MARITIME TRANSPORTATION

Safety Management and Risk Analysis

Second Edition

Stein Haugen
Svein Kristiansen

ROUTLEDGE

Contents

Preface xix
Authors xxi

1 Introduction 1

1.1 Background 1
1.2 International trade and shipping 2
1.3 Risk and safety 3
1.4 Anatomy of an accident 5
1.5 Managing risk 6
1.6 Motivation for writing the book 7
1.7 Scope 8
1.8 How to use the book 8
References 9

2 The risk picture 11

2.1 Introduction 11
2.1.1 Major accidents 11
2.1.2 Occupational accidents 13
2.1.3 Environmental factors 14
2.1.4 Flag 16
2.1.5 Age of ship 18
2.1.6 Discussion 19
2.2 Accident statistics 19
2.3 Maritime activity 22
2.4 Important accidents 26
2.5 Fatalities among seafarers 28
2.6 Oil spills and pollution 28
2.7 Effect of some factors on the risk level 30
References 31

3 Terminology 33

3.1 Introduction 33
3.2 Risk and safety 34
3.2.1 Risk 34
3.2.2 Positive risk 36
3.2.3 Other definitions of risk 36
3.2.4 Safety 38
3.2.5 Perceived risk vs calculated risk 38
3.2.6 Use of risk vs safety 38
3.3 Hazard and accident 39
3.3.1 An introduction to the bow-tie model 39
3.3.2 Hazard 40
3.3.3 Initiating event 42
3.3.4 Accident scenario 43
3.3.5 Causal factor 43
3.3.6 Accident 43
3.3.7 Incident and near miss 44
3.4 Frequency and probability 45
3.4.1 Probability 45
3.4.2 Frequency 46
3.5 Consequence 46
3.6 Safety management 46
3.7 Stakeholder 47
3.8 Risk analysis and risk assessment 47
3.9 Risk control and reduction 48
3.10 Risk acceptance criteria 49
References 49

4 Stakeholders, rules, and regulations 51

4.1 Introduction 51
4.2 International trade and shipping 52
4.2.1 Seaborne transport 52
4.2.2 Shipping markets 53
4.2.3 Ship types and trades 54
4.2.4 Economics of shipping 54
4.2.5 Competitiveness of shipping 56
4.3 The shipping industry system 59
4.3.1 Stakeholders 59
4.3.2 Corporate social responsibility 61
4.3.3 The shipowner 64

4.3.4 *The charterer* 66
4.4 *The maritime safety regime* 67
4.4.1 *Why safety improvement is difficult* 67
4.4.2 *Rules and regulations* 69
4.4.3 *The structure of control* 70
4.4.4 *International Maritime Organization (IMO)* 70
4.5 *Ship safety conventions* 72
4.5.1 *SOLAS* 72
4.5.2 *UNCLOS* 72
4.5.3 *International convention on load lines, 1966* 73
4.5.4 *STCW convention* 74
4.5.5 *MARPOL* 75
4.5.6 *The ISM Code* 75
4.6 *International Labour Organization* 76
4.7 *European Union* 77
4.8 *Enforcement of safety regulation* 78
4.8.1 *Flag State Control* 78
4.8.2 *Delegation of flag State Control* 79
4.8.3 *The Flag State audit project* 79
4.9 *Port State Control* 82
4.9.1 *UNCLOS* 82
4.9.2 *MOU Port State Control (PSC)* 84
4.10 *Classification Societies* 88
4.11 *Civil maritime law* 90
References 91

5 Safety management system 95

5.1 *Introduction* 95
5.2 *Prescriptive vs functional rules and regulations* 96
5.3 *Safety management in a wider perspective* 96
5.4 *Safety management process* 98
5.4.1 *Establish the context* 99
5.4.2 *Risk analysis* 99
5.4.3 *Risk evaluation* 100
5.4.4 *Propose measures to reduce risk* 100
5.4.5 *Decide and implement* 100
5.4.6 *Monitoring and reporting* 101
5.4.7 *Consultation and reporting* 102
5.5 *ISM Code* 103
5.5.1 *Background* 103
5.5.2 *The content of the ISM Code* 104

