

Appendix 1 to LWI on HazSit - List of significant incidents and accidents to be reported to the Company Management by DPAs

Health

For all health related incidents, all personal identifying information from all reports is to be removed in order to comply with the requirements of any legislation relating to the privacy of patient health information.

Category	Reportable occurrences	Explanatory / Notes / Interpretation	Remarks
HEA 1 DEATH	DEATH OF ANY PERSON ASSOCIATED WITH THE SHIP, EITHER ONBOARD OR ASHORE, AND REGARDLESS OF THE ROOT	Includes passengers, crew, contractors and visitors. Includes death during independent activities ashore as well as Company arranged shore excursions.	
HEA 2 INJURY	AN INJURY TO A PASSENGER, CREWMEMBER, CONTRACTOR, OR VISITOR THAT OCCURS ONBOARD OR ASHORE THAT REQUIRES PROFESSIONAL MEDICAL TREATMENT BY THE SHIP'S MEDICAL DEPARTMENT AND/OR A SHORESIDE MEDICAL FACILITY.	Resulting in an accident leading to a partial disability or incapacity for more than 3 days and for multiple accidents.	
HEA 3 PUBLIC HEALTH DISEASES	REPORT ALL DISEASES OF PUBLIC HEALTH CONCERN IN ORDER TO TRACK, ISOLATE, TREAT AND REPORT COMMUNICABLE DISEASES.	if the cumulative percentage of reportable cases of gastrointestinal illness or diseases caused by infections agents reaches 2% among passengers or crew	
HEA 4 DISEMBARK-ATIONS	MEDICAL DISEMBARKATIONS	Includes passengers, crew, contractors and visitors when caused by other significant hazardous occurrences: <ul style="list-style-type: none"> • Disembarked and admitted to a local hospital. • Transferred from the ship while in port via fixed wing or helicopter to the nearest appropriate medical facility. • Transferred directly from the ship via helicopter or boat. • Ship diversion, delay in sailing, a speed increase or an alteration in the ship's published schedule was required. 	<i>If associated with other significant hazardous occurrences meeting the criteria</i>

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Environmental

Category	Reportable occurrences	Explanatory / Notes / Interpretation	Remarks
ENV 1	VIOLATIONS OF : MARPOL ANNEXES I, IV, V OR VI IN TERRITORIAL WATERS	Non compliance identified through any internal or external inspections or audits Violation is infringement or breach, whether intentional or not of a law, rule, etc. Includes failure of pollution control equipment that results in an overboard discharge in excess of regulatory, or other requirements.	
ENV 2	FINES OR OTHER WARNING/NOTIFICATION RELATED TO ENVIRONMENTAL INCIDENTS	Includes any fines or non-monetary sanctions received for non-compliance with environmental laws and regional regulations.	<i>Fines or other , punitive action, Notice of violation</i>
ENV 3	ACCIDENTAL OR EXCEPTIONAL SPILLS, RELEASES OR DISCHARGES IF IN INTERNATIONAL WATERS	<ul style="list-style-type: none"> ▪ Chemicals or oils > 0.5 litres ▪ Refrigerants or other Ozone Depleting Substances (ODS) > 50 kg ▪ Solid waste/ materials > 0.25 cubic meters ▪ Nonhazardous liquid waste > 250 litres 	
ENV 4	OPERATING PERSONNEL MISCONDUCT INVOLVING ENVIRONMENTAL PERFORMANCE.	Examples might be tampering with or bypassing of environmental equipment Includes any environmental misconduct allegations received by the ships	

