- Coast Guard military members injured or killed, either on or off duty
  - Coast Guard Reserve military members injured or killed when on active duty status either on or off duty
  - Coast Guard civilian employees injured or killed while performing Coast Guard-related work
  - Coast Guard Auxiliarists injured or killed while under orders
  - Visitors at Coast Guard facilities or other civilian personnel harmed as a result of official Coast Guard operations
  - Civilian contractors working on Coast Guard property
  - A Coast Guard member who develops an illness that can be ascribed to an immediate (acute) or long-term (chronic) occupational exposure
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***Damage/Loss of Property or Equipment***

The following are reportable mishaps:

- Damage to Coast Guard facilities, including vessel, boat, shore facility, vehicle, weapon or other equipment.
  - Damage to other than Coast Guard facilities as a result of Coast Guard operations.
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***Non-reportable Events***

Incidents not classified as mishaps within the jurisdiction of Coast Guard safety officers involve:

- Civilian contractors at other than Coast Guard facilities when working on a piece of Coast Guard equipment, such as a vessel or aircraft, when it does not have a crew in attendance
- Suicide, homicide, or other malicious and intentional acts that result in physical harm or property damage

***Non-reportable  
Events (continued)***

- Intentional damage or injury including damage caused by:
    - ▶ Enemy or hostile action
    - ▶ Malicious acts of sabotage or arson
    - ▶ Law enforcement action ordered by competent authority
    - ▶ Intentional destructions or damage for research and development purposes
- (All of these events are to be included in an administrative report.)
- Damage from overwhelming storms, range or forest fires, or floods.

Many of these incidents, while not considered “mishaps,” may require reporting under the Personnel Manual, COMDTINST M1000.6 (series) casualty reporting system.

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***Mishap Severity***

Severity levels determine the amount of effort to be expended in analyzing the mishap and the amount of time allowed for initial notifications. Severity levels of mishaps are denoted as shown.

- **Class A Mishaps.** Most serious or costly and warrant a formal Mishap Analysis Board
  - **Class B Mishaps.** Sufficiently serious to also warrant formal Mishap Analysis Board action
  - **Class C and D Mishaps.** Less serious and do NOT warrant formal Mishap Analysis Board action
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***Class A Mishaps***

Class A mishaps are mishaps in which:

- The cost of reportable property damage is \$1,000,000 or greater.
  - A Coast Guard cutter is missing or abandoned, recovery is impossible or impractical, or repair is uneconomical.
  - An injury or occupational illness results in a fatality or permanent total disability.
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***Class B Mishaps***

Class B mishaps are mishaps in which:

- The resulting cost of reportable property damage is \$200,000 or more, but less than \$1,000,000.
  - Any injury or occupational illness results in permanent partial disability.
  - Five or more personnel are “in-patient” hospitalized.
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### ***Class C Mishaps***

Class C mishaps are mishaps in which:

- The cost of property damage is \$20,000 or more, but less than \$200,000.
  - A non-fatal injury or occupational illness results in any loss of time from work beyond the day or shift on which it occurred (lost-time case).
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### ***Class D Mishaps***

Class D mishaps are mishaps in which:

- The cost of property damage is more than \$1,000 but less than \$20,000 for non-aviation mishaps. The cost of property damage for non-aviation mishaps is less than \$20,000
  - A nonfatal injury or occupational illness occurs that does not meet the criteria of a class C mishap (no lost-time case).
  - A person is overboard, an accidental firearm discharge occurs, or an electric shock occurs that doesn't meet the criteria of a higher classification.
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### ***Mishap Investigations***

Mishap investigations are not conducted to place blame or to discipline or punish those involved directly or indirectly. The mishap investigation seeks to determine why a mishap occurred in order to prevent similar mishaps in the future.

The objective is to trace the events from a time when things were going normally until the mishap occurred, and then describe what happened during the mishap. This sequence of events is next analyzed for all the contributory factors that played a role in the mishap.

