Internal Company Report

RSQ 27 - Incident Investigation Report

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| **Vessel:** |  |
| **Incident:** |  |
| **Severity:** |  |
| **Date of Incident:** |  |
| **Managing Office :** |  |

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| **REMOVE THESE NOTES BEFORE CIRCULATION**  Direct Cause, Root Cause and Corrective Action are required for all reports.  Investigations can only be carried out by trained personnel (have attended an approved course)  Investigators must have previous experience in incident investigation.  The investigation must encompass the guidelines contained in our Just Culture process.  **REMOVE THESE NOTES BEFORE CIRCULATION** |

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| Investigation by V.Ships | | | |
|  | Name / Position | Date | Comment |
| Lead investigator |  |  |  |
| Report Prepared by: |  |  |  |
| Report Reviewed by: |  |  |  |
| Senior Manager Review |  |  |  |
| Central HSEQ Review (Required where incident severity Serious or above) |  |  |  |
| Report Summary issued to Vessel: |  |  |  |
| Investigation by Other Party | | | |
| Party | Name of investigator | Report Issued (Date) |
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| Previous Investigation relevant to this incident  *Guidance Note: Consider previous Flag State / Port State Inspections which may have a bearing on the incident.*  *Also consider previous Internal & external audits*  *Also consider previous third party inspections.* | | | |
| Party | Relevance of previous investigation | Report Issued (Date) |
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1. **Summary of vessel details and incident**

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| Vessel Name: |  | | |
| Vessel Type : |  | | |
| Date of Incident: |  | | |
| Time of Incident (LT) |  | **Time of Incident (GMT)** |  |
| Incident Type: |  | **Incident Severity:** | *Very Serious/Serious/ Moderate/ Minor* |
| Incident Location: |  | | |
| Incident Summary: | Delete Guidance Notes prior to circulation  Brief description – Details will be in timeline below | | |
| Damage : |  | | |
| Pollution: |  | | |
| Injury: |  | | |
| Voyage Details: |  | | |
| Cargo Details: |  | | |
| Weather Details: |  | | |
| Vessel IMO #: |  | **Year Built:** |  |
| Flag: |  | **DWT:** |  |
| Registered Owner: |  | | |
| Draft: Fwd: |  | **Draft : Aft:** |  |
| Class: |  | | |
| P&I Club: |  | **Crew #:**  **Passenger #:** |  |
| Crew Nationality: |  | | |
| Other relevant Information |  | | |

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| 1. Executive Summary: | |
| Incident Summary | Delete Guidance Notes prior to circulation  Cut/Paste from Section 1 above. |
| Critical Factors |  |
| Conclusions |  |
| Recommendations / Actions |  |
| Process ensuring Just Culture | Delete Guidance Notes prior to circulation  See Appendix C  The Company recognises the need to hold persons accountable for their actions but appreciates that hazardous occurrences do not always occur because of individual misconduct and can be a result of system or process failures.  The “[**Just Culture Decision Tree**](file:///C:\VMS%20Documents\V.Ships%20and%20Core%20Policies\Linked%20Documents\Just%20Culture%20Decision%20Tree.pdf)” should be used to decide whether a particular behaviour requires action (Rewarding or disciplinary) and to ensure consistent, transparent and trusted handling of deviations from expected standards of behaviour  .  Record the decision path here for each person involved. |

**3. Time line of Events**

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| Date : | |  | |
| Time: (LT) | **Event: (Factual only)** | | **Comments: (Related to event)**  May include details of Investigation method/ Resources used. |
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| Time: (LT) | **Event:** | | **Comments:** |
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| Time: (LT) | **Event:** | | **Comments:** |
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1. **Incident Analysis**

**Observation 1**

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| **Observation** | Delete Guidance Notes prior to circulation  Details of observations – Attach or reference evidence in Appendixes (Photographs/ pipeline diagrams, ECDIS/Radar screenshots). To include background of key people involved if applicable (History, training, appraisals, previous incidents etc.) |
| **Direct Cause (See appendix A)** | Delete Guidance Notes prior to circulation  Where observations have the same direct cause, list multiple observations above. |
| **Immediate Action Taken (Addresses direct cause)** |  |
| **Root Cause (See Appendix B)** | Delete Guidance Notes prior to circulation  Where observations have the same root cause, list multiple observations in “finding” section above |
| **Corrective Action Taken (Addresses Root Cause)** |  |
| **Assigned to:** | Note: Do not assign Corrective Actions to Central HSEQ – If Group action required, a PCR must be raised. |
| **Target:** |  |
| **Date Closed:** |  |

