



Types of Safety Investigations and Endorsement Process





Overview

- Types of investigations
- Types of investigation boards
- Mishaps that require a Safety Investigation Board (SIB)
- SIB composition
- SIB member responsibilities
- GSO / GSMs responsibility to SIB



Reference

OPNAVINST 5102.1D / MCO P5102.1B

Chapter 6

***“Safety Investigation Board (SIB)
Requirements”***



Types of Safety Investigations

The vast majority (> 98%) of all mishaps are investigated by installation safety specialists or unit level safety officers/managers.

The extreme few mishaps that require a SIB could have been avoided by both effective root cause analysis of previous mishaps with less severity.

And/Or

Through effective risk management to reduce hazards thereby reducing probability.

This is in both the planning phase and during “on-the fly / time critical” moments as the environment changes around the operator or the team.





Unit Level Investigations

Ground mishaps requiring investigation & reporting in WESS by the Unit Safety Officer

- All Off-Duty Military mishaps that occur off base (Class A, B, C, D, and other reportable)
- All On-Duty Military, mishaps that do not require a SIB
- All On-Duty Federal Civilian, mishaps that do not require a SIB
- All On-Duty Contractor (Under direct DON supervision), mishaps that do not require a SIB



Types of Safety Investigations “Investigation Boards”

Directed Safety Investigations

See Appendix A (page A-1)



Types of Safety Investigations “Investigation Boards”

Standing Boards

MCO P5102.1B Para 6007

Members

- Minimum of 2 personnel
- Assigned in writing
- Pool of qualified senior members & may rotate
- Maintain list of board members to SDO

*Currently not used by
the Marine Corps
(Ground)*

NTSB Investigation Boards

Investigates all civil transportation mishaps. (*Highway crashes, ship / marine mishaps, aviation and railroad mishaps*)



Types of Safety Investigations “Investigation Boards”

Joint Investigation Boards

“Joint service mishap involves two or more services in which one or more service(s) experience reportable injuries or damage.” *MCO P5102.1B Para 6008 & App E*

Appendix E

- Clarifies “ownership” of a mishap

Investigating Authority

- **Service experiencing the greater loss**
- Follow their service specific investigation manual
- Change on a case by case basis
- Determines endorsing chain



Types of Safety Investigations “Investigation Boards”

Navy-Marine Corps Safety Investigation Board (SIB)

“Appointed to identify hazards and causal factors in serious incidents.” *Para 6000*



Establishment of a SIB

Controlling Command (Pg. 1-7; 6-18)

- Regional 3-Star level commands.
- Establishes endorsement chain.
- Assigns SIB file numbers.
- Serves as liaison between the SIB, the Appointing Authority, CMC(SD), and COMNAVSAFECEN.
- Provides evidence to Endorsers as requested.



Operational Controlling Commands

MARFORCOM, MARFORPAC, MARFORRES, MARCENT

Support Controlling Commands

MCICOM, MCCDC, MARCORSYSCOM, MARCORLOGCOM, MCRC



Establishment of a SIB

Appointing Authority *(Pg. 6-2 and G1-2)*

– The first General Officer (GO) in the Chain of Command

- *Typically the GO with ADCON*
- *May be the GO with OPCON*



– Responsible for *appointing SIB members* in writing
(see Figure 6-2)



Example of Controlling Command and Appointing Authority relationships

Controlling
Command

★ ★ ★
COMMARFORxxx

Appointing
Authority

★
CG Xxx MARDIV

Mishap
Unit

Xrd BN Xth MAR



Mishaps that require a Safety Investigation Board (SIB)



Mishaps Requiring a SIB

- All **on-duty Class A** mishaps that occur **on or off base**
 - Military and Federal Civilian
- All **off-duty Class A** mishaps that occur **on base**, involving *Military Personnel*.
 - **ONLY stated in Appendix A, paragraph 1.a.(2)**
- *Military death* that occurs *during or within 1 hour* after completion of organized, *command directed* physical training (PT) activities regardless of pre-existing medical condition
 - (e.g., *PFT, CFT, PRT, PFA, MCMAP, Conditioning Hikes, etc*)



Mishaps Requiring a SIB

- An on-duty injury where death or permanent total disability (PTD) is *likely to occur*.
- Where property damage is *expected to exceed* two-million dollars (\$2,000,000).
- *Hospitalization, beyond observation, of 3 or more personnel, at least one is a DoD civilian, involved in a single mishap.*
- All explosive mishaps. (*Class A, B, C, D, 1st Aid, no injuries.*)
- All ordnance impacting off range. (*Class A, B, C, D, 1st Aid, no injuries*)



Mishaps Requiring a SIB

- ***All live fire mishaps resulting in an injury*****
 - *(from a bruise to a minor cut to life threatening injuries)*

** See Glossary 1 for definition of “injury”
- Any mishap that a Controlling Command determines the need for a more thorough investigation and report, beyond that provided by the command’s safety investigator.



