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## **SEAFARERS TRAINING CENTER INC**



**PROFICIENCY IN CRISIS  
MANAGEMENT AND HUMAN  
BEHAVIOUR TRAINING INCLUDING  
PASSENGER SAFETY, CARGO SAFETY  
AND HULL INTEGRITY TRAINING  
STCW convention 1978 as amended**

### ***MODEL COURSE***

### ***IMO 1.29***

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## **SCOPE**

This course aims to meet the mandatory minimum requirements for the training of personnel aboard Ro-Ro passenger ships, and the training of personnel on and passenger ships other than Ro-Ro passenger ships follows.

### **1. Ro-Ro Passenger Ships**

The training for masters, chief mates, chief engineer officers, second engineer officers, and any person assigned immediate responsibility for embarking and disembarking passengers, loading, discharging or securing cargo, or closing hull openings, and any other person having a responsibility for the safety of passengers in emergency situations required by Regulation V/2, pa.7 and 8, of the STCW Convention 1978 as amended, and specified in Section A-V/2 pa. 4 and 5.

### **2. Passenger Ships Other than Ro-Ro Passenger Ships**


The training of masters, chief mates and persons assigned immediate responsibility for embarking and disembarking passengers, including chief engineer officers, second engineer officer and any other person having responsibility for embarking and disembarking passengers and for the safety of passengers in emergency situations required by Regulation V/3 pa. 7 and 8. Of the STCW Convention 1978 as amended and specified in Section A-V/3 pa. 4 and 5.

## **OBJECTIVE**

### **RO-RO PASSENGER SHIPS**

A trainee successfully completing the training will be able to:

- Organize the safe movement of vehicles and passengers when embarking and disembarking.
- Control all elements of cargo safety and hull integrity.
- Monitor and control atmosphere in Ro-Ro cargo spaces.
- Organize shipboard emergency procedures.
- Optimize use of resources

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- Control response to emergencies.
- Control passengers and other personnel during emergency situation.
- Establish and maintain effective communications.

Passenger ships other than Ro-Ro passenger ships:

- Organize the safe movement of passengers when embarking and disembarking.
- Organize shipboard emergency procedures.
- Optimize use of resources.
- Control response to emergencies.
- Control passengers and other personnel during emergency situations.
- Establish and maintain effective communications.

### **ENTRY STANDARDS**

There are not specific entry standards for the training this Course. However, all personnel having specific responsibilities on board detailed in Section A-V/2 and Section A-V/3 pa: 4 and 5 must undertake this training.

### **COURSE CERTIFICATE**


Documentary evidence of the training which has been completed is issued to every person found qualified under the provisions of Regulation V/2 or Regulation V/3 as appropriate.

### **COURSE INTAKE LIMITATIONS**

The maximum number of trainees attending each session will be 25 persons.

### **STAFF REQUIREMENTS**

All training and instructions should be given, and assessments carried out, by qualified personnel who understand the specific objective of the training, and have experience of the procedures established for the ships for embarking and disembarking passengers, for loading and discharging cargo, and for closing hull openings.

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Instructors shall be qualified in this task for which the training is being conducted and have appropriate training in instructions techniques methods (STCW Code 1978 as amended Section A-I/6).

### **TEACHING FACILITIES AND EQUIPMENT**

An ordinary classroom ashore, or lounge. An overhead project and audio visual equipment.

The practical training required by the regulation is ship specific.

### **TEACHING AIDS**

Videos.

V1 Basic Instincts (Passenger Mustering and Crowd control)

V2 Crisis Management Part 1


### **BIBLIOGRAPHY**

Flin Rhona. Sitting in the Hot seat. Leaders and Teams for Critical Incident Management. 1996. John Wiley & Sons (ISBN 0-471-95796-8)

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Easingwold Papers No. 8. A Digest of Some Well Known Disasters. 1994. The Emergency Planning College.

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### COURSE TIMETABLE

#### COURSE TIMETABLE FOR RO-RO PASSENGER SHIPS DAY 1

TOPIC	PERIOD
PASSENGER SAFETY, CARGO SAFETY AND HULL INTEGRITY TRAINING	
<ul style="list-style-type: none"> <li>• MODULE 1: INTRODUCTION.</li> </ul>	1 <sup>st</sup> Period (3 hours)
<ul style="list-style-type: none"> <li>• MODULE 2: ORGANIZE SHIPBOARD EMERGENCY PROCEDURE.</li> </ul>	2 <sup>nd</sup> Period (4 hours)
<ul style="list-style-type: none"> <li>• MODULE 3: OPTIMIZE THE USE OF RESOURCES.</li> </ul>	3 <sup>rd</sup> Period (3 hours)