5.6 Effect of the ISM Code 108
References 110

6 Risk acceptance 113

6.1 Introduction 113
6.2 Some factors affecting risk acceptance 115
6.2.1 Risk perception 115
6.2.2 Benefits 116
6.2.3 Risk aversion 116
6.2.4 Time since accidents and own experience 117
6.2.5 Time until effects are experienced 117
6.2.6 Lack of understanding of the risk 118
6.3 Decision-making principles 118
6.4 Individual vs societal risk acceptance criteria 119
6.5 ALARP 121
6.5.1 Achieving risk that is ALARP 123
6.6 Other principles for risk acceptance 123
6.7 Qualitative risk acceptance criteria 125
6.8 Acceptance criteria in the maritime industry 126
6.8.1 Criteria for risk to people 126
6.8.1.1 Individual risk 126
6.8.1.2 Societal risk 127
6.8.1.3 Converting injuries to fatalities 127
6.8.1.4 The equivalence principle 128
6.8.2 Environmental criteria 129
6.8.3 Criteria for other consequences 130
References 131

7 Human and organizational factors 133

7.1 Introduction 133
7.2 Human and organizational factors data 135
7.3 Classification of human and organizational factors 136
7.4 Human factors influencing accidents 139
7.5 Fatigue 141
7.6 Physical working environment 144
7.6.1 Thermal climate 144
7.6.2 Noise 146
7.6.3 Vibration 147
7.7 Motion 149
7.8 Vision 152

7.8.1 *Lookout 152*
7.8.2 *Night vision 153*
7.8.3 *Radar operation and vigilance 155*
7.9 *Situation awareness 156*
7.10 *Perception and decision making 161*
7.10.1 *False hypothesis 161*
7.10.2 *Habit 161*
7.10.3 *End-spurt effect 162*
7.11 *Communication 162*
7.12 *Bridge Resource Management 163*
7.13 *Human-machine interface (HMI) 164*
7.14 *Safety culture and safety climate 169*
References 171

8 Risk analysis methods 175

8.1 *Introduction 175*
8.2 *Risk assessment and risk analysis 176*
8.2.1 *A General Risk Assessment Process 176*
8.2.2 *Problem definition and system description 177*
8.2.3 *Work organization and choice of method and data 181*
8.2.4 *Hazard identification 182*
8.2.5 *Causal and frequency analysis 184*
8.2.6 *Consequence analysis 185*
8.2.7 *Risk presentation 187*
8.2.8 *Comparison with risk acceptance criteria 188*
8.2.9 *Identify and evaluate risk reduction measures 188*
8.2.10 *Reporting 190*
8.2.11 *Limitations of risk analysis 190*
8.3 *Preliminary Hazard Analysis (PHA) 192*
8.3.1 *Introduction 192*
8.3.2 *Objectives 192*
8.3.3 *Applications 192*
8.3.4 *Method description 193*
8.3.4.1 *Preparations 193*
8.3.4.2 *Hazard identification 193*
8.3.4.3 *Causal and frequency analysis 194*
8.3.4.4 *Consequence analysis 195*
8.3.4.5 *Result presentation 196*
8.4 *Safe Job Analysis (SJA) 198*
8.4.1 *Introduction 198*
8.4.2 *Objectives 198*

8.4.3 Applications 199
8.4.4 Method description 199
8.4.4.1 Preparations 199
8.4.4.2 Hazard identification 199
8.4.4.3 Causal and frequency analysis 200
8.4.4.4 Consequence analysis 200
8.4.4.5 Result presentation 200
8.5 FMECA 201
8.5.1 Introduction 201
8.5.2 Objectives 201
8.5.3 Applications 202
8.5.4 Method description 202
8.5.4.1 Preparations 202
8.5.4.2 Hazard identification 203
8.5.4.3 Causal and frequency analysis 204
8.5.4.4 Consequence analysis 205
8.5.4.5 Result presentation 206
8.6 HAZOP 207
8.6.1 Introduction 207
8.6.2 Objectives 209
8.6.3 Applications 209
8.6.4 Method description 209
8.6.4.1 Preparations 209
8.6.4.2 Hazard identification 210
8.6.4.3 Causal and frequency analysis 211
8.6.4.4 Consequence analysis 211
8.6.4.5 Result presentation 212
8.7 STPA 214
8.7.1 Introduction 214
8.7.2 Method description 214
8.7.3 Comparison with FMECA 216
8.8 Fault tree analysis 216
8.8.1 Constructing fault trees 217
8.8.2 Minimal cut sets 220
8.8.3 Quantification of fault trees 222
8.9 Event tree analysis 230
8.9.1 Principles 230
8.9.2 Constructing event trees 232
8.9.3 Quantification of event trees 233
8.10 Bayesian networks 240
8.10.1 Elements of a BN 240

