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**IALA Guideline No. ####**

**On**

**Incident/accident reporting and recording, including near miss situations as it relates to VTS**

**Edition 1**

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Incident/accident reporting and recording, including near miss situations as it relates to VTS

# Introduction

This Guideline is intended to outline general principles on incident/accident reporting and recording. This item is in line with the 1st conclusion of the 18th IALA conference*: “IALA should consider providing guidance on anomalous behaviour recognition to improve VTS operations and ship monitoring”.*

This Guideline will be helpful in the decision to the question what actually a marine incident is and when an incident evolves into an accident. It will also define possible different usages of VTS incident/accident reports.

# Background

Background would be a section of the introduction, if required. It could refer to previous editions or other IALA documents that have been used / are superseded by this document.

As MSC-MEPC.7/Circ. 7 guidance on near-miss reporting has been included in the ISM Code since 1st January 2010, the idea of the above action taken is:

1) To make watch keepers of merchant ships, fishing vessels and any other type of ship aware to navigate with caution in a VTS area;

2) To make companies of merchant ships aware on the management of the competency of their

personnel in charge of watch-keeping;

3) To inform Flag State authorities and Class Society acting on behalf of them of the situation in

order to exercise attention in a future audit of the company and the ship on the resources and

personnel point of the ISM, in particular for personnel in charge of watch-keeping on the bridge.

To be extended / edited (existing IALA/IMO papers regarding obligatory/recommended reporting ?)

Check <http://www.imo.org/OurWork/Safety/Implementation/Casualties/Pages/Reporting.aspx>

# Definitions

For the development and understanding of this Guideline, the following definitions are used and proposed.

**An Accident** means, as defined in MSC.255 (84) known as Casualty Investigation Code:

an event, or a sequence of events, that has resulted in any of the following which has occurred directly in connection with the operations of a ship:

* the death of, or serious injury to, a person;
* the loss of a person from a ship;
* the loss, presumed loss or abandonment of a ship;
* material damage to a ship;
* the stranding or disabling of a ship, or the involvement of a ship in a collision;
* material damage to marine infrastructure external to a ship, that could seriously endanger the safety of the ship, another ship or an individual; or severe damage to the environment, or the potential for severe damage to the environment, brought about by the damage of a ship or ships.
* **A marine incident** means, as defined in MSC.255 (84):

an event, or sequence of events, other than a marine casualty, which has occurred directly in connection with the operations of a ship that endangered, or, if not corrected, would endanger the safety of the ship, its occupants or any other person or the environment.

* **Near-miss means**, as defined in MSC-MEPC.7/Circ.7 Guidance on near-miss reporting:

a sequence of events and/or conditions that could have resulted in loss. This loss was prevented only by a fortuitous break in the chain of events and/or conditions. The potential loss could be human injury, environmental damage, or negative business impact (e.g., repair or replacement costs, scheduling delays, contract violations, loss of reputation).

* **Close quarter situation**, proposition based on near-miss definition above: a sequence of events and/or conditions between different vessels that could result in a collision between vessels.
* **VTS Record** – document, stating result and providing information of situation observed and activity performed.

Further detailed accident classification ?--- grounding, collision, capsizing, etc.

# Principles of Incident/accident Recognition and recording by VTS

4.1. Maritime Incident/Accident VTS Recognition

The correct assessment of the situation by VTSO is fundamental for the actions should be taken for preventing losses or reducing negative subsequences. For these purposes appropriate VTS authorities must determine safe criteria for particular VTS area.

As a result of above-mentioned determination the combined criteria, defining safe situation for different environmental conditions, should be elaborated.

These criteria could be also used in VTS decision support tool.

Typical algorithm of incident/accident recognition and reporting by VTS is shown on Fig.1. below *(“Diagram of Maritime Incident/Accident VTS recording and reporting”).*



Figure 1. Diagram of Maritime Incident/Accident VTS recording and reporting

4.2. Required technical ability of VTS

It is essential that VTS must have ability to record and store all relevant information regarding recognized incident/accident situations, including traffic picture, VHF communications, VTS operator actions, etc..

Technical means of VTS should be in line with relevant technical requirements (V-128?) to ensure proper data recording and storage. VTS data exchange system can also be used for automated report generation and forwarding.

**Collection of evidences**

There are different evidences a VTS operator can collect from the VTS recording system.

A print picture of the VTS system display is the first evidence of a traffic event. This picture can be consolidated with the past track following positions of ships. The layout obtained gives a clear vision of the ships manoeuvring.

Radio VHF recordings are also interesting evidences for the mate on duty or the master confirms the situation was not fully taken into account.