#### COURSE TIMETABLE FOR RO-RO PASSENGER SHIPS DAY 2

<ul style="list-style-type: none"> <li>• MODULE 4: CONTROL RESPONSE TO EMERGENCIES.</li> </ul>	4th Period (2 hour)
<ul style="list-style-type: none"> <li>• MODULE 5: CONTROL PASSENGERS AND OTHER PERSONNEL DURING EMERGENCY SITUATIONS.</li> </ul>	5th Period (2 hour)
<b>TOTAL :</b>	<b>14 ( hours )</b>

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## **MANUAL**

### **MODULE 1: INTRODUCTION**

#### **General**

More and more large vessels are carrying more and more passengers. A notable industry trend is the rapid and continuing growth in the size and capacity of passenger vessels; new larger ships can accommodate more than 3,000 passengers and catTy crews of over 800.

The industry is considered safe, yet during the period 1984- 1994, 55 passenger vessels embarking passengers in U.S. ports were involved in 92 reportable casualties. Risks inherent with travel at sea can be mitigated through enhanced safety awareness and training.

#### **STCW REQUIREMENTS**


The Seafarer's Training, Certification and Watchkeeping Code (STCW Code) of 1995 was recently amended to include specialized training for crewmembers of passenger ships engaged on international voyages. Seafarers serving on board such ships must complete required training, laid out in Sections A-V 12 and V/3 of the Code; in accordance with their capacity, duties and responsibilities.

#### **CRISIS MANAGEMENT AND HUMAN BEHAVIOUR TRAINING**

Included in the new training requirements enumerated in the STCW Code, is Crisis Management and Human Behavior training for, "Masters, Chief Mates, Chief Engineering Officers, Second Engineering Officers and any person having responsibility for the safety of passengers in emergency situations".

There are five basic competency areas included in the Crisis Management and Human Behavior training requirements:

- Organize shipboard emergency procedures
- Optimize the use of resources

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- Control response to emergencies
- Control passengers and other personnel


Course Objective the Cruise Ship Industry is Growing

The Crisis Management and Human Behavior Course is specifically designed to impart knowledge and skills to be applied by shipboard management teams in situations when

Course Information Crisis Management and Human

Behavior is a one-day classroom course. The training is general in nature; it is neither crew nor ship specific. Combined with ship specific training, the course will enhance the capabilities of the shipboard management team to ensure passenger safety, pollution prevention and safety of the ship and possessions in emergency



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## **MODULE 2: ORGANIZE SHIPBOARD EMERGENCY PROCEDURES**

### Shipboard Emergency Procedures


#### Five major Factors

- Designed for its intended purpose, useable by operators and tested to ensure operability.
- Procedures- Emergency response procedures should be realistic, fit on board technology and be routinely evaluated and verified.
- Personal characteristics- Problem solving capabilities and former experiences with emergency situations have significant effect on crew response to critical conditions.
- Cohesion - The degree of comradeship, loyalty and understanding between members of a crisis management team as well as loyalty and respect for the ship's leadership will affect emergency response.
- Training- Personnel and teams evidencing the best performance in accident analysis have had relatively high level of training and experience. In fact, training may help overcome inherent personal shortcomings. Drills and exercises are primary means for providing relevant shipboard training.

Despite all technical and operational efforts to negate them, shipboard emergencies happen, in port and at sea. The Master and crew are expected to handle any emergency condition.

Formalized emergency procedures should be in place to meet the particular demands of a variety of situations. Depending on routes, passengers, ports of call, terminal security measures, and so forth, some such scenarios might include:

- Fire (in port/at sea)
- Grounding

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- Collision (in port/at sea)
- Bomb threat
- Terrorist activities
- Extreme weather
- Epidemic
- Pollution
- Emergency assistance to other ships

#### Decision support system


Include Regulation 24-4; Decision Support System for Masters of Passenger Ships. This regulation was instituted based on recommendations, "In order to improve capacity for rapid decision making in emergency situations

The system must be in written format (may be supplemented with computer-based system), consist of a uniform structure and be easy to use. The system must include plans for actions to be taken in all foreseeable emergencies and for handling any combination of emergency situations.

#### Regulation

Compliance with SOLAS Regulation 24-4 became mandatory for all passenger ships on 1 July 1997. Note: Passenger ships constructed before 1 July 1997 must comply no later than the date of the first periodical survey after 1 July 1999.