8.10.2 *Constructing a BN* 242
8.10.3 *Quantification of BN* 243
8.10.4 *Example* 246
8.11 *Risk contribution trees* 248
8.12 *Concluding remarks* 249
References 251

9 Measuring risk 253

9.1 *Introduction* 253
9.2 *Risk matrix* 253
9.3 *Measuring risk to people* 260
9.3.1 *Societal and individual risk* 260
9.3.2 *Injury risk* 260
9.3.3 *Potential Loss of Life (PLL)* 262
9.3.4 *FN curve* 263
9.3.5 *Individual Risk (IR)* 265
9.3.6 *Fatal Accident Rate (FAR)* 267
9.3.7 *Combining injuries and fatalities* 268
9.4 *Measuring risk to the environment* 270
9.5 *Measuring risk to other assets* 271
9.5.1 *Economic risk* 271
9.5.2 *Reputation* 272
References 272

10 Methods for navigational risk analysis 275

10.1 *Introduction* 275
10.2 *Groundings* 276
10.2.1 *Early studies of powered groundings* 276
10.2.2 *Developments of powered grounding models* 278
10.2.3 *Drift grounding* 281
10.3 *Allision with fixed offshore installations* 282
10.3.1 *Powered passing vessels* 283
10.3.2 *Allision with wind farms* 285
10.3.3 *Korean study* 286
10.4 *Ship collision* 289
10.4.1 *Basic approach* 289
10.4.2 *Head-on collisions* 289
10.4.3 *Crossing collision* 292
10.4.4 *Traffic modeling based on AIS observation* 294
10.5 *Causation probability* 296

10.5.1 Empirical approach 296
10.5.2 Fault tree analysis (FTA) 297
10.5.3 Bayesian Belief Network 298
10.6 Qualitative methods 304
10.7 A final comment 306
References 307

11 Human reliability analysis 311

11.1 Introduction 311
11.2 Human reliability analysis 313
11.2.1 Problem definition 315
11.2.2 Task analysis 315
11.2.3 Human error identification 315
11.2.4 Error modeling 316
11.2.5 Human error probability HEP 317
11.3 The THERP method 317
11.3.1 Human error identification by means of PHEA 317
11.3.2 Error modeling by means of THERP 318
11.3.3 HEP estimation in THERP 319
11.3.4 Data on HEPs and PSFs in THERP 321
11.4 The CREAM method 322
11.4.1 Human error identification by means of CREAM 322
11.4.2 Error modeling by means of CREAM 324
11.4.3 HEP estimation in CREAM 326
11.4.3.1 Basic method 326
11.4.3.2 Extended method 330
11.5 Human error assessment and reduction technique (HEART) 334
11.6 Application of THERP in transport 337
11.6.1 Crew error in aircraft takeoff 337
11.6.2 Human contribution in marine traffic accidents 339
11.7 Application of CREAM in transport 343
11.8 Calibration of an HRA model with accident data 347
References 351

12 Formal safety assessment 353

12.1 Introduction 353
12.1.1 Background to FSA 354
12.1.2 Intended use of FSA 354
12.2 FSA approach 355

12.3 *Preparatory step 358*
12.3.1 *Problem definition 358*
12.3.2 *The generic ship 359*
12.3.3 *Stakeholders 362*
12.4 *Step 1: Hazard identification 363*
12.4.1 *Step 1.1: Identify hazards 364*
12.4.2 *Step 1.2: Describe structured scenarios 365*
12.4.3 *Step 1.3: Rank and screen scenarios 366*
12.5 *Step 2: Risk assessment 369*
12.5.1 *Step 2.1 Qualitative scenario descriptions 369*
12.5.2 *Step 2.2 Quantify scenarios 370*
12.5.3 *Step 2.3 Calculate risk 372*
12.5.4 *Step 2.4 Sensitivity and uncertainty analyses 375*
12.6 *Step 3: Establish safety measures 377*
12.6.1 *RCM and RCO 378*
12.6.2 *Step 3.1 Areas needing control 379*
12.6.3 *Step 3.2 Identify risk control measures 380*
12.6.4 *Step 3.3: Grouping risk control measures 381*
12.6.5 *Step 3.4: Evaluating the effectiveness of RCMs/RCOs 382*
12.7 *Step 4: Cost-benefit assessment 382*
12.7.1 *Step 4.1: Baseline assumptions and conditions 383*
12.7.2 *Step 4.2: Calculate costs 384*
12.7.3 *Step 4.3: Calculate benefits 385*
12.7.4 *Step 4.4: Calculate cost-effectiveness 385*
12.7.5 *Step 4.5: Evaluating uncertainty 386*
12.8 *Recommendations for decision-making 387*
12.9 *Application of the FSA methodology 388*
12.9.1 *Step 1: Hazard identification 389*
12.9.2 *Step 2: Risk assessment 389*
12.9.3 *Step 3: Establish safety measures (risk control options) 394*
12.9.4 *Step 4: Cost-benefit assessment 395*
12.9.5 *Step 5: Recommendations for decision-making 396*
12.10 *Final comments 398*
References 399

