Guide on the process of: Reporting a marine casualty and incident to IMO; and Reviewing the analysis of a marine safety investigation report submitted to IMO

(annex to FSI 20/INF.19)
Why is important to submit reports on marine safety investigations to IMO?

- To fulfil international responsibilities (UNCLOS, IMO instruments, including SOLAS and MARPOL Conventions, Casualty Investigation Code and Code for the implementation of mandatory IMO instruments, 2011)
- To be analysed in accordance with the terms of reference of the III Sub Committee
- From the analyses carried out, each analyst submits a draft of any lessons to be learned for presentation to seafarers.
- The III also examines the analysis of investigation reports to determine if there are potential safety issues in way of trends or recurring contributing factors.
- To refer safety issues to relevant IMO Sub-Committee.
Why is important to submit reports on marine safety investigations to IMO?

• To draft safety recommendations, when appropriate.
• To Follow up of all casualties
• To provide technical co-operation assistance to Countries regarding marine accidents and incidents
• Collecting data on incident and lives lost
• To contribute to IMO: feeding process of knowledge base information collected through casualty investigation to serve Formal Safety Assessment (FSA) and Goal-Based Standards in the rule-making process
Reporting to IMO: Instruments to be used

- Code of the international standards and recommended practices for a safety investigation into a marine casualty or marine incident (Casualty Investigation Code), resolution MSC.255(84), in force since 1/Jan/2010;
- Revised harmonized reporting procedures - Reports required under SOLAS regulation I/21 and MARPOL 73/78, articles 8 and 12 and Load lines article 23 (MSC-MEPC.3-Circ.4/Rev.1); and
- Access to IMO web services, including GISIS and IMODOCS (Manual), Circular Letter 2892.
The International Standards and Recommended Practices for a Safety Investigation into a Marine Casualty or Marine Incident (Casualty Investigation Code), adopted by resolution MSC.255(84), became mandatory under SOLAS regulation XI-1/6 on 1 January 2010. Chapter 14 of the Code includes a mandatory reporting requirement on very serious casualties.

MSC-MEPC.3/Circ.4/Rev.1 on Reports on Marine Casualties and Incidents, Revised harmonized reporting procedures – Reports required under SOLAS regulation I/21 and MARPOL, articles 8 and 12, dated 14 November 2014, indicates which information should be included in the relevant annexes attached to that circular.
Qualified investigators should be provided for a marine safety investigations, in accordance with paragraphs: 16.4, 23.1, 24.5, 38, 39, 40, 41, 44.5 and 50.3 of the III Code
Process included in this guide

- **PART 1**
  
- **PART 2**
  
- Reporting a marine casualty and incident to IMO, through GISIS; and


Please do not hesitate to contact Secretariat if further assistance is needed
Part 1: Steps of Reporting a marine casualty and incident to IMO, through GISIS

- Once information regarding a Marine Casualty or Incident is ready to be reported to IMO, it is possible to start the process on:

- **GISIS.IMO.ORG** and to complete part 1
**STEPS**

- **Step 1:** Gather information
- **Step 2:** Log in to GISIS
- **Step 3:** Submit the incident to GISIS
  - A) Firstly search any submission already made
  - B) If not: create a new entry creating a new annex 1, and any other relevant annex
- **Step 4:** Upload annex 2, and any other relevant annex
- **Step 5:** Upload investigation report, either as:
  - Final Investigation Report; or
  - Preliminary Investigation Report
Step 1: Gather information

Gather information
- The investigation report on electronic support
Step 2: Go to GISIS

• Method 1
  • Go to IMO website:  
    [http://www.imo.org](http://www.imo.org)  
  • and select Global Information Shipping System (GISIS)
Once on the IMO website, click on GISIS
Method 2

- You could directly go to GISIS at: https://gisis.imo.org
- Click on “Members Area”
- Both ways will bring you to the page shown on the following slide
Click on “members area”
Fill in details as shown in the following slide
Click on Log in

Authority: Member State/Authorized Administration
Australia

Username: testanalyst
Password: [Redacted]