Too often seemingly obvious actions are overlooked during the confusion and stress of a shipboard emergency situation. Though certainly not deemed a substitute for thorough knowledge of the ship's

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emergency procedures, well developed decision support systems should:

- Focus attention on specific tasks
- Help establish priorities
- Aid against failures in memory
- Help balance workloads
- Promote application of standardized practices

MSC/Circ. 760

The Maritime Safety Committee (MSC) published MSC/Circ. 760, GUIDELINES FOR A STRUCTURE OF AN INTEGRATED SYSTEM OF CONTINGENCY PLANNING FOR SHIPBOARD EMERGENCIES, to assist ships in developing or improving emergency decision making systems. In particular, the MSC intended to assist in development of harmonized contingency plans that would be accepted by shipboard personnel and therefore, put to proper use in emergency conditions

Considerations


Procedures must be in place to respond to potential shipboard emergency situations. Developing individual procedures for each of the many scenarios that might be considered leads to duplication.

A "two-tier" modular approach, segregating Initial Actions and

Subsequent Response is proposed in an effort to provide needed decision making guidance while avoiding unnecessary duplication.

The integrated system is designed to include six modules:

- Module I: Introduction
- Module II: Provisions
- Module III: Planning, preparedness and training

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- Module IV: Response actions
- Module V: Reporting procedures
- Module VI: Annex( es)


#### Assuring Adherence to Procedures

Validate procedures: is good. Procedures should be continuously evaluated and critiqued to validate applicability and currency.

Carefully planned and implemented training is necessary to familiarize crewmembers with emergency response procedures. It is essential that personnel participate in drills and training sessions; particularly aboard ships having a high personnel cutover rate.

#### Familiarization

Personnel should be motivated on a daily basis to be sensitive to inherent dangers of shipboard operations. Training and other preparations related to emergencies should constantly focus on risks involved and possible serious ramifications of errant performance in emergency conditions.

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### MODULE 2 REVIEW

1. List five major factors for handling shipboard emergency situations:

- T \_\_\_\_\_
- P \_\_\_\_\_
- P \_\_\_\_\_
- C \_\_\_\_\_
- T \_\_\_\_\_


2. SOLAS Regulations recommend Decision Support Systems for Masters of Passenger Ships.

- a. TRUE
- b. FALSE

3. MSC/Circ. \_\_\_\_\_ promulgates guidelines for structuring an integrated system of contingency planning for shipboard emergencies.

4. List three actions that will tend to assure adherence to emergency response procedures

- A \_\_\_\_\_
- B \_\_\_\_\_
- C \_\_\_\_\_
- D \_\_\_\_\_

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### **MODULE 3: OPTIMIZE THE USE OF RESOURCES**

#### Limitation on Resources in Emergency

Personnel Crisis because of:

- Massive demands of the particular scenario
- Human reactions to crisis situations; reducing crewmembers' ability to perform assigned functions
- Physical injury


Should crewmembers become incapacitated; the overall response effort will be impaired. It is vital that all personnel can be used to maximum capacity. To this end, it is important to adhere to SOLAS regulations requiring assignment of substitutes for key duties and ensure cross training of personnel.

Possible sources of assistance include organizational components, Port Authority resources, other ships or governmental resources. Dependent upon the location of the ship when a crisis situation is encountered, sources of external assistance might be limited or nonexistent. Even if the incident occurs within range of assistance, it might take considerable time for an assistance effort to be mounted. In most emergencies, the ship management must rely on internal resources to respond, at least to provide immediate reactions

The vast problems and concerns associated with a crisis situation can become overwhelming. Extensive communications demands and many decisions will tend to bog management down; delegation becomes vital.

Some Masters and officers find it difficult to delegate tasking because of either perceived or real concerns including:

- Quality: "I better do it myself; I can do it better."
- Time: "I can get it done faster."
- Comfort: "If do it myself, I know it will get done."
- Risk: "He/she might make a mistake; I better do it myself."

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It is vital to overcome such concerns and be able to delegate without adding to the stress level inherent with an emergency condition. A good training program will sense to increase.

#### DRILLS:

##### Requirements

Requirements for drills are specified in SOLAS regulations. More detailed requirements will usually be included in the Company Safety Management System (SMS).

##### Purpose

Drills are a primary means for developing skills and teamwork.

REALISTIC drills can be used to evaluate emergency preparedness and determine time estimates required for response actions; follow on training requirements can be generated using evaluations of drills. Drills should be used to stimulate crewmembers and to counter complacency.

Drilling is an ideal means for checking satisfaction of the five major factors for handling emergencies:


**Technology** - Tests equipment functionality. Is equipment operable, does it suit needs, is it strategically located?

**Procedures** - Do in place procedures fit the needs and match up with resources available? Is information being passed effectively and efficiently? Should some tasks be reassigned or further delegated?