Composition of a Navy-Marine Corps SIB



SIB Composition

➤ USMC Required Board Composition

- *(3) Board Members; (5) preferred*
- **Must be appointed in writing the “*Appointing Authority*”**
 - 1st General Officer (GO) in the Chain of Command (CoC)
 - Deployed units = 1st GO with OPCON
- **Board members cannot participate in other investigations of the same incident**
 - *See Pages. 1-11, para q.; 1-12, para g; A-3, para (1) & (2);*
 - *Also Fig 6-1 on page 6-19; Fig 6-2 on page 6-20.*



SIB Composition

Senior Member

- Shall **NOT** be from mishap command
- Equal to or senior in grade to commander of mishap unit
 - Military (O-5 or above) or Civilian (GS-13 or higher)

- May confer with appointing authority on board appointees.
- Appointing authority shall request a rank waiver from the appropriate controlling command if needed.



SIB Composition

Safety Representative (e.g. GSO/GSM, GS-0018)

- Required for all USMC Safety Investigation Boards
- Must complete Ground Mishap Investigation course (A-493-0078) or equivalent
 - (NOTE: Ground Safety for Marines (GSM) course **does not** meet the “equivalent” requirement)
- Shall not be from the mishap unit
- Shall not participate in a JAGMAN

NOTE: All Safety reps (GS-0018 and uniformed GSO/GSMs) who have attended the CMC(SD) mishap investigation course since 2012 are trained in the application of DoD HFACS.



SIB Composition

Subject Matter Expert (SME)

- Strongly recommended
- Subject Matter Expert on equipment, systems, or procedures (*e.g., policy, procedures, explosives, weapons, combat vehicles, motor transport, construction, vehicle or building maintenance*)
- Involved at the mishap site as early as possible
- Inspect wreckage & recommend recovery operation
- ***MUST provide written report on findings to Sr. member***

NOTE: *All MARCORSYSCOM PMs and Engineers who have attended the CMC(SD) mishap investigation course are trained in the application of DoD HFACS.*



SIB Composition

Competent Medical Authority (*Optional*)

- Qualified Medical Officers (M.O.) (*i.e. cardiologist, flight surgeon, etc*)
- Analyzes medical evidence, autopsy, specifics of injuries / illnesses
- Main focus: medical and assist with physiological, psychological, social, & behavioral factors.
 - NOTE: *The M.O. should understand DoD HFACS version 7.0.*
 - *General Medical Officers (GMO) are not typically versed in HFACS.*