Click on Log in
Step 3 (A): Submit data on the incident to the Global Integrated Shipping Information System (GISIS)

Welcome to the Members' Area
All Submission have to be uploaded into the Marine Casualty and incident Module of GISIS

Click on Marine Casualties and incidents
• Marine Casualty and Incident Modules
  • Go to Search
    • It is important to make sure that there is not previous submission on the relevant incident in order to avoid duplication.
    • If a submission has been already made and an Incident Reference number exist, then, you just need to complete the information by uploading your data into the existing incident.
    • If no previous submission exists, then you need to make a new submission; which will be recorded as new incident and a new incident reference number will be created.
  • Go to submit new data
Firstly search for the relevant incident

Click on search
You can search by Incident Reference number if you have this information.

Then click on Search using IMO number and/or name of the ship(s).
The system may provide you with a list of potential relevant incidents if previous submissions have been already made. Please be sure that your data is uploaded into the correct incident. If there is no previous submission then you need to make a new submission.

**Importance to fill all possible annexes when you make a submission:**
To provide with all relevant available data of the incident in order to facilitate identification of trends during the analysis of the incidents as well as to prepare statistical information.
<table>
<thead>
<tr>
<th>Annex</th>
<th>Purpose of the annexes</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Ship identification and particulars (one per ship involved)</td>
</tr>
<tr>
<td>2</td>
<td>Data for very serious and serious casualties (one per ship involved)</td>
</tr>
<tr>
<td>3</td>
<td>Supplementary information on very serious and serious casualties</td>
</tr>
<tr>
<td>4</td>
<td>Information from casualties involving dangerous goods or marine pollutants in packaged form on board ships and in port areas</td>
</tr>
<tr>
<td>5</td>
<td>Damage cards and intact stability casualty records</td>
</tr>
<tr>
<td>6</td>
<td>Fire casualty record</td>
</tr>
<tr>
<td>7</td>
<td>Questionnaire related to the global maritime distress and safety system</td>
</tr>
<tr>
<td>8</td>
<td>Fatigue as a contributory factor to maritime accidents – fatigue factors data compilation sheet</td>
</tr>
<tr>
<td>9</td>
<td>Incidental spillages of harmful substances of 50 tonnes or more</td>
</tr>
<tr>
<td>10</td>
<td>Life-saving appliance casualty record</td>
</tr>
</tbody>
</table>
Step 3 (B): Submit new data

Completion of a new Annex 1

(For each ship involved)
For each incident
Time of Incident

Choose date

Choose time
1) Fill in the IMO Number. If you don’t have it, or if there is no IMO Number, you can still continue with the process.
2) But you need to fill in the **ship name** (remember that it is one Annex 1 per each ship involved).
3) Then Click on Confirm Ship
Report New Incident

Time of Incident (local onboard): 06 October 2011, 01:01

Ship involved

(For incidents involving multiple ships, name any one of them here first.)

IMO Number: 6924985
Ship name: SMILE

Ship identified from database: SMILE
IMO Number: 6924985
Flag: Cambodia
Type: GENERAL CARGO
Gross tonnage: 1598

(You can change these details later, if required.)

Other ships involved

Click below to name other ships involved in this incident, if any.

If necessary add other ship involved

If you are happy with the details, then click on Next: Incident details
Fill in all relevant and available details to complete the incident summary.

New incident: Annex 1 submission
The information you have provided will be used to pre-fill the Annex 1 reporting form for this incident. In the next step, verify all data in the form, and submit it.

You must submit the Annex 1 form in order to complete the process of reporting this incident.