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### ***Mishaps Boards***

Mishaps boards are convened as follows:

- Class A and B mishap analysis boards are normally appointed by Commandant (CG-113).
  - Class C and D mishap analysis boards are normally conducted at the unit level with the Unit Safety Board.
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### ***Legal Investigations***

Investigations of mishaps involving serious injury or damage to property have always been investigated by the government for possible neglect or misuse by Government personnel. This type of investigation may take the form of a Court of Inquiry or other fact-finding body as specified by the Administrative Investigations Manual, COMDTINST M5830.1 series.

***Legal  
Investigations  
(continued)***

Since legal investigations are used for different purposes, including seeking to place blame for the mishap, witnesses are accorded the right not to testify if such testimony would be self-incriminating.

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***Privileged Nature  
of Material***

It's essential that the mishap analysis report provide a basis for effective preventive action. Certain portions of the material are obtained under the promise that the information will have a privileged status and cannot be used for disciplinary, punitive, promotion, evaluation, attrition, or litigation purposes.

Therefore, the material gathered for the mishap falls into two classifications:

- Category I: Privileged Material
- Category II: Nonprivileged Material

Deceased members should be covered and protected. Remains are NEVER to be photographed by non-investigative persons.

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***Category I:  
Privileged Material***

Privileged Material. Category I material is privileged and shall be given required special handling. Category I material shall include, but is not limited to the following:

- All evidence obtained under the assurance that it will be used solely for mishap prevention
  - All statements made to the mishap board
  - All conclusions, opinions, and recommendations made by the mishap board
  - The entire mishap report once it's assembled and signed by the board members
  - Photographs captioned by the mishap board where such captions require conclusions or opinions
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***Category II:  
Nonprivileged  
Material***

Category II material is nonprivileged. Work involved in obtaining and duplicating this material may be shared by the mishap board and fact-finding body.

***Category II:  
Nonprivileged  
Material  
(continued)***

Category II material shall include, but is not limited to, the following:

- Pieces of wreckage
  - Records, such as flight plans, weather reports and briefings, pilot aircraft and vessel log books, aircraft, vessel, shore facility, vehicle maintenance records, and weight and balance records
  - Photographs not captioned by the mishap board
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***Mishap Reports***

All Coast Guard members are prohibited from violating the privileged character of the mishap report in any way. This prohibition includes reproducing any part of a mishap analysis report or disclosing the contents by means of giving testimony relative to the mishap report.

All requests for mishap reports or excerpts outside the authorized distribution must be referred to the Commandant (G-KSE). The release of information not contained in the mishap analysis report is governed by the provisions of the Public Affairs Manual, COMDTINST M5728.2 (series) and the Personnel Manual, COMDTINST M1000.6 (series).

- **Directives, Publications, and Reports Index.** Always refer to the current edition of Directives, Publications, and Reports Index, (COMDTNOTE 5600) and current editions of specific directives to ensure that you are meeting requirements.
- **Public Affairs Manual, COMDTINST M5728.2 (series).** Refer to the Public Affairs Manual, COMDTINST M5728.2 (series) for information about the release of names for publication procedures.
- **Personnel Manual, COMDTINST M1000.6 (series).** Refer to the Personnel Manual, COMDTINST M1000.6 (series) for the following information:
  - ▶ Notification of next of kin procedures
  - ▶ Notification of the Commandant procedures
  - ▶ Release of names for publications procedures
  - ▶ Funerals and survivor benefits

***Mishap Reports***  
***(continued)***

- **Claims and Litigations Manual.** Refer to the Claims and Litigations Manual, COMDTINST M5890.9 (series) for the following information:
  - ▶ Instructions, requirements, and procedures for legal investigations (also refer to the Coast Guard Administrative Investigations Manual, COMDTINST M5830.1 (series))
  - ▶ Claims against Government procedures
  - ▶ Claims in favor of Government procedures
  - ▶ Claims for property loss by Coast Guard Personnel procedures (also see the Property Management Manual, COMDTINST M4500.5 (series))

**This untestable information can be accessed through the following web site:**

<http://www.uscg.mil/ccs/cit/cim/directives/welcome.htm>

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