SIB Composition

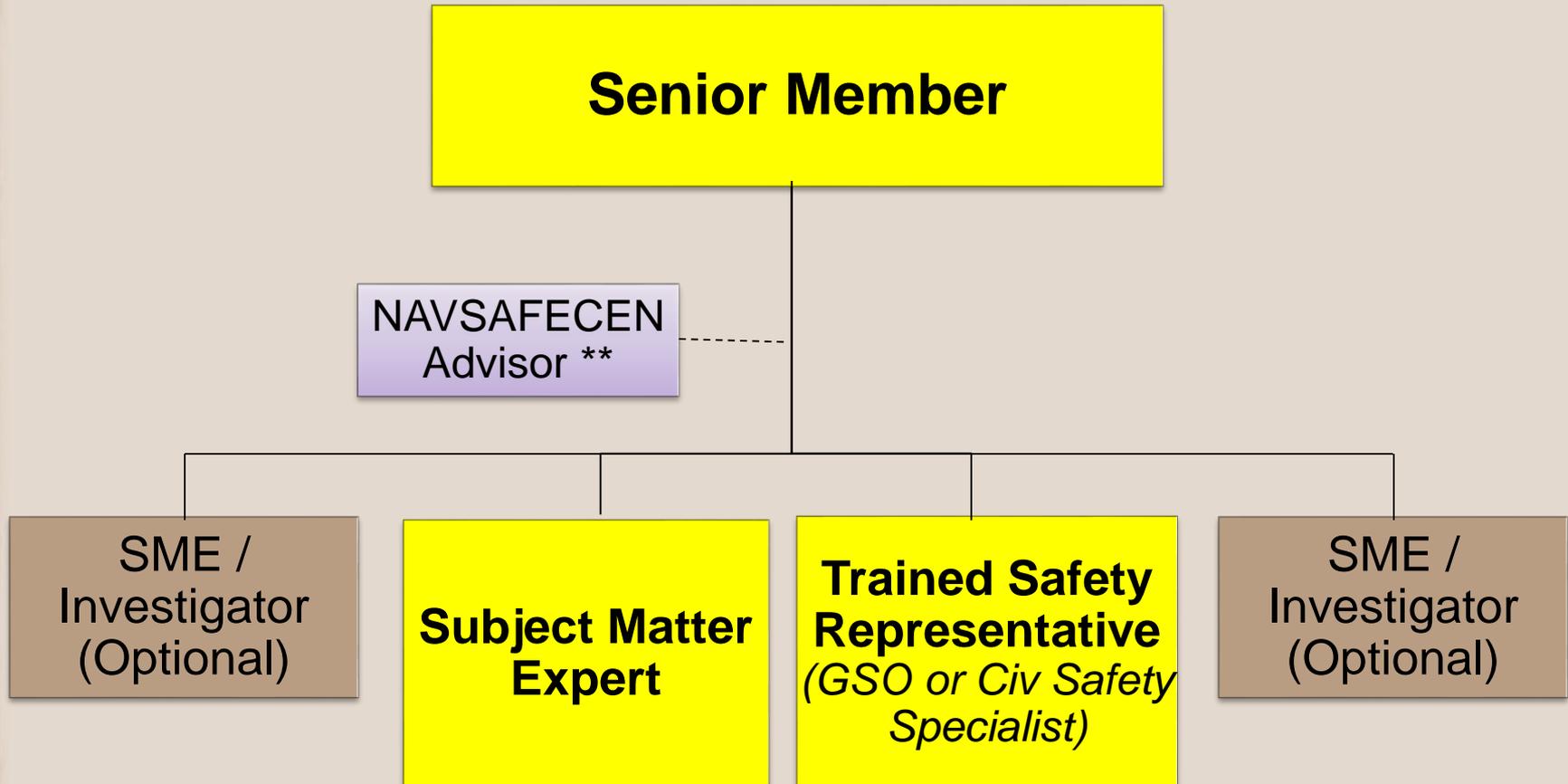
COMNAVSAFECEN Advisor:

- Normally **NOT** a member of the SIB.
- *Trained safety investigation advisor must support all:*
 - *On-duty* Class A mishaps (mil & civ)
 - *Off-duty military, on-base* Class A mishaps
 - Explosive mishaps (Class A, B, & C)
 - Ordnance impacting off range
 - Live fire mishaps resulting in an injury
(Class A, B, C, D, or 1st Aid)
 - Other mishaps beneficial to the Commandant's safety program.
 - Certain On-duty Class B Mishaps (CMC SD Msg 140116APR14)

Well versed in application of DoD HFACS taxonomy



Required SIB Composition





Responsibilities of the SIB Senior Member



Senior Member Responsibilities

See Chapter 6, Paragraph 6005.

#1 Rule

Do ***not*** consult with the following personnel regarding the content of the SIREP prior to its release:

- Commander of mishap command
- Mishap command's chain of command
- The senior member's chain of command

See Chapter 6, Paragraph 6005.