13 Security 401

13.1 *Introduction 401*
13.1.1 *Threats in the delivery phase 402*
13.1.2 *Threats to seaborne transport 402*

13.1.3 Cyber threats 403
13.2 Improving the security in the cargo supply chain 403
13.2.1 US legislation 403
13.2.2 ISPS Code 404
13.2.3 SOLAS 406
13.2.4 ISM Code 407
13.2.5 Container security 407
13.3 Security onboard 408
13.3.1 Compliance costs for the shipowner 409
13.4 Piracy in history 410
13.4.1 Definition of piracy today 411
13.5 Piracy today 411
13.5.1 Locations of piracy 413
13.5.2 Somali piracy 415
13.6 Combating piracy 416
13.6.1 Combating piracy in Somalia 416
13.6.2 Legal framework 417
13.6.3 Military actions 418
13.6.4 Economic reform 418
13.7 Vessel security against piracy 419
13.7.1 Risk assessment of vessel 420
13.7.2 Operative measures 421
13.7.3 Protection of vessel 421
13.7.4 Cyber security and risk management 422
References 424

14 Accident data 427

14.1 Introduction 427
14.2 Types of data needed in risk analysis 428
14.2.1 Technical data 428
14.2.2 Operational data 428
14.2.3 Environmental data 428
14.2.4 Event data 429
14.2.5 Input to fault trees and event trees 429
14.2.6 Consequence data 429
14.3 Evaluating data sources 430
14.4 Frequency and consequence 431
14.4.1 Shipping statistics yearbook 431
14.4.2 Data from Sea-web 432
14.4.3 Annual overview from EMSA 438
14.4.4 Data from national maritime administrations 442

14.4.4.1 The United Kingdom and Canada 442
14.4.5 Marine Accident Inquiry Agency (MAIA) of Japan 444
14.5 Accident taxonomies 444
14.5.1 Skill-rule-knowledge model 444
14.5.2 SHEL model 445
14.5.3 Swiss Cheese Model (SCM) 445
14.5.4 MSCAT 446
14.5.5 MaRCAT 446
14.5.6 HFACS- Maritime 446
14.6 Causal factor data 449
14.6.1 Port state control findings 449
14.6.2 Data from accident investigations 449
14.6.3 SIRC study 450
14.6.4 Finnish study 455
14.6.5 Powered grounding accidents 456
14.6.5.1 Causal factors 457
14.6.5.2 Track history of vessel 459
14.7 Traffic data 460
References 464

15 Risk reduction measures 467

15.1 Introduction 467
15.2 Barriers and barrier classification 467
15.2.1 What is a barrier? 467
15.2.2 RCM and RCO 468
15.2.3 Classification of barriers 469
15.2.3.1 Classifications based on accident sequence 469
15.2.3.2 Classifications based on type of barrier 470
15.2.3.3 Classification based on function 471
15.2.4 Barrier properties 471
15.2.4.1 Specific 472
15.2.4.2 Functional 472
15.2.4.3 Reliable 472
15.2.4.4 Verifiable 473
15.2.5 Attributes of RCMs from IMO 473
15.3 Identifying risk reduction measures 475
15.4 Evaluating and prioritizing risk reduction measures 478
15.4.1 Effects on risk 478
15.4.2 Reliability 479
15.4.3 Verifiability 480