Then click review Annex 1.
Annex 1 (New Submission)

**SHIP IDENTIFICATION AND PARTICULARS**

Administrations are urged to supply the ship identification information listed in this annex for all marine casualty reports submitted to the Organization.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1. IMO Number:</td>
<td>6924985</td>
</tr>
<tr>
<td>2. Name of Ship:</td>
<td>SMILE</td>
</tr>
<tr>
<td>3. Flag Administration:</td>
<td>Cambodia</td>
</tr>
<tr>
<td>4. Type of Ship:</td>
<td>GENERAL CARGO</td>
</tr>
<tr>
<td>5. Type of Service:</td>
<td>-- Please select --</td>
</tr>
<tr>
<td>6. Were any voyage related restriction limits placed on the ship? Explain:</td>
<td></td>
</tr>
<tr>
<td>7. Gross Tonnage (t):</td>
<td>1598</td>
</tr>
<tr>
<td>8. Length Overall (m):</td>
<td>90.3</td>
</tr>
<tr>
<td>9. Classification Society:</td>
<td>-- Please select, or enter new below --</td>
</tr>
</tbody>
</table>

Populate Annex 1 as much as possible with relevant data.
When happy with data provided, then confirm the submission.
Step 4 : Upload Annex 2

(For each ship involved)
Submitting a new Annex 2

From the incident summary, click on Annex 2.
New Annex 2 Submission

It is the same process once you decide to add few annexes 2
When you have only one ship involved, GISIS will ticks the ship name for you, but if there are few involved, you have to tick the relevant ships to complete your Annex 2.
Bottom of the Annex 2

<table>
<thead>
<tr>
<th>2. Hardware:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Design failures (other than ergonomics)</td>
</tr>
<tr>
<td>- Maintenance and repair</td>
</tr>
<tr>
<td>- Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>3. Software:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Company policy and standing orders</td>
</tr>
<tr>
<td>- Less than adequate operating procedures and instruction</td>
</tr>
<tr>
<td>- Management and supervision</td>
</tr>
<tr>
<td>- Other</td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>4. Environment:</th>
</tr>
</thead>
<tbody>
<tr>
<td>- Ship movement/Weather effects</td>
</tr>
<tr>
<td>- Noise</td>
</tr>
<tr>
<td>- Vibration</td>
</tr>
<tr>
<td>- Temperature/Humidity</td>
</tr>
<tr>
<td>- Less than adequate manning</td>
</tr>
<tr>
<td>- Other</td>
</tr>
</tbody>
</table>

Notes:
- *Ship rendered unfit to proceed:* The ship is in a condition, which does not correspond substantially with the applicable conventions, presenting a danger to the ship and the persons on board or an unreasonable threat of harm to the marine environment.
- *Ship remains fit to proceed:* The ship is in a condition, which corresponds substantially with the applicable conventions, presenting neither a danger to the ship and the persons on board nor an unreasonable threat of harm to the marine environment.
- ***incapacitated for 72 hours or more.***

Complete as much as possible

Then confirm submission
You can see that Annex 2 submission has been received by GISIS.
With the same process you can add as many annexes as you wish.

Your submission can be edited by you whenever you want.
Step 5 : Upload investigation report

The process is the same whether it is a preliminary or a final report
On the left side of your screen, click on **Investigation Reports**
1. Select the Reporting Administration
2. Give it a Title/Description
3. Report language
4. Accessibility

1. Browse the investigation report on PDF
2. Report Source
3. Then click on Submit report
Your submission has been received, and you can make it public at any time.

END OF PART ONE
Part 2: Review of the analysis of a submitted marine safety investigation report

• Once information regarding a Marine Casualty or Incident is ready to be reported to IMO, it is possible to start the process on:

  • Introduction
  • As you are aware IMO select some marine safety investigation reports for analysis.
  • During this process, reporting Administrations may receive a notification from IMO Secretary regarding an analysis of their reports, which includes corresponding Incident Reference numbers.
  • Part 2 aims to assist reporting Administrations in reviewing the analysis of their reports.

- Step 1: Go to GISIS and Members Area
- Step 2: Find the right module
- Step 3 & 4: How to open the analysis and what to do if there is no analysis
- Step 5: How to comment and send your comments to the Secretariat
Step 1

Click on the "members Area"
Click on Log in

Authority:
Member State/Authorized Administration
Australia

Username: testanalyst
Password: [Enter password]

Click on Log in

Password:

User names
Step 2

Click on Marine Casualties and incidents
Step 3 Process from the opening of the Analysis

Click on search
Step 3 (A)

Add incidence reference

Then click on search
Select right incident

Search by Incident Summary

Results

1 incidents were found matching the specified criteria.

