



# Standard Guide for Recording and Reporting of Injuries and Illnesses for the Maritime Industry<sup>1</sup>

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## 1. Scope

1.1 This guide provides injury and illness reporting criteria and terminology for maritime vessels and meets or exceeds U.S. Coast Guard casualty reporting requirements.

1.2 The focus of these injury and illness reporting criteria is to standardize recording and reporting, including terminology, for the maritime industry.

1.3 The criteria contained within this guide should be applied as minimum criteria to all injury and illness recording and reporting in the maritime industry unless otherwise specified.

1.4 The values stated in SI units are to be regarded as standard. No other units of measurement are included in this standard.

1.5 *This standard does not purport to address all of the safety concerns, if any, associated with its use. It is the responsibility of the user of this standard to establish appropriate safety, health, and environmental practices and determine the applicability of regulatory limitations prior to use.*

1.6 *This international standard was developed in accordance with internationally recognized principles on standardization established in the Decision on Principles for the Development of International Standards, Guides and Recommendations issued by the World Trade Organization Technical Barriers to Trade (TBT) Committee.*

<sup>1</sup> This guide is under the jurisdiction of ASTM Committee F25 on Ships and Marine Technology and is the direct responsibility of Subcommittee F25.07 on General Requirements.

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## 2. Referenced Documents

2.1 *ASTM Standards*:<sup>2</sup>

F2039 Guide for Basic Elements of Shipboard Occupational Health and Safety Program

2.2 *Federal Standards*:

29 CFR Part 1904 Recording and Reporting Occupational Injuries and Illnesses<sup>3</sup>

33 CFR Part 160 Navigation and Navigable Waters<sup>4</sup>

46 CFR Part 4 Shipping, Marine Casualties and Investigations<sup>3</sup>

33 U.S.C. 3301 Definitions<sup>5</sup>

46 U.S.C. 33 Inspection Generally<sup>4</sup>

46 U.S.C. 2101 General Definitions<sup>4</sup>

## 3. Terminology

3.1 *Definitions*:

3.1.1 *accident, n*—incident with unexpected or undesirable consequences.

3.1.1.1 *Discussion*—The consequences may be related to personnel injury or fatality, property loss, environmental impact, business loss, and so forth or a combination of these.

3.1.2 *activity/task, n*—what is actually being performed during the time of the near miss, unsafe act/behavior, hazardous/unsafe condition, or injury/illness.

3.1.3 *allision, n*—running of one ship upon another object that is stationary.

3.1.4 *bridge, n*—structure erected across navigable waters of the United States.

3.1.4.1 *Discussion*—Bridges include all integral elements of the overall structure, approaches, and appurtenances, regardless of the materials used, whether natural or manufactured, or

<sup>2</sup> For referenced ASTM standards, visit the ASTM website, [www.astm.org](http://www.astm.org), or contact ASTM Customer Service at [service@astm.org](mailto:service@astm.org). For *Annual Book of ASTM Standards* volume information, refer to the standard's Document Summary page on the ASTM website.

<sup>3</sup> Available from Occupational Safety and Health Administration (OSHA), 200 Constitution Ave., NW, Washington, DC 20210, <http://www.osha.gov>.

<sup>4</sup> Available from Electronic Code of Federal Regulations (e-CFR), <https://www.ecfr.gov>.

<sup>5</sup> Available from U.S. Government Printing Office, Superintendent of Documents, 732 N. Capitol St., NW, Washington, DC 20401-0001, <http://www.access.gpo.gov>.

the construction methods. This definition includes, but is not limited to, highway bridges, railroad bridges, foot bridges, aqueducts, aerial tramways, conveyors, gauging cables, causeways, and similar structures of like function. This includes, but is not limited to, fendering systems and structures used to maintain or operate the bridge.

3.1.5 “*bump and go*” groundings, *n*—U.S. Coast Guard (USCG) will not consider an unintended grounding to be a reportable marine casualty under 46 CFR Part 4.05 if the grounding can be classified as a “bump and go.”

3.1.5.1 *Discussion*—“Bump and go” groundings are occurrences in which the involved vessel master or licensed mate on watch attests that the grounding (including grounded barges under the control of a towing vessel) was only momentary (for example, reversing engines frees the grounded vessel on the first attempt, no assist vessel is needed to free the vessel, all towing connections remain intact) and that the grounding did not result in any other marine casualty criteria being met as defined in 46 CFR Part 4.05-1(a)(3)-(8). Initial notifications of “bump and go” groundings shall still be made to the appropriate USCG Command Center as a hazardous condition in accordance with 33 CFR Part 160.216. A USCG prevention officer shall review each reported “bump and go” grounding to confirm that it meets the criteria to be excluded from the grounding casualty reporting requirements under 46 CFR 4.05. The USCG response to a claim of a “bump and go” grounding is at the discretion of the cognizant officer in charge, marine inspection/captain of the port (OCMI/COTP); however, a USCG investigation and associated Marine Information for Safety and Law Enforcement (MISLE) activity for a reportable marine casualty should not be completed if the OCMI/COTP confirms the incident as a “bump and go.” A field unit that completes an optional investigation on a confirmed “bump and go” grounding should document the activity as a non-reportable casualty in MISLE with no associated CG-2692.<sup>6</sup>

3.1.6 *causal factor*, *n*—structural/machinery/equipment/outfitting problem, human factors, or external factors that caused an incident, allowed an incident to occur, or allowed the consequences of the incident to be worse than they might have been.

