

# NEAR MISS/ HAZARD IDENTIFICATION REPORT

**ROUTING:** Provide completed copy to your Supervisor then eMail to [safety@caltech.edu](mailto:safety@caltech.edu)

A. NEAR MISS/ HAZARD DESCRIPTION (Complete all that apply)			
<input type="checkbox"/> <b>Near Miss</b>		<input type="checkbox"/> <b>Workplace Hazard</b>	
<b>Occurred:</b>	<b>Department:</b>	<b>Location:</b>	<b>Reported to Supervisor:</b>
Date:			Date:
Time:           am           pm			Time:           am           pm
Describe the near miss/ hazard: (Provide any contributing events and circumstances; work activity; procedures or work instructions that may apply. Attach additional worksheets, drawings, photographs for clarification, if applicable.)			
<b>Root Cause(s)/Contributing Factor(s):</b>			
<b>Corrective Action Taken:</b>			
<b>Immediate:</b>			
<b>Long Term:</b>			
B. COMMUNICATIONS			
<b>Supervisor/Lead (print name):</b>		<b>Date:</b>	
<b>EHS (print name):</b>			
C. ENVIRONMENTAL (Check or complete all that apply)			
Potential Release (gas, liquid, solid)	Est. Amount	Unit of Measure (UoM)	

# NEAR MISS / HAZARD REPORT INSTRUCTIONS

## SECTION A: DESCRIPTION

1. **Near Miss** – A Near Miss is an event that does not, but could potentially result in a personal injury, property damage, or environmental harm (check the box and complete all the areas of the report that apply).
2. **Hazard** – A source of danger.
3. **Environmental** – A hazardous material spill or release that may or may not exceed spill permit or reporting requirements, or that is beyond the scope of Standard Operating Procedures and Preventive Maintenance activities (check the box and complete all areas of Sections A, B and E of the Mishap Report that apply). **This section applies to all spills.**
4. **Occurred** - Record the date and time the mishap or near miss occurred.
5. **Department** - Record the department(s) or business unit(s) involved
6. **Location** - Record the location (building, work area, machine, etc.).
7. **Reported to Supervisor** - Record the date and time the near miss/mishap was reported to supervision.
8. **Describe the Mishap** (provide as much detail as possible when describing the actual events, personnel, and equipment involved). Photographs, drawings, additional sheets, witness statements, etc. may be helpful.
9. **Potential Severity** - Estimate potential severity in terms of personal injury, down time, dollar cost, loss, or property damage defined as:
  - 9.1. **1 – Catastrophe** (Death, and/or loss > \$100,000) act or condition may cause loss of life, extensive structural damage, loss or failure of the final product, equipment or environmental damage.
  - 9.2. **2 – Critical** (Severe injury; or occupational illness; and/or loss \$10,000 - \$100,000) act or condition may cause serious injury or illness, resulting in temporary disability or property damage that is disruptive.
  - 9.3. **3 – Marginal** (Minor injury; or minor illness and/or loss \$1000 - \$10,000) act or condition may cause minor, non-disabling injury or illness, or little or no property damage.
  - 9.4. **4 – Negligible** (First aid injury; and/or loss less than \$1000)
10. **Potential Frequency** – Estimate potential frequency based on knowledge of the process, personal interviews with affected employees, defined as:
  - 10.1. **A – Frequent**, Likely to occur frequently (1 failure in < 1000 hours or every 6 months)
  - 10.2. **B – Probable**, Will occur several times over the life of the process/equipment (1 failure in 1000–10,000 hours; every 6 months to 5 years)
  - 10.3. **C – Occasional**, Likely to occur sometime in the life of the process/equipment (1 failure in 10,000-20,000 hours, every 5-10 yrs.)
  - 10.4. **D – Remote**, Unlikely, but possible to occur in the life of the process/equipment (1 failure in 20,000-40,000 hours, every 10-20 yrs.)
  - 10.5. **E – Improbable**, So unlikely it can be assumed it will not occur (1 failure in > 40,000 hours, > every 20 yrs.)
11. **Direct Cause** - The most likely cause(s) (e.g. unsafe act, unsafe condition or other)
12. **Root Cause(s)/Contributing Factor(s)** - Specify what cause(s) or contributing factor(s) played a role in the mishap
13. **Corrective Action Taken**
  - 13.1. **Immediate** – What was done immediately following the mishap (S.W.I.M.) to manage the situation, prevent reoccurrence or further injury, damage, or harm? Was ERT called?
  - 13.2. **Long Term** – What engineering controls, administrative controls or personal protective equipment can be utilized to prevent reoccurrence or reduce the mishap severity or frequency?

## SECTION B: SIGNATURES

14. Supervisor or lead of the work area should sign the Mishap Report form for all near miss/ hazard identification reports.
15. EHS Representative will sign the report after verifying the corrective action plan is complete.

## SECTION C: ENVIRONMENTAL

16. In process spills are defined as a spill of material that was being used in a process.
17. Provide the agents or substance, estimate amount released, unit of measure.