**Personal characteristics** - Do crewmembers appear able to cope with scenario? Are levels of stress impairing the ability to perform?

**Cohesion** - Do crewmembers willingly adhere to decisions of the leadership? Do crewmembers show a willingness to assist each other?

**Training** - Is there a gap between present competence and required capability? What training might improve the ability to negate the gap?

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A significant factor determining the results of a drill or the overall good to be served depends to a great deal on the pre-planning effort. Good planning of an exercise will ensure the time and effort of crewmembers is well spent.

To be trained and evaluated? What equipment is to be tested? Is there a particular shortfall, previously noticed, that needs to be corrected?

- References: What systems or policies are applicable?
- Safety Precautions: Will conduct of the drill effect shipboard safety? If so, what precautions can be taken to conduct the drill while minimizing safety risks?
- Procedures: Set the scenario for the drill in detail. What actions will be simulated and which will be "real"?

Expectations: Who will serve as observers/evaluators?

Possible Problems: Might some routine operations be interrupted? Are there a number of new crewmembers that might not yet be familiar with the ship or assignments?


Note: A sample Drill Plan is presented in Appendix A.

A thorough brief of the drill is necessary to maximize the of the exercise.

Drill Brief Planning should be detailed. A formal Drill Plan should include:

- Review of past drill reports; note shortfalls reported, equipment, procedural or personnel changes since.
- Establish specific objectives; everyone should understand




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the key focus of the exercise.


- Schedule time and location; ensure spaces will be available for drilling without interruption.
- Conduct safety walk-through; ensuring spaces and equipment are in safe to operate condition.
- A detailed description of the scenario; explain the "setting" for the drill evolution
- An explanation of the objectives expected to be met; what will be accomplished
- A description of roles to be played by personnel involved in the drill
- A discussion of the plans for coordination and communications; who will be performing what functions
- A listing of the intended/expected sequence of events

A post drill critique should be used to reinforce the drill experience. The critique should describe objectives met and not met and emphasize lessons learned.

The critique should be conducted promptly upon completion of the drill. The critique should evaluate performance of personnel, operation of equipment and adequacy of procedures including:


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- Communications flow
- Casualty recognition and reporting
- Use of available/appropriate assets
- "Big picture" awareness
- Personnel errors
- Noteworthy positive performance

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### Module 3 Review

1. Demands of an emergency situation can always be met with the minimum manning level on a passenger ship.
  - a. TRUE
  - b. FALSE
  
2. List three possible sources of EXTERNAL assistance in case of a shipboard emergency:
  - A.
  - B.
  - C.
  
3. Due to the vast numbers of concerns and problems inherent with a shipboard emergency, it is important to be able to
  
4. Drills must be \_\_\_\_\_ to be most effective in developing desired skills and teamwork.
  - a. FUN
  - b. REALISTIC
  - c. TAXING
  - d. FREQUENT
  
5. \_\_\_\_\_ should be conducted promptly after conducting a drill
  - a. Critiques
  - b. equipment
  - c. Happy hour
  - d. Jam session

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## **MODULE 4: CONTROL RESPONSE TO EMERGENCIES**

Initial Assessment and Response to Emergencies

Four Stages nition


- Information retrieval and evaluation
- Solution development and assessment
- Solution application

Upon recognition of the problem and realization of the severity, leaders will tend to react in several ways:

- **DENIAL**- Total or partial denial of the problem or seriousness of the problem; "This cannot happen" or, "The situation is not too bad". Or, ability to solve the problem might be denied; "We cannot handle this, so we will do nothing".
- **AVOIDANCE**- The danger is perceived accurately, but is deemed so threatening that the leader will not face it. Focus will be diverted to other matters and responsibility to deal with the imminent danger will be delegated.
- **OVERWHELMED** – Leader become either apathetic or extremely active, but lack coherent decision making ability. This is nearly a state of panic.
- **ADEQUATE** - The scenario and related danger is clearly recognized and preparations to control and normalize the emergency are initiated.

Note: The ability to adequately respond may be improved by proper training.

Emergency situations multiply the demands on leadership beyond that of routine day-to-day operations. A ship's leadership must successfully exercise command authority to overcome or contain problems as well as generate an atmosphere of good order and confidence (among crewmembers and passengers) and facilitate problem resolution.

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Response efforts will be monitored and directed by Designated Leaders and Functional Leaders.