15.4.4 Independence 480
15.4.5 Where in event chain 481
15.4.6 Duration 481
15.4.7 Cost 482
15.4.8 Summary 482
15.5 Cost-benefit analysis 483
15.5.1 Economic theory 484
15.5.2 Cost optimization 485
15.5.3 CBA in safety management 488
15.5.4 Cost-benefit analysis methodologies 493
15.5.5 Establishing criteria for ICAF 495
15.6 Case study: oil spill prevention measures for tankers 497
15.7 Alternative approaches to selection 504
15.7.1 Ranking of concepts 504
15.7.2 Relative importance ranking 506
15.7.3 Valuation of consequence parameters 511
15.8 Barrier management in operation 514
References 516

16 Emergency preparedness and response 519

16.1 Introduction 519
16.2 Examples of accidents 521
16.2.1 Amoco Cadiz 521
16.2.2 Capitaine Tasman 522
16.2.3 HSC Sleipner 523
16.2.4 Costa Concordia 525
16.3 Principles of emergency response 527
16.4 Emergency and life-saving regulations 528
16.4.1 SOLAS 528
16.4.2 ISM Code: emergency preparedness 531
16.4.3 STCW requirements 532
16.5 Emergency preparedness activities and functions 533
16.5.1 Planning 533
16.5.2 Land support 536
16.5.3 Decision support 536
16.6 Human behavior in emergency situations 539
16.6.1 General characterization 539
16.6.2 Emergency behavior 542
16.7 Evacuation risk 543
16.8 Evacuation simulation 548
16.8.1 Crowd behavior 548

16.8.2 *Modeling the evacuation process 549*
16.8.3 *A Simulation case 551*
16.8.4 *Evacuation from partly capsized vessels 554*
16.8.5 *Designing for safe evacuation 556*
16.9 *Pollution emergency planning 558*
16.9.1 *MARPOL 558*
Appendices 560
References 563

17 Risk-based design 567

17.1 *Introduction 567*
17.2 *IMO regulations 569*
17.3 *Approach to risk-based design 570*
17.4 *Approval process according to MSC 1455 573*
17.5 *Probabilistic damage stability 576*
References 576

18 Monitoring risk level 579

18.1 *Introduction 579*
18.2 *Monitoring loss numbers 579*
18.2.1 *Time series of grounding accidents 579*
18.3 *Analysis of time series 582*
18.4 *Maritime disasters with many fatalities 584*
18.5 *Fitting a non-parametric distribution 587*
18.6 *The lognormal distribution 588*
18.6.1 *Definitions 588*
18.6.2 *Fitting a parametric distribution to observed data 590*
18.7 *Estimating a worst-case scenario 592*
18.7.1 *A simple approach based on distribution function 592*
18.7.2 *The extreme value distributions 593*
18.7.3 *EVT estimation of tanker oil spills 595*
18.8 *Analysis of competence – correlation coefficient 599*
18.9 *Testing of a distribution – lost time accidents 602*
18.10 *Choosing among alternative training programs 603*
18.11 *The effect of time – control charts 605*
References 608

19 Learning from accidents and incidents 609

19.1 *Introduction 609*
19.2 *Regulations 610*

19.3 Causes of accidents and near-miss 612
19.4 Accident theories 614
19.4.1 Energy-barrier models 615
19.4.2 Sequential models 615
19.4.3 Epidemiological models 616
19.4.4 Systemic models 618
19.5 STEP 621
19.6 MTO method 623
19.6.1 Flowcharting 625
19.7 Loss Causation Model and M-SCAT 626
19.7.1 Background 626
19.7.2 The basics 628
19.7.3 Taxonomy 629
19.7.4 M-SCAT 632
19.8 Accident investigation process 633
19.8.1 Overview of process 633
19.8.2 Step 1: Initiate the investigation 634
19.8.3 Step 2: Preparations 635
19.8.4 Step 3: Collecting evidence 635
19.8.5 Step 4: Analyzing evidence 636
19.8.6 Step 5: Prepare recommendations 637
19.8.7 Step 6: Prepare report 638
19.9 The accident report 639
19.10 Near-miss investigations 639
19.11 Accident investigation reports 641
MAIB – Marine Accident Investigation Branch (UK) 641
NTSB – National Transportation Safety Board (USA) 641
Dutch Safety Board – about 100 reports 641
Norwegian Safety Investigation Authority – about 100 reports 641
TSB - Transportation Safety Board of Canada 642
ATSB – Australian Transport Safety Bureau 642
References 642
Index 645