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Safety

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SAF 1	ANY FIRE, FLOODING, EXPLOSION, GAS LEAK, COLLISION, GROUNDING, STRANDING, WAKE DAMAGE, NON-FATAL MAN OVERBOARD.	<p>Flooding: A partial or total flooding of compartments below the main deck (i.e. resulting from a breach in the hull) or the flooding of areas above the main deck which prompts an assessment of the ship's stability conditions. An example may be excessive water in any compartment caused by fire fighting operations.</p> <p>Gas leak: Any incident where the environment would become harmful to persons not provided with appropriate protective equipment or has a potential to develop in explosions or fires due to the presence of a gas.</p> <p>Collision at sea or stranding : This includes impacts resulting in damage which impairs the seaworthiness of the ship, tenders and lifeboats, and allisions.</p> <p>Major fire (involving emergency (ship's or shore) fire team muster and fire fighting) or explosion Significant damage sustained (estimated to amount materially to more than 10'000 usd)</p>	
SAF 2	OTHER OCCURRENCES RESULTING IN DAMAGE TO PROPERTY OR SHIP ESTIMATED TO BE IN EXCESS OF \$10,000 USD. THIS FIGURE SHALL NOT INCLUDE ESTIMATED COLLATERAL DAMAGES SUCH AS "LOST REVENUE", OR "NEGATIVE PUBLICITY", ETC.	<p>The \$10,000 dollar amount only refers to damage issues and is to be used as a criterion in those cases where there is damage caused by other means.</p> <p>This dollar figure is not intended to include any estimated collateral costs such as lost revenue, etc.</p>	
SAF 3	HEAVY WEATHER DAMAGE, INCLUDING ITEMS WASHED OVERBOARD OR CUT ADRIFT	Cut Adrift: "becoming separated or detached" from the ship. This includes any fixed or moving items normally attached to the ship (i.e. cranes, boats, rafts, railings, and superstructure) and a ship or tender or lifeboat breaking mooring.	
SAF 4	UNPLANNED OR UNEXPECTED LIST OR HEEL OF MORE THAN 5 DEGREES WHEN UNDERWAY		<i>If associated with other hazardous occurrences meeting the criteria</i>
SAF 5	DAMAGE OR MALFUNCTION OF A STATUTORY PIECE OF EQUIPMENT WHICH IMPAIRS THE FUNCTION FOR WHICH IT HAS BEEN DESIGNED AND FOR WHICH THERE IS NOT A	<p>This category is not intended to include situations where the equipment can be fixed onboard the vessel within a reasonable time.</p> <p>Examples of reportable incidents may include failure or malfunction of equipment that result in non-compliance with International, Flag State, and/or Company requirements</p>	

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Category	Reportable occurrences	Explanatory / Notes / Interpretation	Remarks
	REDUNDANT SYSTEM		
SAF 6	DAMAGE TO OR MALFUNCTION OF ANY LIFE SAVING APPLIANCE WHICH IMPAIRS ITS ABILITY TO BE USED IN AN EMERGENCY OR RESULTS IN NON-CONFORMITY WITH INTERNATIONAL, FLAG STATE, AND/OR COMPANY REQUIREMENTS	In normal circumstances, when sufficient spares are carried as per SOLAS requirements and the deficiency can be immediately corrected on board, the damage, loss or malfunction of items such as lifebuoys, life-rings, lifeboats loose gear, embarkation ladders, descent units, IMO signs, Low Location Lighting, need NOT to be reported.	<i>If deficiency, damage or malfunction of gears and equipments may affect or impair the seaworthiness of the vessel.</i>
SAF 7	DAMAGE TO OR MALFUNCTION OF ANY FIXED FIRE FIGHTING EQUIPMENT OR FIRE DETECTION SYSTEM WHICH IMPAIRS ITS ABILITY TO BE USED IN AN EMERGENCY OR RESULTS IN NON-COMPLIANCE WITH INTERNATIONAL, FLAG STATE, AND/OR COMPANY REQUIREMENTS	It is not required to report incidents where the equipment is able to be immediately repaired onboard. An example where reporting is not required might be a broken sprinkler head or detector head replaced with ships spares.	<i>If deficiency, damage or malfunction of gears and equipments may affect or impair the seaworthiness of the vessel</i>
SAF 8	SIGNIFICANT FAILURE OF THE PUBLIC ADDRESS OR GENERAL EMERGENCY ALARM SYSTEMS	Examples: <ul style="list-style-type: none"> A malfunction the results of which is that the emergency signals or announcements are not audible above the ambient noise Where the broadcasting of messages or the activation of signals from the control stations is not possible 	
SAF 9	FAILURE OF EITHER AUTOMATIC OR REMOTE OPERATION OF FIRE SCREEN, WATERTIGHT (WTD) OR SPLASH-TIGHT DOORS (STD)	Fire Screen Doors: Report any failure of the remote release system (from the navigation bridge) that would prevent the closure of one or multiple fire screen doors WTD and Splash-Tight Doors: Report any failure of the remote closing system from the bridge. Also, report any failure of WTD or STD that prevents the door to be maintained closed while the ship is underway.	<i>If deficiency, damage or malfunction of gears and equipments may affect or impair the seaworthiness of the vessel.</i>
SAF 10	UNINTENDED ACTIVATION OF ANY FIXED FIRE EXTINGUISHING SYSTEM		