Designated leaders are formally assigned to specified positions of leadership by higher authority. A critical role of the formally designated leader is ensuring situational awareness. Such functions necessitate maintaining distance from the response team activities monitoring behavior and detecting and correcting errors.


Functional leadership is based on unique knowledge or expertise as they relate to the situation at hand. Functional leadership is:

- Situational and temporary; does not change the command structure
- Assumed when specific knowledge or skills become critical to response actions
- Not necessarily initiated by the Designated leadership
- Is discontinued when the situation is resolved

Since designated leaders cannot be level where all of the time, it is good practice to cultivate Functional leadership. Functional leaders will flourish best in environments encouraging team members to voice opinions, provide information and take action when necessary.

Functional leadership has a variety of advantages, including:

- Allows for diversity to meet situational demands
- Encourages the most qualified to take charge of a given situation
- Enhances teamwork in complex, fast paced situations

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### Provide Status Reports

Application of sound leadership skills is key to overcoming and containing difficulties in an emergency.

Effective leadership skills necessary include:

- Specifying tasks
- Coordinating information flow
- Motivating individuals and teams
- Requesting relevant input
- Correcting errors in a positive fashion
- Focusing response teams on tasks
- Providing status of progress
- Monitoring teams for potential work overload
- Providing feedback


Understanding the overall objectives, leaders should assign tasking best matching resources to specific response actions.

Successful response to emergencies depends on accurate and timely information gathering and distribution. Leaders must be alert to problems affecting collection or communication official information.

Acknowledging good performance will result in effectiveness. Positive reinforcement will also moderate stress inherent with emergency response activities.

Individuals may have relevant information; leaders should actively solicit input from team members. If seen as approachable, team members will provide important information in a timely fashion.

Human errors must be detected and pointed out to minimize negative impact. To be effective, leaders will prompt correction without diminishing the respect for the team member who committed the error. "Trap errors, not people".

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Leadership should mitigate distractions to response team efforts. Preoccupation with low priority matters or inattention to performance of assigned tasking must be minimized.

Keeping team members advised of situational status, as it is understood, provides opportunity to conduct alignment checks. If differences in information exist, teams can resolve conflicts.


Providing feedback during operations should be part of the leadership routine. Positive feedback promotes continued performance of desired actions and negative feedback (constructive criticism) will initiate desired changes. When actions of the leadership are explained, team members better understand the overall picture and can anticipate future directions.

Feedback should be:

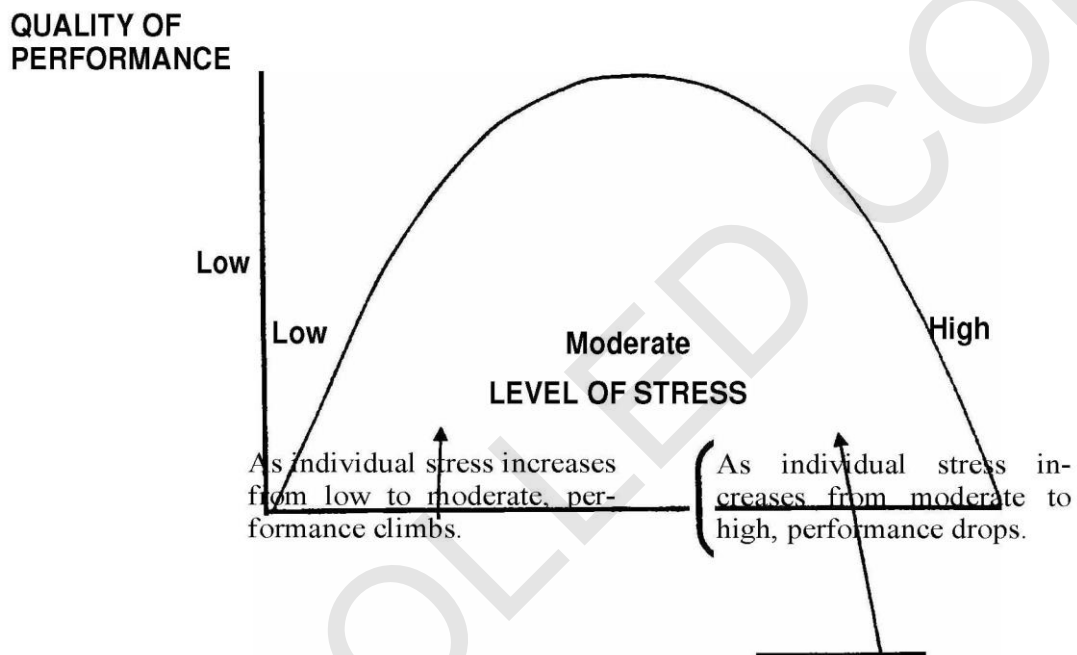
- Descriptive .....not Evaluative
- Well Intended .....not Hurtful
- Specific .....not General
- Well Timed .....not Delayed
- Balanced ..... not One-sided

