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## No.2 Procedure for Failure Incident Reporting and Early Warning of Serious Failure Incidents - “Early Warning Scheme - EWS”

(Rev.0  
July  
2009)

### 1 Objective:

1.1 To improve ship safety and protection of the marine environment by providing information on incidents of *hull* failures and machinery space fires and explosions which are considered to have endangered the ship, or its personnel, or posed a threat to the environment and where *sister* or *similar* ships exist that could be at risk. The information regarding such failures is to be provided to the involved Classification Societies, and other relevant parties as stipulated herein, with a view to reducing the likelihood of their reoccurrence.

### 2 Definitions: In the context of this procedure, the following definitions apply.

2.1 *Failure incident*<sup>1)</sup> : A *hull* failure that is known, or suspected, to be due to inadequate compliance with relevant standards for design, construction, modification or repair of the failed item or inadequacy in standards relevant to the failed item. Damage incidents caused by all other causes, including but not limited to such things as collision, grounding, improper or inadequate operation, improper loading, human error or action, natural disaster, etc. are not “*failure incidents*” within the context of this procedure.

2.2 *Serious failure incident*: A *hull failure incident* or a machinery space fire or explosion that:

- Resulted in loss of the ship, death or serious injury to the personnel on board, or severe pollution of the marine environment; or
- Endangered the ship, the personnel on board, or posed a threat of severe pollution of the marine environment.

2.3 *Sister ship*: Ships having the same hull form, dimensions and cargo tank or cargo hold configuration that have been built to the same plans, even if approved by different societies.

2.4 *Similar ship*: Ships having similar arrangement or features affected by the incident of damage or failure in question.

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Note:

This Procedural Requirement applies from 1 July 2009.

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<sup>1)</sup> In this procedure, no machinery space fire nor explosion is categorised as a ‘failure incident’. Only machinery space fires or explosions judged as a ‘serious failure incident’ are reportable.

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2.5 *Hull*: Hull structure and appurtenant equipment and structure fitted on or through the hull envelope (including but not limited to such things as hatches, doors or ramps, deck equipment, ventilation and sounding pipes, rudder including steering gear, sea connections, anchors & cables, etc.)

2.6 *Involved Society*: a classification society classing a sister or a similar ship to the one involved in the incident.

2.7 *Incident Reporting Officer (IRO)*: The person designated by each Society to report and receive confidential information and to undertake or manage the performance of the procedure within the Society.

**3 Approach:**

3.1 *Failure incidents* which are considered to be noteworthy and of possible utility for improving international technical requirements, Societies' Rules or survey procedures and guidance are to be reported<sup>2)</sup>, without identifying the particular ship involved, and addressed in accordance with Annex 1.

3.2 *Serious failure incidents* which are considered, owing to the severity of their consequences, to warrant investigation and/or action with respect to other ships which may be susceptible to such failures are to be reported and addressed in accordance with Annex 2<sup>3)</sup>.

**4 Exceptions:**

4.1 In cases where the Builder or Manufacturer has taken the responsibility to advise Owners and the relevant classification societies of ships which may be similarly affected, the reporting of *serious failure incidents* may be limited to posting on the website sufficient details to identify the incident and a note of the action taken by the Builder or Manufacturer.

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<sup>2)</sup> Considerable uncertainty may exist as to whether a particular incident is a *failure incident* or not. In deciding whether to treat an incident as a *failure incident* consideration is to be given to whether enough is known or can reasonably be expected to be learned about the particular incident to warrant treating it as a *failure incident*. Similarly, for incidents which may have been caused by inadequate maintenance of an item, consideration should be given to whether information on the incident would contribute to reassessing the periodicity of required surveys or examinations, or other aspects within the purview of classification or statutory certification.

<sup>3)</sup> In judging whether an incident should be treated as a *serious failure incident* consideration is to be given to the risk involved in terms of the probability of future occurrences resulting in severe or unacceptable consequences as well as the likelihood of identifying and implementing safety improvements which will effectively reduce that risk.

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**5 Confidentiality:** <sup>4)</sup>

5.1 Information provided or obtained in the course of application of this procedure, is to be considered confidential and is not under any circumstances to be divulged to any other party without the explicit prior agreement of the Societies reporting the information. In this respect, prior to the submission of the details of the incident the IRO of the initiating Society is to send the Confidentiality Agreement to the involved Societies. The details of the incident are to be sent only to the Societies which have duly signed and returned the copy of the signed Confidentiality Agreement to the initiating IRO.