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SAF 11	ANY INCIDENT THAT IMPAIRS THE SHIPS SEAWORTHINESS OR FITNESS FOR SERVICE OR ROUTE, INCLUDING STRUCTURAL FAILURE LEADING TO INGRESS OF WATER, OR REQUIRES INSPECTION BY A CLASS SURVEYOR. <i>(INCLUDING CONTACT DAMAGE WITH DOCK WALLS, PIERS, BUOYS, ETC., OR DAMAGE CAUSED BY TUGS OR OTHER CRAFT)</i>		

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Technical

Category	Reportable occurrences	Explanatory / Notes / Interpretation	Remarks
TEC 1	DAMAGE LEADING TO LOSS OF STRUCTURAL INTEGRITY	Examples might include steelwork failures due to tank over pressurisation, cracking due to over stressing, or corrosion and pitting and resultant loss of watertight integrity. Heavy weather damage or grounding to reported under those safety incidents.	
TEC 2	LOSS OF STEERING LEADING TO LOSS OF MANOEUVRABILITY		
TEC 3	STEERING EQUIPMENT FAILURE (SHIP CAN STILL MANOEUVRE TO SOME EXTENT)	Would not include failure of single pump units etc unless the component would reduce the level of overall redundancy to a single failure.	<i>If deficiency, damage or malfunction of gears and equipments may affect or impair the seaworthiness of the vessel.</i>
TEC 4	MAJOR MACHINERY OR EQUIPMENT FAILURE OR BREAKDOWN AND ANY CONSEQUENT DELAYS.	To allow issues related to machinery failure to be fed back (Hotel or entertainment machinery/equipment need NOT be reported unless it also constitutes a safety hazard safety, e.g. falling lighting fixtures.)	
TEC 5	DAMAGE TO OR MALFUNCTION OF A "CRITICAL EQUIPMENT OR SYSTEM" (AS DEFINED BY THE ISM CODE & THE SHIP VIA SMS FORM OP60).	Damage or malfunctions should be reported where the effectiveness of the equipment or system is reduced such that its ability to be used and the level of overall redundancy is reduced to a single failure.	
TEC 6	FULL OR PARTIAL PROPULSION FAILURES	Includes loss of half propulsion motor.	
TEC 7	POWER FAILURE RESULTING IN PARTIAL OR TOTAL BLACKOUT OF ANY DURATION	Reports should include the duration and the ship's location at time of the blackout.	

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General

Category	Reportable occurrences	Explanatory / Notes / Interpretation	Remarks
GEN 1	ANY REPORT OF A HAZARDOUS OCCURRENCE REQUIRED BY AN EXTERNAL AUTHORITY	Any reports required by Flag or port state, for all compliance and technical areas. Includes any defect that is required to be reported. Does not include all class defects. Reporting to administrations/relevant authorities is to be as required by the relevant requirements. Any reports to external bodies that might have the potential to become public information are to be copied to Company.	
GEN 2	CRUISE CANCELLATION	For whatever reason if not already reported in the other reportable hazardous occurrences categories	
GEN 3	SIGNIFICANT VOYAGE DELAYS OR DISRUPTIONS DUE TO SEVERE WEATHER PATTERNS (> 8 HOURS)	If not already reported in the other reportable hazardous occurrences categories	
GEN 4	SIGNIFICANT DAMAGE CAUSED OR SUSTAINED BY WEATHER, PERSONNEL OR OTHER CRAFT	If not falling in any of the other reportable hazardous occurrences categories and estimated to amount to more than 10'000 usd	
GEN 5	VESSEL DETENTION	Due to Port State Control inspection	
GEN 6	ANY OTHER SIGNIFICANT HAZARDOUS OCCURRENCE THAT SHIPS, SPTDS AND MANAGERS BELIEVE SHOULD BE NOTIFIED TO SENIOR MANAGEMENT OR THE GROUP'S BOARD OF DIRECTORS THAT MAY REQUIRE ACTION.		