Stress, natural physical responses occur, preparing the body to cope with the phenomena. Three stages will be evidenced:

- Alarm – When first encountered, stress will cause the body to produce hormones to cope on a temporary basis. Body functions will adapt to conserve energy and fight the onset of stress. Symptoms may include headaches, fatigue, sore muscles, shortness of breath and loss of energy.
- Resistance - The body :fights original source of stress and symptoms experienced in the Alarm stage gradually disappear. Energies are depleted while the body is maintaining a normal outward appearance.

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- **Exhaustion-** The body's resources are eventually depleted. Unless the source of the stress is negated, health is jeopardized and collapse could occur.




**Stress Factors** most significant stress factors include the perceived threat and difficult choices associated with the threat, a rapidly changing scenario, time constraints; loss of situational control, lack of cohesion or coordination within emergency response team, little or no information, certain information or too much information.

Individual performance under excessive stress will deviate from normal behavior or standard performance. Some telltale symptoms include:

- Deviations from established procedures
- Low standards for task performance
- Lack of discipline
- No monitoring or cross-checking subordinates



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- No response to inquiries
- Frequent minor errors
- Extreme tiredness
- Unusual irritability
- Physical problems

Behaviors and performance of operational teams (e.g. emergency response) can be affected when under stress. Ineffective teams under stress might:

- Have increased error rates
- Communicate poorly
- Share less information among team members
- Become overly reliant on leadership to solve problems
- Become susceptible to "group think"; the decisions of the team are not as good as a decision of a single member acting alone

Affects of stress on performance during an emergency situation can be reduced by:

- **AWARENESS** - be conscious of situation and status of corrective activities
- **SUFFICIENT REST** - deprivation of sleep is the most important factor decreasing ability to cope with high stress.
- **DRILLS** - generate confidence in personal and team capabilities

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#### MODULE 4 REVIEW

1. Upon recognition and realization of an emergency condition, leaders might initially react in several ways including:

- A.
- B.
- C.
- D.

2. Leaders are formally assigned to their positions.

3. \_\_\_\_\_ Leadership is founded in personal specific knowledge or expertise.


4. Effective leaders will quickly correct noted errors.

- A. TRUE
- B. FALSE

5. Providing timely, descriptive, specific and balanced \_\_\_\_\_ during operations should be a role of shipboard leadership.

6. Stress is the effect of a stimulus on the Wind.

- A. TRUE
- B. FALSE


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7. Stress can increase an individual's performance.

- A. TRUE
- B. FALSE

8. Is the most important factor decreasing ability to cope with high levels of stress?

- A. Time of day
- B. Age
- C. Insufficient rest
- D. Size of crew

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## **MODULE 5: CONTROL PASSENGERS AND OTHER PERSONNEL DURING EMERGENCY SITUATIONS**

Human Responses to Emergencies

Possible Reaction Patterns of Passengers

Possible Detrimental Actions of Passengers Generally, people tend to react too late to emergencies; they fail to sense immediate danger.


When initial word is passed that an emergency exists, people may await more information before reacting or, they might acknowledge that danger exists, but are optimistic that the problem will be cured.

When they do react, passengers can be expected to follow one of three Basic patterns:

- Activity: Between 10% and 30% will want to take some action and do something. These people might be used as helpers.
- Passivity: 50% to 75% will await instructions as to where to go and what to do. They will await crewmembers assistance and direction.
- Panic: On rare occasions, a very small faction, 1%to 3%, might enter into a state of violent panic; screaming, shouting and running about. Their behavior is based on fear; they perceive that danger is immediate and severe and opportunity for escape is limited.

The most detrimental actions observed of passengers during shipboard emergencies include:

- Looking for relatives or friends and not following directions
- Focusing on retrieval of belongings
- Panicking
- Seeking safety in cabins
- Moving to upper side of listing ship

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## Effective Communications

### General

Should be passed in as simple forms possible. Passengers and crewmembers in a crisis situation may have reduced capability to receive and understand complex messages. MSC/Circ. 794, IMO STANDARD MARINE COMMUNICATION PHRASES (SMCPs), provides a detailed collection of phraseology for application in Use Standard Phraseology shipboard operations, including emergency situations. SMCPs should be used to the greatest degree possible to reduce risk of misunderstanding of directions or information.