**Observation 2**

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| **Observation** |  |
| **Direct Cause (See appendix A)** |  |
| **Immediate Action Taken (Addresses direct cause)** |  |
| **Root Cause (See Appendix B)** |  |
| **Corrective Action Taken (Addresses Root Cause)** |  |
| **Assigned to:** |  |
| **Target:** |  |
| **Date Closed:** |  |

**Observation 3**

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| **Observation** |  |
| **Direct Cause (See appendix A)** |  |
| **Immediate Action Taken (Addresses direct cause)** |  |
| **Root Cause (See Appendix B)** |  |
| **Corrective Action Taken (Addresses Root Cause)** |  |
| **Assigned to:** |  |
| **Target:** |  |
| **Date Closed:** |  |

**Guidance Note: Add additional pages for observations as required.**

1. **Compliance with Crew Matrix**

Delete Guidance Notes prior to circulation

Consider :

* Training Matrix
* Experience Matrix

1. **Breach of Company Process/Procedure: Vessel**

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| Delete Guidance Notes prior to circulation  Consider compliance with Work/Rest Hours |

1. **Breach of Company Process / Procedure: Management**

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| Delete Guidance Notes prior to circulation  Consider instructions issued by Company, supply of relevant spares or information relating to incident. |

1. **Factors considered and ruled out as Causes:**

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| Delete Guidance Notes prior to circulation  Factors considered but ruled out as having caused the incident  E.g. Work and rest hours, Rank and company experience of Crew, Traffic and weather conditions, Drug and alcohol compliance; Equipment maintenance etc. |

1. **Investigation Details:**

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| Who was Interviewed? |  |  |
| Name / Rank | **Location interview held** | **Date** |
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| Investigation Narrative / Evidences Reviewed: |
| Delete Guidance Notes prior to circulation  Consider:   * Statements from relevant persons * Work / rest records * Instructions from Company, Charterers, terminal, etc. * Standing Orders and other instructions issued by Ship personnel * Handover Notes * Compliance with VMS procedure and permit system * Compliance with V Ships Matrices * Training records * Logs / emails / Other correspondance * VDR playback * Photographs / CCTV footage * Crew members previous assessments * Crew Members evaluation prior to employment (e.g. ASK Testing, initial interviews, ) |

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| Other actions taken relevant to investigation: |
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| Lessons learned / Experience Sharing/ Exemplary or safe Behaviours Noted. |
| Delete Guidance Notes prior to circulation  Key learnings from this incident;  Experience sharing through Safety & technical bulletins / Crew seminars / Shore management visits |

Appendices:

A: Supporting Documents

B: Vessel Report

**Appendix A**

**Supporting Documents**

< To include copies of the following as applicable >

1. Crew List
2. Officers’ Experience Matrix at time of the incident
3. Relevant experience of key persons involved
4. Copy of crew certificates
5. Timeline
6. Officer/Crew statements
7. Log extracts (e.g. OLB; Movement Book; Deck; Engine; ORB; Cargo)
8. Checklists/Entry Permits
9. Telegraph Recorder
10. Course Recorder and Echo Sounder trace
11. SVDR or VDR data (Reconstruction)
12. ER alarm log
13. Passage Plan
14. Navigational Chart extracts
15. Weather Reports
16. Standing Orders/Order Book
17. Hours of Work and Rest records
18. Past D&A Records
19. Specific D&A testing post incident
20. Appraisal reports
21. Equipment Certificates
22. Documentation from Class/Service Engineer’s report/Regulatory Authority’s report
23. Other investigation reports (Flag / P&I)
24. Post State Control Records
25. Class records
26. Previous audit reports
27. Bulletins/notifications sent to the fleet;
28. Company’s procedures
29. Communications (emails; faxes etc)
30. Photographs
31. Drawings/sketches
32. Evidence from vessel traffic services
33. Anything else relevant

**Appendix B: Vessel Report**

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| **Vessel Summary of Investigation** | | | |
| **Incident** |  | | |
| **Date of incident** |  | **Severity of Incident** |  |
| **What was direct Cause of the incident?** | | | |
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| **What was the root cause of the incident?** | | | |
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| **What actions have been taken to address the direct and root cause?** | | | |
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| **Other Information** | | | |
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| **Lessons Learned** | | | |
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| **Exemplary Behaviour noted** | | | |
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To be sent to vessel on publication of investigation report.