5.2 Any Society providing information identifying a specific ship, or ships, under this procedure is responsible for obtaining any required permission from the ship Owner, Builder or Manufacturer, as appropriate, prior to:

- i. reporting the information in accordance with Annex 2;
- ii. authorizing its release to any other party in accordance with 5.1

5.3 Access to information identifying specific ships provided in accordance with Annex 2 is to be restricted by the Societies to those within their Society with a need to know in order to undertake appropriate studies, decisions or actions directly related to achieving the objective stated in 1.1.

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<sup>4)</sup> A refusal by the Owner, Builder or Manufacturer to give authorization for use of information on incidents in conjunction with this procedure shall not be held against the Society involved. Similarly, inability to provide information for use in conjunction with this procedure as a result of expectation of litigation shall not be held against the Society involved. However, in both cases information on the incident that is in the public domain may be used to carry out this procedure to the extent practicable.

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**Annex 1: Reporting of Hull Failure Incidents and Repairs**

1. Societies are to submit the required information on hull *failure incidents* of ships in their class to IACS Hull Panel. The Data Sheet for Reporting Hull Failure Incidents and Repairs, contained in Annex 3, is to be used for this purpose.
2. The Hull Panel will be responsible for maintaining the records of submitted information and issuing periodic lists of all cases.
3. The Hull Panel will, on an ongoing basis, review the information received and, where necessary or appropriate, make recommendations to GPG regarding possible further action by IACS. The Hull Panel will also use the information received, when appropriate, in the development and maintenance of the IACS booklets on typical hull damages for various ship types.

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**Annex 2: Early Warning of Serious Failure Incidents****1 General**

1.1 In the event of the occurrence of a *serious failure incident*, the IRO of the Society classing the ship involved, is to identify sister ships and/or similar ships, their classing Societies and send the following information to these involved Societies:

- Ship's Name and IMO Number,
- Builder's Name and Yard Number,
- Date and location of incident,
- Details of the incident (See sections 2 and 3 below),
- Any additional information considered relevant to pursuing the objective of this procedure.

In reporting the details of these incidents, the data sheet contained in Annex 3 should be used for guidance.

1.2 The IRO of the initiating Society is responsible for managing the process described below.

1.3 In order to determine whether the incident is one of a series of similar incidents on *sister ships* or whether it appears to be an isolated case, written feedback from the IROs of involved Societies of any information held on file concerning surveys, damages or repairs undertaken on the ship or the identified *sister ships* in their class ~~or previously in their class~~, which is relevant to the case, is to be submitted to the IRO of the Society which initiated the case, as soon as possible.

1.4 Written feedback from IROs of involved Societies with respect to relevant follow-up information obtained during subsequent surveys is also to be sent to the IRO of the Society which initiated the case as soon as possible.

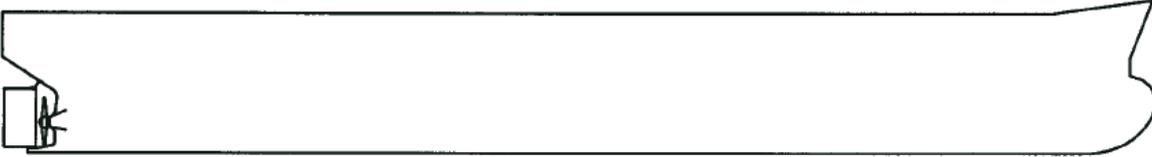
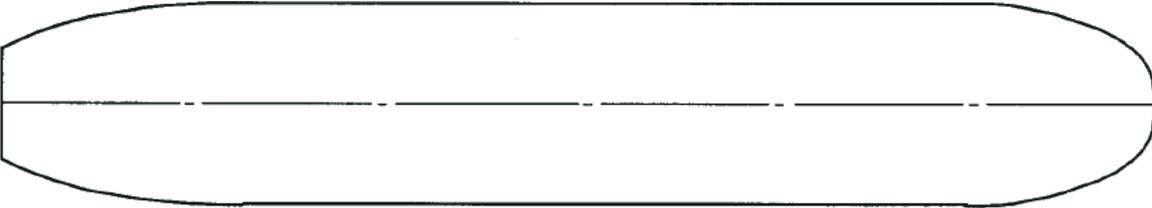
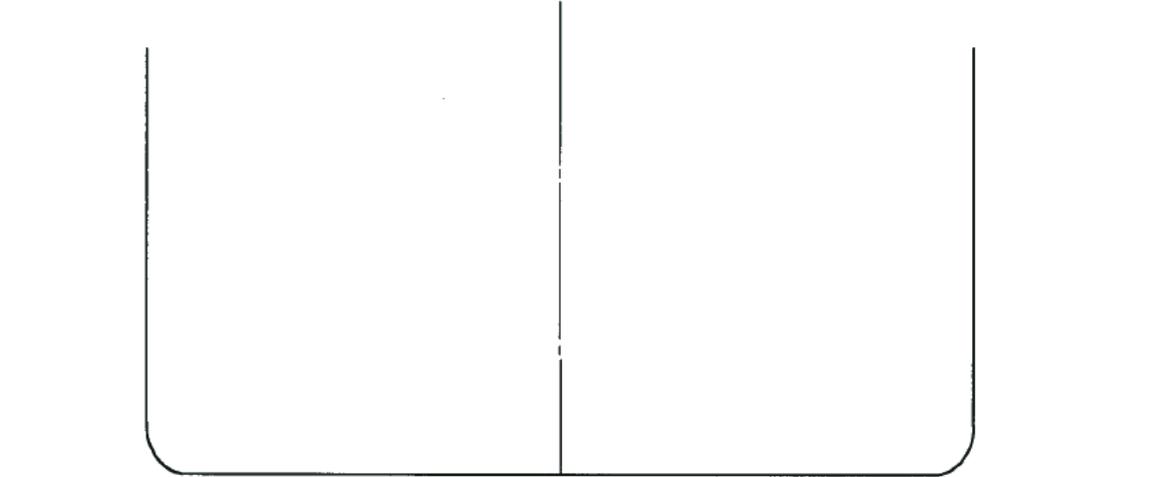
1.5 The IRO of the society initiating a case is to take a leadership role in monitoring and assessing the case information and, together with the other IROs involved (without access to the identity of ships of other involved Societies), recommending any further follow-up actions considered necessary or appropriate to IACS through IACS Permanent Secretariat prior to closing the case file. Such recommendations might include, but are not necessarily limited to, such things as revision/development of IACS Resolutions with a view to minimizing reoccurrence of *the serious failure incident* in question.

