



Subject Area no. 30: Incident reporting, investigation & training

Principle: The company has a programme to report and investigate incidents; determine immediate and root causes and implement appropriate corrective actions.

Level	Expectations	Targets	Suggested objective evidence
Basic	<p>The company has a process to ensure prompt reporting of non- conformities, accidents and hazardous situations.</p> <p>The company has defined categories of incidents in their SMS.</p> <p>The company has a process for investigating incidents.</p>	<p>A reporting and investigation procedure should be in place with the following elements:</p> <ul style="list-style-type: none"> - Process for defining and reporting incidents. - All incidents and near misses should be reported and classified according to severity. - The level of incident investigation should be consistent with the severity and / potential of the incident Incidents and near misses include but not limited to safety, environmental, security, health, regulatory non- compliances 	<p>Procedure or process describing:</p> <ul style="list-style-type: none"> -Incident investigation categorisations for forms -Reporting and notification criteria -Investigation forms and guidance <p>Examples of reported and investigated incidents e.g. completed incident and investigation reports.</p>



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Basic (cont'd)		<p>All incident investigations should identify causal factors, root causes, corrective and preventive actions the company must have procedures in place to ensure that details of any reportable events are provided to the responsible regulatory authority within specified time limits.</p> <p>The Company has access to sufficient resources and personnel who can assist in investigation; this may include independent contractors.</p>	



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Basic (Cont'd)	The company provides basic Incident investigation training to both office and vessel personnel	Incident investigation team leader is trained in incident investigation. Other members of the team are trained in HSSE Management including basic investigation. Training is conducted by the company both for office and vessel personnel. Incident investigation is a part of the company's core training module.	Evidence that investigation training is conducted e.g. training procedure/ matrix, training records. Evidence that investigation leader is trained e.g. example of investigation report and experience of investigation leader.



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Intermediate	<p>All Incidents and near misses are investigated according to a defined investigation methodology and based on the severity. The company provides instructions on securing evidence from VDR, ECDIS, AIS, CCTV, other electronic data systems, etc.</p> <p>The incident investigation team leader shall have formal external incident investigation training, this is applicable to office and vessel personnel</p>	<p>There is a documented incident investigation process which includes methodology, time frame, incident team composition, training, resources, collection of evidence, site securing, etc.</p> <p>The composition of team should be well balanced and include - subject matter experts as appropriate, managers as appropriate with the severity of incidents- Investigation methodology expert / competent- Investigation team leader should be independent of the incident.</p>	<p>Procedure that describes the investigation process and investigation requirements</p> <p>Examples of incident investigations where: - All identified corrective and preventive actions should be implemented and the corresponding evidence should be available. Evidence of training of incident investigation team leaders.</p>



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Intermediate (cont'd)	<p>The company has a procedure that a safety meeting is held after any serious incident or accident on the ship.</p> <p>Incident are shared throughout the fleet.</p>	<p>There is an incident investigation report review process in place where corrective and preventive actions are identified. Corrective and preventive actions should be implemented and tracked to closure. The SMS is amended, as necessary, considering the lessons learned.</p> <p>The company has process to share incidents and associated learnings in a timely manner (first communication should be made as soon as practicable depending on the severity of the incident) Managers in the office review incident investigations, findings and lessons learned.</p>	<p>Evidence of sharing of incidents e.g. by emails, webinars, meetings, etc. Findings transmitted to all vessels in the fleet</p>



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Advanced	<p>Data from incidents is analysed to capture trends.</p> <p>Senior management review incident reports.</p> <p>Incident investigation training is refreshed at periodic intervals</p>	<p>Root causes from incidents are analysed across the company to understand any common trends and actions taken.</p> <p>Actions are developed based on trends observed.</p> <p>Review of procedures is part of the post investigation process. There is a database to monitor incidents, as well as the relevant corrective and preventive actions together with their close out. There is a process to flag overdue investigation reports and action items.</p> <p>Senior management review incident investigations depending on the severity of the incident.</p>	<p>Evidence of cause trend analysis e.g., trend analysis reports, presentations, minutes from management review meetings</p> <p>Tracking system of causal factors, root causes and corrective action to determine trends and analysis e.g. examples of reports from systems</p> <p>Management involvement in incident investigation. Review of incidents investigations in management meetings e.g. presentations, meeting minutes</p> <p>Review of refresher training records</p>



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Excellence	<p>Incidents are shared with industry groups.</p> <p>Management reviews corrective and preventive actions for serious incidents.</p> <p>First line supervisors in onboard and from the office, receive formal external incident investigation training that is refreshed at periodic intervals.</p>	<p>Benchmarking done with industry bodies and other companies.</p> <p>High potential near misses and actual incidents are shared with industry bodies with a view to share lessons learned.</p> <p>Management reviews effectiveness and status of corrective and preventative actions of serious incidents.</p> <p>Company provides formal external incident investigation training to key staff ashore and onboard at intervals not exceeding five years.</p>	<p>Evidence of participation in industry groups including sharing high potential incidents. Industry incidents are reviewed and disseminated as appropriate.</p> <p>Review of external training and refresher training for staff.</p>