Appendix 2 on LWI on HazSit - Analysis Guidelines for Senior Company Management on Significant Incidents and Accidents

CONTRIBUTING CAUSAL FACTORS

The Company categorize contributing factors into five major classes :

1. External Conditions (EC)
2. Equipment Failure (EF)
3. Human Error (HE)
4. Organizational / Management Failure (OMF)
5. Unknown (O)



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1. External Conditions (EC)

EC.1	Fog	Self-explanatory, may limit visibility.
EC.2	Ice	Self-explanatory, may cause loss of control.
EC.3	Lightning	Self-explanatory.
EC.4	Rain	Self-explanatory, may limit visibility.
EC.5	Snow	Self-explanatory, may cause loss of control or limit visibility.
EC.6	Tidal Conditions	A periodic variation in the level of the earth's waters that may affect vessel maneuverability (including currents).
EC.7	Wind	Rapid air movement caused by weather systems.
EC.8	Sea state	Storms, high waves, shoaling, severe eddies or strong currents that may affect vessel maneuverability.
EC.9	Temperature	Self-explanatory.
EC.10	Other	External condition not listed above.

2. Equipment Failure (EF)

EF.1	Electrical	Failure of circuitry, or power generation equipment
EF.2	Mechanical	Failure Failure of a mechanical device.
EF.3	Structural	Breach of structural integrity
EF.4	Electronic	Failure of electronic navigation or vessel control equipment, including computer hardware and/or software
EF.5	Other	Equipment failure not included above



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3. Human Error (HE)

HE.1	Communications	Difficulties in the transfer of information (not language related); failure to understand or comply.
HE.2	Language	Difficulties in the transfer of information due to language barriers.
HE.3	Drugs/Alcohol	Any form or level of diminished ability (physical or mental) due to the use of drugs or alcohol.
HE.4	Inexperience	Inadequate technical knowledge due to a properly trained person not having enough experience to properly perform the task at hand.
HE.5	Improper Equipment Use	Using equipment to accomplish tasks other than those for which the equipment was specifically designed.
HE.6	Inaccurate Computation	Mathematical error.
HE.7	Inattention	Loss of attention, not paying attention; the failure to detect, attend to, or be aware of critical or significant information.
HE.8	Procedural Error	Unintentional deviation from, or failure to follow an established procedure.
HE.9	Fatigue	Weariness or exhaustion from work, other exertion, or sleep disorder that leads to diminished ability (physical or mental).
HE.10	Illness	Sickness which causes decrease in physical or mental abilities.
HE.11	Judgment	Incorrect assessment, estimation, interpretation or opinion.
HE.12	Other	Individual human error not listed above



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4. Organizational / Management Failure (OMF)

OMF.1	Policy/Procedure		
	OMF.1.1	Lack of Procedure/Policy	Failure to have company procedures or policies.
	OMF.1.2	Inadequate Procedure/Policy	Procedures or policies that are conflicting, ineffective, inaccurate, out-of-date, or insufficient
	OMF.1.3	Inadequate Implementation of Procedure/Policy	Failure to ensure procedures or policies are followed.
OMF.2	Maintenance		
	OMF.2.1	Lack of Planned Maintenance Program	Failure to have company planned maintenance program.
	OMF.2.2	Inadequate Planned Maintenance Program	Planned maintenance policies and procedures that are conflicting, ineffective, inaccurate, out-of-date, or Program insufficient.
	OMF.2.3	Inadequate Implementation of Planned Maintenance Program	Failure to ensure planned maintenance program is followed.
OMF.3	Equipment		
	OMF.3.1	Equipment design	Failure of equipment design (within the control of the responsible party) to provide for safe operations under normal operating conditions.
	OMF.3.2	Manufacture/construction	Failure caused by faulty manufacture or construction (within the control of the responsible party) when operating under normal conditions.
	OMF.3.3	Installation	Failure caused by faulty equipment installation, when operating under normal conditions.
OMF.4	Personnel		
	OMF.4.1	Lack of supervision	The absence of proper situational guidance, direction, information or instruction to operating personnel.
	OMF.4.2	Poor oversight	Failure of management to effectively oversee subordinates;



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			lack of involvement, inspection, communication, etc.
	OMF 4.3	Insufficient personnel	Failure to ensure that all required tasks can be done with adequate personnel of the proper skill level, physical ability, mental ability, experience, or certification.
OMF.5	Training		
	OMF.5.1	Inadequate training	Inadequate technical knowledge due to insufficient training.
	OMF.5.2	Sabotage/ Intentional violation	Destruction of property or obstruction of normal operations; treacherous action to defeat or hinder; purposeful deviation from procedure.
	OMF5.3	Other	Organizational/management failure not listed above.