Showing 1-1 of 1

<table>
<thead>
<tr>
<th>Reference</th>
<th>Ships involved</th>
<th>Location</th>
<th>Incident date</th>
</tr>
</thead>
<tbody>
<tr>
<td>C0006057</td>
<td>ANA MARIA (6609236)</td>
<td>London</td>
<td>2006-05-30</td>
</tr>
</tbody>
</table>

Showing 1-1 of 1
Or step 3 (B)

Click on Manage your submission

Marine Casualties and Incidents

The casualty module contains two kinds of information collected on ship casualties. The first category of information is made of factual data collected from various sources and the second category of data is made of more elaborated information based on the reports of investigations into casualties received at IMO which may be full investigations reports to be analysed by the Organization or reporting forms annexed to MSC-MEPC.3/Circ.3.

For the purpose of collecting information on ship casualties to populate the GISIS casualty module, the Organization, selecting ship casualties according to the following classification: "very serious casualties", "serious casualties", "less serious casualties" and "marine incidents."

"Very serious casualties" are casualties to ships which involve total loss of the ship, loss of life, or severe pollution, the definition of which, as agreed by the Marine Environment Protection Committee at its thirty-seventh session, is as follows:

"Serious pollution" is a case of pollution which, as evaluated by the coastal State(s) affected or the flag State, as appropriate, produces a major deleterious effect upon the environment, or which would have produced such an effect without preventive action.

"Serious casualties" are casualties to ships which do not qualify as "very serious casualties" and which involve a fire, explosion, collision, grounding, container heavy weather damage, ice damage, hull cracking, or suspected hull defect, etc., resulting in:

- immobilization of main engines, extensive accommodation damage, severe structural damage, such as penetration of the hull under water, etc., rendering the ship unfit to proceed", or
- pollution (regardless of quantity); and/or
- a breakdown necessitating towingage or shore assistance.

* The ship is in a condition, which does not correspond substantially with the applicable conventions, presenting a danger to the ship and the persons on board or an unreasonable threat of harm to the marine environment.

The casualty module also contains, only for those casualties about which a full investigation was submitted to the International Maritime Organization and analysed by a group of experts. This analysis is aimed at identifying overall trends or issues of potential concern to the Organization. No corroborating data is available and the analysis should not be used for any other purpose.

The accuracy of the data received by analysts cannot be guaranteed. Where appropriate, reference is made to relevant existing rules and regulations and codes of practice, IMO resolutions and circulars, and other relevant documents.
Click on view by incident

Then click on the referenced incident
Step 4: Process to open the Analysis

Normally this number should be one or more
There is no analysis for this incident.
When you have no access to the analysis

- When you have received a notification from Secretariat regarding the availability of an analysis based on a specific marine safety investigation report but GISIS shows that there is no analysis available for it, this usually means that you do not have the right level of authorization to perform this action.
- You need to go back to the login page, and follow the procedure indicated in the next slides in order to solve this difficulty.
Click on contact us
Fill in all details

And submit query
Then you will receive a confirmation message
Step 5: How to comment

Click on the analysis
Note that the submission is available

Click on the wanted submission
Click on « Comment on the draft »
Comment on the analysis

- There are 5 boxes to fill in:
  - Reporting State comments on “Type of Casualty”
  - Reporting State comments on “Event and Consequences”
  - Reporting State comments on “Contributing Factors”
  - Reporting State comments on “Issues Raised/Lessons Learned”
  - Reporting State comments on “Observations on the Human Element”
Comments on Draft of Analysis

Investigation report analysed: C0006057-R01 (Algena)

For the draft analysis (displayed below), please enter comments as required in the space immediately following each section of the analysis. Your comments will be emailed to the Secretariat for further action. A copy of the email will be sent to you at gisis@imo.org.

1. Type of Casualty:

Reporting State comments on "Type of Casualty":

2. Event and Consequences:

Reporting State comments on "Event and Consequences":

Once all boxes filled in, click on “Send to Secretariat” and we will proceed accordingly. From that moment, you have done your part of the job. Thank you.

END OF PART 2