Senior Member Responsibilities

See Paragraph 6005

1. Visit the mishap site immediately and actively participate in the investigation.
2. Request technical assistance.
3. Prohibit board members from divulging the results of the investigation and contents of the SIREP outside the SIB.
4. Allow the NAVSAFECEN Advisor:
 - *Unrestricted access to all evidence, summaries of witness' statements and proceedings.*
 - *To communicate with CMC(SD) or COMNAVSAFECEN, to provide updates on the status of the safety investigation.*



Senior Member Responsibilities

5. Ensure all witnesses understand and sign the advice to witness statement.
6. Determine which witnesses will be offered the opportunity to make a statement under the concept of privilege. (*“Promise of Confidentiality”*)
7. Recommend modification to the composition of the board to the appointing authority.
8. **Direct the preparation and release of a Hazard Report (HAZREP):**
 - Hazard (*related to the mishap*) with the potential for widespread applicability



Senior Member Responsibilities

9. Recommend the *mishap unit* immediately *release a HAZREP* for:
 - *Hazards not related to the mishap with the potential for widespread applicability.*
10. Refer all external FOIA requests to NAVSAFECEN.
11. Request permission for the “Controlling Command” to terminate safety investigation if determined it is a non-mishap.



Senior Member Responsibilities

12. Notify Controlling Command if autopsy report indicates the death may not have been the result of a mishap.

13. Direct the preparation and release of the SIREP within **30 calendar days** of **convening the board**.



Senior Member Responsibilities

14. Transfer custody of all relevant documentary evidence to COMNAVSAFECEN
 - *e.g. Board members' personal notes, original copies of summaries of all statements, photographs and negatives, and tape recordings.*
 - ***No copy of evidence shall remain at the unit level or in the possession of board members.***

NOTE: Unauthorized disclosure of Safety information by military personnel is a criminal offence punishable under article 92 of the UCMJ.

Unauthorized disclosure by civilian personnel will subject them to disciplinary action under CIVPERSINST 752.



Initial Organization of SIB

“Best Practices”

- Coordinate with Controlling Command, Appointing Authority, and mishap unit Commander to ensure logistics arranged for investigation team. (*travel, office space, transportation, etc*)
- Sr. Member meet with SIB members before going to the mishap site.
- Ensure Investigation focuses on the “3 Ws”.
- Assume custody of scene as soon as NCIS / PMO / Fire Dept. release.



Initial Organization of SIB

“Best Practices”

- Sr. Member use the mishap unit's *Pre-Mishap Plan* to establish lines of communication with affected organizations (*e.g Mishap Unit CoC, PMO / Local Law Enforcement, PAO, Local Unions, Contractor(s), Contracted Employee(s), Other services as needed*)
- Coordinate with PAO for press inquiries



Ground Safety Officer's Role in a SIB

- Preserve evidence - Assist command with conducting safety investigation until SIB arrives.
- Protect Safety Information IAW MCO P5102.1B & UCMJ.
 - Shall not be appointed as a member of a SIB investigating own unit's mishap.
 - Shall not assist JAG or be assigned to conduct JAGMAN investigation.
- Release HAZREPS as required or requested by the SIB Senior member.
- Ensure command-wide dissemination of lessons learned.



SIB Endorsement Process



SIB Endorsement Requirements

General – *Endorsements are:*

- Required for all SIREPS resulting from SIBs.
- For Official Use Only (FOUO).
- “Privileged” information.
- Released to endorsing chain via Automated Message Handling System (AMHS).



SIB Endorsement Requirements

Endorsing Chain for all mishaps

- Determined & modified by the Controlling Command
- Next Endorser is “Action addressee”, all other endorsers listed as “info addressee”

Endorsing Chain for *(Explosive Mishaps)*

- Endorsers **shall** include:
 - *Marine Corps Systems Command (MARCORSYSCOM)*
 - *Naval Ordnance Safety and Security Activity (NOSSA)*

