 Input paper: VTS42-8.1.4

Input paper for the following Committee(s): check as appropriate Purpose of paper:

**□** ARM **□** ENG **□** PAP **X** Input

**□** ENAV **X** VTS **□** Information

Agenda item 8.1

Technical Domain / Task Number 1.1.3

Author(s) / Submitter(s) Australian Maritime Safety Authority

**Task 1.1.3 – Produce a Guideline On incident/ accident/ near miss reporting and recording as it relates to VTS**

# Summary

## Purpose of the document

The purpose of this paper is to provide input for the consideration of the VTS Committee regarding Task 1.1.3 Produce a Guideline On incident/ accident/ near miss reporting and recording as it relates to VTS.

# Background

# As indicated in the current draft of this guideline (VTS41-12.2.8 (VTS41-8.1.2) corrected) in paragraph 1.2:

The process of identifying and reporting marine casualties has been clearly established by IMO (IMO Res.A.884 and MSC Res.255 (84). This process could be enlarged to marine incident and near-misses.

This document identifies a number of proposed alterations to the current draft. These may further align the document with current best practices with respect to investigating and reporting incidents and near misses.

# Discussion

The review of Input Paper VTS41-12.2.8 (VTS41-8.1.2) corrected was undertaken noting that the scope of Task 1.1.3 relates to producing a Guideline on incident / accident / near miss reporting and recording as it relates to VTS.

This highlighted some items which the Committee may wish to give consideration to. These are provided (in track changes) in the following Input Papers:

* VTS42-8.1.5

Key aspects of the tracked changes/comments include the following:

* Clarification in the background of the link between incident/near miss reporting, casualties and the broader safety management and safety culture.
* Clarifications in Section 3 of the document associated with how we should understand incidents, the connection this has with the concept of operational effectiveness, and the tools that might reasonably be used for the investigation and reporting process.
* In Section 3, the heading 3.1 refers to ‘Management of Abnormal Situations’. This language may be problematic as it infers to what is normal in an environment that is free from human error – when in fact the reverse is true – errors and associated incidents regularly occur during ‘normal’ operations. Consideration may be given to label this section ‘error management’ – which applies terms from the Threat and Error Management model or, taking a step further, ‘Managing the resilience of operations’. In addition, further consideration could be given to removing the term ‘required’ from this title.
* Elaborating in Section 4 the two aspects of safety culture are particularly relevant to this guideline – a reporting culture and a just culture.
* In Section 4.1 consideration to be given to removing situational awareness as a factor. Situational awareness is a dynamic cognitive function and it would seem inappropriate to use it in the context of incident investigation other than to consider the situational awareness of those involved in the incident.

Further, consideration should be given to whether the flow chart in Annex 1 is required or potentially be modified for the following reasons:

* Initiatives such as the Line Operation Safety Audit (LOSA) clearly demonstrate that errors also occur in normal operations, therefore the identification of ‘normal situations’ does not preclude the possibility of incidents or near misses.
* The flow chart sequence is largely already captured in the body of the guideline itself.
* Modify the flowchart to articulate in more detail the boxes ‘Analyzing’ (which might be inferred as the investigatory process) and what is intended by ‘REAL Situation Assessment’.

# Action requested of the Committee

The Committee is requested to consider this Input Paper (and associated paper listed above) in progressing Task 1.1.3 relates to producing a Guideline on incident / accident / near miss reporting and recording as it relates to VTS.