# Procedures for VTS reporting

**5.1. Basics**

It is important that VTS Authority should have specially developed and adopted operational procedure (-s) for exchanging information on maritime incidents (including near-miss situation) and accidents. These procedures should include:

* what information should be shared;
* the responsibility for the transmission of such information;
* the geographical areas of VTS responsibility for reporting ;
* to whom the information should be transmitted;
* which vessels should be reported and when.

Refer to IALA V-127 Recommendation for more details regarding VTS Operational procedures.

The VTS authority needs to take into account how the VTS is organized regarding geographical traffic situation, typical weather etc. in their work to make operational procedure regarding incident/accident reporting.

**5.2. Which is the area to be considered by the ship's masters to report incidents :**

The ship's master should consider the VTS area declared by the VTS authority to report incidents. In other area, incidents can be reported to VTS as the nearest coastal station. If so, VTS should forward the IR to the relevant maritime authority.

**5.3. For which vessels should Incident Reports (IR) be sent ?**

The IR should be sent for all types of vessels in the sense of COLREGs 72, rule 3-a : « The word « vessel » includes every description of watercraft, including non-displacement craft, WIG craft and seaplanes, used or capable of being used as a means of transportation on water ».

***Do we have to include the following vessels :*** *warships, naval auxiliaries and other ships owned or operated by a Member State and used for non-commercial public service.*

**5.4. To whom VTS reports may be addressed**

* + Competent Authority
  + Port Authority
  + VTS Authority
  + Adjacent VTS
  + Port State Control Authority (PSC)
  + Marine Safety Investigation Authority
  + Law Enforcement Authority
  + Flag State Maritime Authority
  + Shipping Company
  + Class society delivering the ISM certification on behalf of the flag State
  + Maritime Rescue and Coordination Centre (MRCC)
  + International Maritime Organization/Agreement (e.g. EMSA, PMOU, etc.)
  + Pollution Monitoring and Response Centre

|  |  |  |  |
| --- | --- | --- | --- |
|  | **Accident report** | **Incident report** | **Near Miss report** |
| Flag state Maritime Authority | X | ? |  |
| Competent Autority | X |  |  |
| Port Authority | X |  |  |
| VTS Authority | X |  |  |
| Adjacent VTS | X |  |  |
| Maritime Rescue Coordination Centres (MRCC) | X |  |  |
| Port State Control Authority (PSC) | X |  |  |
| Marine Safety Investigation Authority | X |  |  |
| Class society delivering the ISM certification on behalf of the Flag State | X |  | X |
| Shipping Company | X |  | X |
| International Maritime Organization/Agreement (e.g. EMSA, Paris MoU...) | X |  |  |
| Law Enforcement Authority | X |  |  |
| Pollution Monitoring and Response Centre | X |  |  |

Incident and Near Miss column should be filled after discussion

5.5. Reports to be considered by VTS

|  |  |  |
| --- | --- | --- |
| **#** | **Type of Report** | **Suggested Accronym** |
| **1** | Incident / Accident reports related to the safety and seaworthiness of the ship | SITREP |
| **2** | Incident / Accident reports related to environmental damage (pollution) | POLREP |
| **3** | Incident / Accident reports related to loss of objects (containers, cargo...) | CARGOREP |
| **4** | Incident / Accident reports related to rule infringement (COLREGs, Ship reporting systems, VTS rules...) | LAWREP |
| **5** | Incident reports related to near-miss situation | NEARMISSREP |
| **6** | Incident report related to waste management by the ship | WASTEREP |
| **7** | Incident report related to the presence of banned ships | BANREP |

**5.6. Usage of VTS incident/accident reporting**

An incident statistics can be used for to find errors in the communications procedures and in the VTS operational procedures or for other internal/external use. Incident reports can be sent to other authorities and/or international organisations.

The VTS incident/accident reports can be used for:

* **Prevention of subsequent accidents**

Incident reports should be sent to shipping company to improve their safety culture.

* **Later investigation**

VTS accident report together with all relevant recorded VTS information can be used for further investigation by Marine Safety Investigation Authority (acc. to MSC255(84) Casualty Investigation Code)

* **Emergency notification**

Operational/Law enforcement authorities are interested in getting instant near real time information regarding incidents/accidents in their area of responsibility

* **Training**

Incident reports can serve for lesson learning of all stakeholders (VTS operators, pilots, shipping companies, etc).

* **Statistics**

Collected incident/accident statistics can lead to intention of revision existing routeing systems, AtoN systems, etc.

# Collection of statistics

To be done later

# Conclusions

To be done later

# Annexes

1. Examples of VTS Reports

Guidelines should have Annexes. Appendices are attached to Annexes.

1. ANNEX HEAD1

Figure 2. Diagram of Maritime Incident/Accident VTS recording and reporting

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* Office 2007, go to down arrow next to Numbering icon and select Set Numbering Value
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