Communications during emergency response actions should be in the ship's "working language", English in the case of ships embarking passengers in U.S. ports.


### Use Ship's Working Language

Instructions and reports should be based on need for the information due to the fact that ability to communicate will probably be reduced to some degree in crisis situations. The following 5 point order may be applied to analyze what information is needed and by whom:

#### 5-Point Order

The ability to impart clear and concise directions and pass pertinent information is the very essence of good crisis management. Good communications is a must to ensure effective utilization of all available

- **Situation:** Explain present situation to relevant personnel, avoiding unnecessary details. A system of simple codes might be used in order to avoid alarming passengers and to reduce the need for sending and receiving lengthy messages.
- **Assignment:** Explain what response actions are required by specific crewmembers. If standard procedures apply, minimal instruction will be necessary. Again, avoid getting too detailed, allow response personnel to focus on tasks at hand without undue interruption.
- **Execution:** If necessary, explain how to perform the assigned tasking. Standard procedures might apply here also.

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Message the message consists of the information the sender desires to pass to the receiver. To reduce problems in communicating, the message should be:

- In correct terminology; standard phraseology
- Sent when receiver is able to listen
- In appropriate tone
- Relevant to receiver; needed
- Inclusive; contain everything needed by the receiver to understand the sender's point

Receiver The receiver needs the information to perform tasking.


Feedback Effective receivers receipt for messages and verify their understanding with the sender. Forms of feedback include:

- Acknowledging: "Roger" for a message is a courtesy and doing so demonstrates that the message has in fact been heard. Understanding is not necessarily assured.
- Parroting: Repeating back verbatim confirms that the words were received. Again, it does not ensure the receiver understands the message.
- Paraphrasing: Rephrasing the content of the message clarifies the message for both the sender and receiver. It provides a check on the receiver's understanding of the message and provides the sender an opportunity to correct any error in communication.

#### Barriers


Barriers to good communications are factors which impede or breakdown the communications loop. Barriers block, distort or alter the information. Some such barriers include:

- Non-assertive behavior
- Task preoccupation
- Anger or frustration
- Personal bias

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- Team diversity
- Lack of confidence
- Inappropriate priorities
- Organizational structure
- Distractions
- Tunnel vision
- Interruptions
- Position differences

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### MODULE 5 REVIEW

1. List three expected passenger reactions in case of emergency:

- A.
- B.
- C.

2. Passengers will probably move to the side of a listing ship.

3. High priority should be given to keeping family members together in a shipboard emergency scenario.

- A.TRUE
- B. FALSE


4. Good crisis management is greatly dependent upon good

- A. Role models
- B. Lifeboats
- C. Advice
- D. Communications

5. Should be used as the "working language" aboard ships embarking passengers in U. S. ports.

6. Information is conveyed by word, and language. Of voice



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7. The \_\_\_\_\_ initiates the communications process.

8. "Roger" for a message is a sure way to demonstrate full understanding of the sender's intent.

A. TRUE

B. FALSE

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## ANNEX

### GUIDELINES FOR A STRUCTURE OF AN INTEGRATED SVSTEM OF CONTINGENCY PLANNING FOR SHIPBOARD EMERGENCIES

#### CONTENTS

Preface

1 General remark

2 Integrated system of contingency planning for shipboard emergencies

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- Structure
- Concept of the System

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Module I: Introduction

Module II: Provisions


Module III: Planning, preparedness and training

Module IV: Response actions

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4 Example formal for a procedure of a selected emergency situation  
 Appendices Appendix-.1 Incorporation of an integrated system of shipboard emergency plans

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Appendix 2 the module structure of an integrated system for shipboard emergency plans

Appendix 3 Module IV. Response action (1) Appendix 4 Module IV- Response action (2) PREFACE

These Guidelines, prepared by the Maritime Safety Committee (MSC) of the International Maritime Organization (IMO), contain guidance to assist in the preparation of an integrated system of contingency planning for shipboard emergencies. It is intended to be used for the preparation and the use of a module structure of an integrated system of ship board emergency plans.


The high number of non-harmonized shipboard contingency plans justifies the development of an integrated system and the harmonization of the structure of contingency plans.

Shipboard emergency preparedness is required under chapter 8 of the ISM Code referred to in chapter IX of the SOLAS Convention, as amended, in chapter III, regulation 24-4 of the SOLAS Convention, as adopted at the SOLAS Conference November 1995, as well as in MARPOL 73/178, Annex 1, regulation 26.