**2 Machinery Space Fires and Explosions:** Where appropriate, the initiating IRO is also to identify any known ships similarly at risk. In reporting the details of these incidents, the following should be used for guidance:

- a) Incident type (e.g. fire, explosion, explosion followed by fire, etc.),
- b) Extent of injury and loss of life,
- c) Effect on ship (e.g. abandoned, temporarily disabled, towed, etc.),
- d) Fire contained ( yes/no ),
- e) Extinguishing method (e.g. hand extinguisher, CO2, halon, etc.),
- f) Heat source,
- g) Combustible material (e.g. fuel oil, lub oil, soot, gas, etc.),
- h) Fault type and location,
- i) Machinery component(s) involved (including manufacturer and type designation, where known).

ANNEX 3

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<b>IACS Early Warning Scheme (EWS)</b>  Data Sheet for Reporting  Hull Failure Incidents and Repairs		Page 1 of    Pages  <b>Member Society Ship Number (*1)</b>	
<b>Ship Type</b>		<b>Date of EWS Report</b>	
<b>Size Group (GRT or DWT) (*2)</b>		<b>Age Group (*3)</b>	
<p><i>Note: (*1) aa-bb-cc (aa: Society's name, bb: year reported, cc: consecutive report number)</i>                  (*2) GRT: &lt; 6,000    6,000 - 9,999    10,000 - 29,999    30,000 ≤                  DWT: &lt; 10,000    10,000 - 49,999    50,000 - 99,999    100,000 - 179,999    180,000 ≤                  (*3) Age: 0 - 4,    5 - 9,    10 - 14,    15 - 19,    20 ≤</p> <p style="text-align: center;"><i>Please indicate tank and hold arrangement and the global locations of damage on the diagrams provided below.</i></p>			
			
			
			

*NOTE: This form should not be used as a vehicle to transmit information to member societies field surveyors or any other parties.*

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<p><b>Early Warning Scheme (EWS)</b></p> <p>Data Sheet for Reporting</p> <p>Hull Failure Incidents and Repairs</p>	Page of Pages
	<b>Society Ship Number</b>
<b>Description of Damages, Likely Causes, Methods of Repair and Lessons Learned</b>	
<p><i>Please describe</i></p> <p><i>Please sketch</i></p>	<p>(1) <i>the nature and extent of damages</i></p> <p>(2) <i>factors likely to have contributed to the damages if known</i></p> <p>(3) <i>methods of repair if any</i></p> <p>(4) <i>lessons learned</i></p> <p><i>Please also identify global locations of damages on the diagrams provided on Page 1.</i></p> <p>(1) <i>Details of damage with scantlings and material of associated structures</i></p> <p>(2) <i>Details of repairs, if any, with scantlings and material of any modified structures and/or additional reinforcements</i></p>

*NOTE: This form should not be used as a vehicle to transmit information to societies' field surveyors or any other parties.*

<p>End of document</p>
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