3.1.7 *collision*, *n*—structural impact between two ships or one ship and another moving object.

3.1.8 *commercial service*, *n*—defined in 46 U.S.C. 2101(5) and includes any type of trade or business involving the transportation of goods or individuals, except service performed by a combatant vessel.

3.1.9 *consequences*, *n*—undesirable or unexpected outcomes may result in negative effects for an organization and these consequences can range from minor injuries to major events involving loss of life, extensive property loss, environmental damage, and breaches related to security.

3.1.10 *corrective actions*, *n*—improvements to an organization’s processes taken to eliminate causes of nonconformities or other undesirable situations.

3.1.11 *efficiency*, *n*—ability of the vessel to perform and operate competently in its intended service, including the ability to carry and transfer its cargo safely.

3.1.12 *engaged or employed on board a vessel*, *v*—includes individuals who are on board a vessel to carry out work associated with shipboard operations, cargo operations, or maintenance.

3.1.12.1 *Discussion*—Persons in addition to the vessel’s crew include, but are not limited to, pilots, accommodation and hospitality staff, “temporary workers” such as visiting technicians, riding crews, contractors, divers, personnel in support of commercial diving operations, and persons supporting outer Continental Shelf activities.

3.1.13 *event*, *n*—happening caused by humans, automatically operating equipment/components, external events, or the result of a natural phenomenon.

3.1.14 *external factors*, *n*—issues outside the control of the organization.

3.1.14.1 *Discussion*—Examples include uncharted/unknown hazards to navigation, some sea or weather conditions, suicides or homicides, and external events.

3.1.15 *first aid injury*, *n*—(1) using a non-prescription medication at non-prescription strength (for medications available in both prescription and non-prescription form, a recommendation by a physician or other licensed health care professional to use a non-prescription medication at prescription strength is considered medical treatment for recordkeeping purposes); (2) administering tetanus immunizations (other immunizations, such as Hepatitis B vaccine or rabies vaccine, are considered medical treatment); (3) cleaning, flushing, or soaking wounds on the surface of the skin; (4) using wound coverings such as bandages, adhesive bandages, gauze pads, and so forth or using butterfly bandages or steri strips (other wound-closing devices such as sutures, staples, and so forth are considered medical treatment); (5) using hot or cold therapy; (6) using any non-rigid means of support, such as elastic bandages, wraps, non-rigid back belts, and so forth (devices with rigid stays or other systems designed to immobilize parts of the body are considered medical treatment for recordkeeping purposes); (7) using temporary immobilization devices while transporting an accident victim (for example, splints, slings, neck collars, back boards, and so forth); (8) drilling of a fingernail or toenail to relieve pressure or draining fluid from a blister; (9) using eye patches; (10) removing foreign bodies from the eye using only irrigation or a cotton swab; (11) removing splinters or foreign material from areas other than the eye by irrigation, tweezers, cotton swabs, or other simple means; (12) using finger guards; (13) using massages (physical therapy or chiropractic treatment are considered medical treatment for recordkeeping purposes); or (14) drinking fluids for relief of heat stress.

<sup>6</sup> U.S. Coast Guard (USCG) Form CG-2692, Report of Marine Casualty, [https://www.uscg.mil/forms/CG/CG\\_2692.pdf](https://www.uscg.mil/forms/CG/CG_2692.pdf).

3.1.16 *first aid case frequency, FAF, n*—total first aid injury cases multiplied by 200 000 (or 1 million) divided by the number of exposure (working) hours in the past year.

3.1.17 *fitness for service or route, n*—condition of the vessel and its equipment being such that it meets or exceeds minimum safety standards and is safe and reliable to operate in one or more particular types of service and in the locations in which it will be used.

3.1.17.1 *Discussion*—For vessels subject to inspection under 46 U.S.C. 33, fitness for service and route are directly related to the “route permitted and conditions of operation” provided by the vessel’s certificate of inspection (COI). Should an occurrence result in the material condition on the vessel becoming such that it requires the temporary or permanent reduction or restriction in the vessel’s operating parameters or route as compared to what is permitted in its COI, then the occurrence is considered to have met this criterion. For foreign vessels, the criterion is considered met if the occurrence requires the temporary or permanent reduction or restriction in the vessel’s operating parameters or route as a condition of classification or flag state requirement.

