



STANDARD PROCEDURE INSTRUCTION

Title		SPI #34-29
Advanced Investigation Protocol		
Department	Supersedes SPI Dated	Effective Date
Safety Health and Environment	Jan 21, 2014	March 29, 2016

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Advanced Investigation Protocol

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CONTEXT

- The Vale Advanced Investigation system is derived from the Transportation Safety Board's investigation model. The model provides the user a comprehensive and systematic approach to determine root cause of complex incidents.
- The executive leadership of Vale and the United Steelworkers Local 6166 has endorsed this investigative process. The endorsement provides a pathway for joint investigations of incidents that did or could have resulted in significant loss to life and/or property. These types of incidents are typically but not exclusively classified as "Type D and E" incidents.
- Users of the investigation model are introduced to the process through specialized training. Team leaders supplement the basic training with additional training that prepares them to provide focus and direction for the investigation team.
- The investigation model is designed to promote recommendations in several aspects of the management systems. These recommendations are developed from identifying key components of the timeline of the incident. The team recommendations are designed to have interrupted the incident timeline had they been in place at the time of the incident.
- This procedure is an instruction for starting the investigation process. It primarily outlines the responsibilities of roles that are typically associated with significant incidents. Experience has taught us that there will always be circumstances that are outside of the "norm." However, with joint conversation these isolated events can be accommodated and a successful investigation can be started.

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PURPOSE

The purpose of this document is to identify the responsibilities of the people involved in the advanced investigation process.

SCOPE

Advanced investigation protocols shall apply to high-risk and/or complex incidents involving Vale employees working on or off Vale property and to all contract personnel working on Vale property. The use of the advanced investigation model shall be approved by the department head (or their designate) and endorsed by the department Safety, Health & Environment Co-Chairs.

Vice-President

- Is the owner of the system.
- Shall, in consultation with the Divisional Safety, Health & Environment Co-Chairs review and provide any changes to this document.

General Manager

- Shall be accountable for the investigation process.
- Shall, as required, secure physical and human resources to facilitate the advanced investigation.

Manager

- Is the owner of the investigation.
- Shall, initiate the advanced investigation process in as timely a manner as possible.
- Shall, establish a written scope of the investigation.
- Shall, through the respective General Manager, request resources to facilitate the investigation.

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- Shall as legally required, notify the Mines Inspector(s) of the incident and that an advanced investigation model is being proposed to uncover the root cause of the incident. The frequency of reports and an expected completion date will be established through consultation with the Mine Inspector(s).
- Shall in consultation with the department Safety, Health & Environment (SHE) Co-Chair select the team leader.

Note: The investigation team leader shall have successfully completed the applicable training and should have participated in at least one advanced investigation. In addition, every effort shall be made to have the team leader not from the department where the incident originated.

- Shall, in consultation with the investigation team leader and the department SHE co-chair, identify joint team members.
- Shall, together with the department SHE co-chair, meet with the team leader and other team members prior to commencement of the investigation to set expectations. (Reports, frequency of reports, target completion date, etc.)
- Shall, together with the department SHE co-chair, meet with the team leader and other team members prior to commencement of the investigation to review a written scope of the investigation.

Report distribution: the manager shall ensure that reports are distributed as follows:

- The manager shall ensure the report(s), for the mines Inspector(s), Manitoba Labour and Immigration, is available within seven (7) days of the occurrence of a reportable incident and/or accident - one paper copy, one electronic copy when legally required. If the investigation is not complete, shall provide an update to the Mines Inspector(s) and make a request for extension.

<p>NOTE: Any variation of the legal requirements for reporting out shall be made in consultation with the Mine Inspector(s) of Manitoba Labour and Immigration.</p>
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- Records Storage – one paper copy, one electronic copy

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Department Safety, Health, & Environment Co-Chair (Includes Manager)

- Are the sponsors of the investigation.
- Shall assist in selecting the team leader and members.
- Shall review the selected team members with the team leader for any potential conflict, prior to final approval of the team members.
- Shall be available to meet with the team leader and members to set the investigation expectations.
- Shall meet with the team leader and members to review the scope of the investigation.

Advanced Investigations Team Leader

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- Shall review with the Manager and department SHE co-chairs for any potential conflict the list of selected team members, prior to final approval of the members.
- Shall ensure timely release of required reports.
- Shall maintain focus and facilitate the investigation process.
- Shall act as the spokesperson for the investigation team.
- Shall ensure that the investigation documentation is stored at records storage.

Advanced Investigations Team Member

- If agreed upon by the Co-Chairs and Team Leader, and released by their home department, shall participate fully in the investigation process until the completion of the investigation.
- If for some reason cannot participate in the Investigation when selected or once the investigation process has begun, must provide the reason or reasons for their inability to participate to the Co-Chairs and Team Leader.

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Report Distribution

The final report will be reviewed with the **Manager** and the departmental SHE co-chair, for clarity prior to distribution of the final report. The Team Leader shall ensure that reports are distributed as follows:

- Manager – one paper copy, one electronic copy
- Department SHE Co-Chair– one (ea) paper copy, one (ea) electronic copy

COMMUNICATIONS

- The Manager shall provide for internal and external communications as determined at the pre-investigation meeting. (hazard alert, significant incident report, etc.)
- The team leader will provide investigation updates to the departmental SHE Co-Chairs as agreed upon at the pre-investigation meeting.
- Review by department JHSE committee – Full Report
- Create HiPo Analysis Report to share investigation findings with employees.

Approved By	Title
	Vice-President, Manitoba Operations
Date	