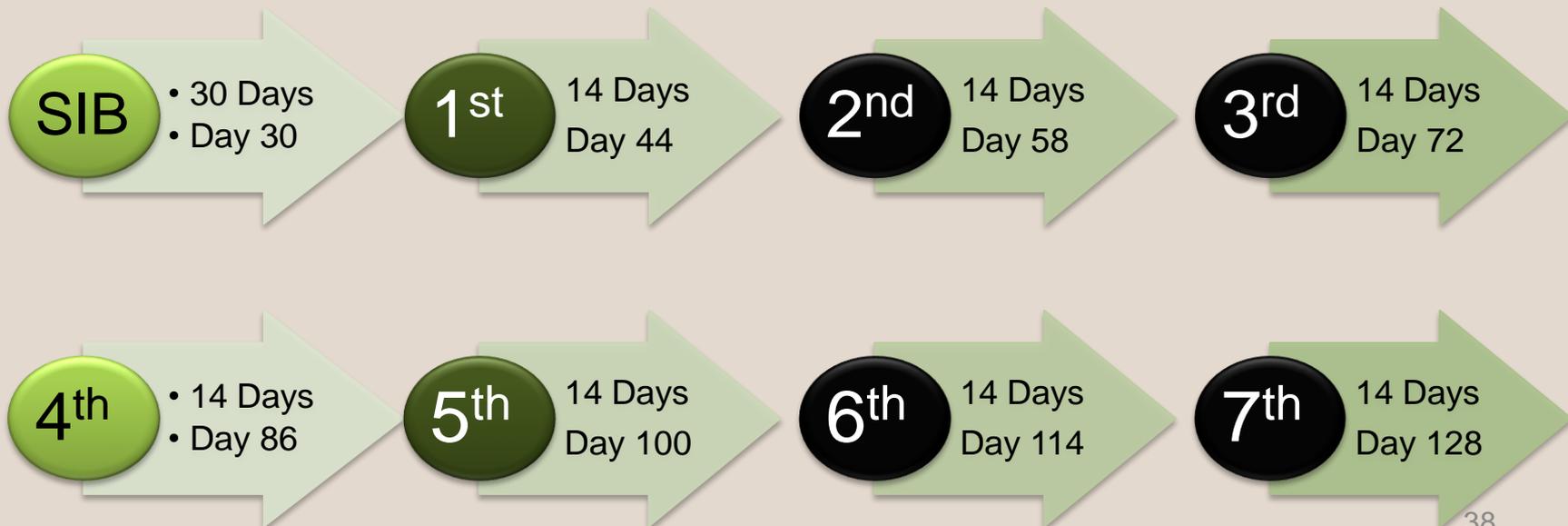
Chap 6, para 6014.1



SIB Endorsement Requirements

Endorsement Timeline / Deadlines

- **First Endorsement:** Due w/in 14 calendar days of receipt of the SIREP.
- **Subsequent endorsements:** Due sequentially within 14 calendar days of receipt of preceding endorsement.





SIB Endorsement Requirements

Endorsement Timeline / Deadlines:

- Endorsers shall request an extension from the ***controlling command*** via AMHS.
- All other endorsers shall be included as “info addressees”.
- Extension request must include;
 - *Number of days needed to complete endorsement*
 - *Justification* for extension request



SIB Endorsement Requirements

Endorser Responsibilities

- Review SIREP & previous endorsements
- Request copies of documents for review
- Request extension if unable to meet 14 day requirement
- Agree / Disagree with *findings, recommendations, and RACs* of the SIB (*NOT previous endorsees*)
 - Agree – Add brief statement of concurrence: “**CONCUR**”
 - Disagree – “**DO NOT CONCUR**” & provide reason for disagreement
- Example:

“Concur with the causes and RACs of the SIB. Do not concur with recommendation 3 for causal factor 2:”



SIB Endorsement Requirements

Endorser Responsibilities

- May request re-opening investigation.
- Must destroy copies of the SIREP & supporting documents upon endorsement completion.

Appointing Authority may:

- Reconvene the SIB, addressing specific concerns.
- Appoint a new SIB.
- Require documentation from endorser (*who considered the incomplete investigation*) to document the concerns in their endorsement for action by higher authority.



CMC Safety Division

MISHAP INVESTIGATION & REPORTING TOOLBOX

Courtesy of the USMC Safety & Occupational Health Branch, the following tools and resources have been made available to facilitate proper and effective safety practices throughout the Corps.

Downloadable PPT

Downloadable DoD HFACS taxonomy

Downloadable flow chart and reporting matrix

- [USMC Protection of Safety Information](#): this informative PDF allows safety professionals to educate their commands on the importance of safety information. This document offers insights into:
 - Safety vs. Legal Investigation Boards
 - Protecting Safety Information
 - Freedom of Information Act
 - Promise of Confidentiality
 - Memorandum of Agreement (Safety Center and NCIS)
 - Legal aspects of the mishap site
- [DoD HFACS Taxonomy](#): an investigation and risk management tool in support of ground commands.
- Cheat Sheets:
 - [Mishap Reporting Requirements and Investigation Flow Chart](#)
 - [Mishap Classification and Reporting Matrix](#)



Summary

- **Types of Investigative Boards**
- **Identified Mishap requiring a SIB**
- **Composition of SIB**
- **Senior Member Responsibilities**