3.1.18 *grounding, v*—impact of a ship on seabed or waterway side.

3.1.19 *hazard, n*—condition with the potential to cause injury, illness, or death of personnel; damage to or loss of equipment or property; or mission degradation.

3.1.20 *hazardous/unsafe condition, n*—any condition that may adversely affect the safety of any seafarer, equipment, vessel, bridge, structure, shore area, or the environmental quality of any port, harbor, or navigable waterway.

3.1.21 *human errors, n*—performance of humans that deviates from the desired performance.

3.1.22 *illness, n*—including, but not limited to, skin diseases or disorders, respiratory conditions, poisoning, hearing loss, communicable illnesses, allergic reactions, heart attack, stroke, and all other occupational illness (for example, heatstroke, sunstroke, heat exhaustion, heat stress, and other effects of environmental heat; freezing, frostbite, and other effects of exposure to low temperatures; decompression sickness; and so forth).

3.1.23 *immediately, adv*—as soon as reasonably practicable without delay.

3.1.23.1 *Discussion*—Prompt notification is essential to ensure the timely and proper USCG and maritime stakeholder responses to marine casualties. Each reported occurrence shall be evaluated by a designated USCG investigating officer (IO). The USCG should consider delays in reporting caused by the need to address resultant safety concerns, such as responding to an emergency situation, to be valid. However, the responsible parties involved in a marine casualty shall make all efforts to notify the USCG quickly. All notifications to the USCG shall include the information detailed in 46 CFR Part 4.05-5. Examples of potential noncompliance with immediate notification include: (1) A crew member on a passenger vessel slips and breaks an arm during an excursion. The master fails to report the incident until completing a 40-min transit back to port. When the USCG IOs arrive on scene, several witnesses

have departed the vessel, impeding the ability to conduct an investigation. (2) A tank vessel loses all propulsion after switching to low sulfur fuel upon entering a North American emission control area. The vessel’s engineers are able to troubleshoot the problem at sea and the vessel proceeds to its berth. The master of the vessel delays reporting the incident to the USCG until the vessel is safely moored at the dock

3.1.24 *incident, n*—unplanned sequence of events or conditions or both that results in, or could have reasonably resulted in, a loss event.

3.1.25 *incident category, n*—for reporting fatalities, injuries, and illnesses, the categories are first aid cases, medical treatment cases (treatment beyond first aid), restricted work injuries, lost time injuries, fatalities, and recordable cases (sum of medical treatment cases, restricted work injuries, lost time injuries, and fatalities).

3.1.26 *incident type, n*—indicates the type of incident, such as struck by, struck against, trapped in, slip, trip, fall (same level or different level), fire, spill, strain/overexertion, caught between, contacted by, contacted with, exposure, and so forth.

3.1.27 *injury, n*—damage or harm caused to the structure or function of the body as a result of an outside physical agent or force.

3.1.28 *injury (USCG), n*—interpreted as damage or harm caused to the structure or function of the body as a result of an outside physical agent or force to a passenger, crewmember, or non-crewmember.

3.1.28.1 *Discussion*—This includes injuries that occur as a result of criminal or intentional acts (for example, assaults, fights, self-inflicted wounds) by crew members or passengers. However, USCG IOs should limit the scope of their marine casualty investigation to the preliminary level and notify the appropriate state or federal law enforcement agencies for injuries stemming from criminal or intentional acts. The USCG Circular<sup>7</sup> considers injuries and illnesses, as defined by the Occupational Safety and Health Administration (OSHA) in 29 CFR 1904.46, as separate types of occurrences. As such, pain or sickness caused strictly by an illness including, but not limited to, communicable illnesses (for example, colds and flu), allergic reactions (for example, food allergies and insect and jelly fish stings), food poisoning, heart attack, stroke, or other preexisting medical conditions, is not considered an injury and does not fall within the definition of this regulation. However, a physical injury that requires medical treatment beyond first aid incurred because of an illness (for example, a passenger on a ferry faints as a result of dehydration and breaks his or her arm) does fall within the definition of this regulation.

3.1.29 *intended grounding, v*—grounding is considered “intended” if it is a controlled, intentional maneuver to, among other things, hold position to adjust cargo, offload passengers, and/or hold position to allow other traffic to transit safely.

3.1.30 *intended strike of bridge, n*—strike (lay-up or landing) of a bridge is considered “intended” if it is a controlled,

<sup>7</sup> U.S. Coast Guard (USCG) Navigation and Vessel Inspection Circular No. 01-15, COMDTPUB P16700.4, NVIC 01-15, 21 July 2015.