To implement the SOLAS and MARPOL regulations, there must be shipboard procedures and instructions. These Guidelines provide a framework for formulating procedures for the effective response to emergency situations identified by the company and shipboard personnel

In this context the main objectives of these Guidelines are:

- to assist companies in translating the requirements of the regulations into action by making use of the structure of the integrated system;
- to integrate relevant shipboard emergency situations into such a system;
- to assist in the development of harmonized contingency plans which will enhance their acceptance by shipboard personnel and their proper use in an emergency situation;
- to encourage Governments, in the interest of uniformity, to accept the structure of the integrated system as being in conformity with the provisions for the development of shipboard contingency plans, as required by various IMO instruments, and to refer to these Guidelines when preparing appropriate national legislation.

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The Maritime Safety Committee, at its sixty-sixth session (28 May to 6 June 1996) and the Marine Environment Protection Committee at its thirty-eighth session (1 to 10 July 1996), approved Guidelines for a structure of an integrated system of contingency planning for shipboard emergencies, as set out in annex

Shipboard emergency plans are required under the provisions of chapters 11 and IX of SOLAS 1974 and Annex I MARPOL 73/78.


The Committees recognize that many ships operate with existing comprehensive and effective emergency plans. It is not the purpose of this circular to impose a new mandatory system or to supersede existing systems that are tried and tested, such as the Shipboard Oil Pollution Emergency Plan (SOPEP). Rather these Guidelines are to assist companies that may not have implemented an emergency planning system or that recognize that their system can be improved by using a structure for an integrated system.

These annexed Guidelines were developed, consistent with the human element principles contained in MSC/Circ. 763, with the objective of being useful and easily applied by seafarers. They contain information to assist in the preparation of shipboard emergency contingencies and are intended for the preparation and the use of a modular structure for an integrated system of contingency planning for shipboard emergencies. The Committees consider that a proliferation of non-harmonized shipboard emergency plans justifies the development of an integrated system and the harmonization of a structure of emergency plans in such a system.

Member Governments are invited to bring the Guidelines set out in annex, to the attention of their maritime Administrations and relevant industry organizations.

#### 1 General remarks

1.1 The ISM Code establishes an international standard for the same management and operation of ships by defining elements which must be taken into account for the organization of company management in relation to ship safety and pollution prevention. Since emergencies, as well as cargo spillage, cannot be entirely controlled through either design, or normal operational procedures, emergency preparedness and pollution prevention should form part of the company ship safety management. For this purpose, every

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company is required by the ISM Code to develop, implement and maintain a Safety Management System (SMS).

Within this SMS, procedures are required to describe and respond to potential shipboard emergency situations.

If the preparation of response actions for the many possible varying types of emergency situations which may occur are formulated on the basis of a complete and detailed case by case consideration, a great deal of duplication will result.

To avoid duplication, shipboard contingency plans must differentiate between "initial actions" and the major response effort involving the "subsequent response", depending on the emergency situation and the type of ship.

1.5 A two-tier course of action provides the basis for a modular approach, which can avoid unnecessary duplication.

1.6 It is recommended that a uniform and integrated system of shipboard emergency plans should be treated as part of the International Safety Management (ISM) Code, forming a fundamental part of the company's individual Safety Management System (SMS).

1.7 An illustration of how such a structure of a uniform and integrated system of shipboard emergency plans with its different modules can be incorporated into an individual SMS is shown in Appendix I.


## 2 Integrated systems of contingency plans for shipboard emergencies

### Scope

The integrated system of shipboard emergency plans (hereinafter referred to as the "System") should provide a framework for the many individual contingency plans (hereinafter referred to as the "Plans"), tailored for a variety of potential emergent cases, for a uniform and modular designed structure.

Use of a modular designed structure will provide a quickly visible and logically sequenced source of information and priorities which can reduce error and oversight during emergency situations.

2.2.1. The structure of the System comprises the following six modules the titles of which are:

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\*Module I: Introduction

\*Module II: Provisions

\*Module III: Planning, preparedness and training

\*Module IV: Response actions

\*Module V: Reporting procedures

\*Module VI: Annex (es).

An example for the arrangement of these modules is shown in Appendix 2.


2.2.2. Each module should contain concise information to provide guidance and to ensure all appropriate and relevant factors and aspects, through the various actions and decisions during an emergency response, are taken into account.

### 2.3 Concept of the system

2.3.1 The System is intended to provide a tool to integrate the many different Plans into a uniform and modular structured frame. The broad spectrum of the many required Plans which may be developed by a company will result in the duplication of some elements (e.g. reporting) of these Plans. Such duplication would be avoided by using the modular structure of the System referred to in 2.2.1.

2.3.2 Although the initial action taken in any emergency will depend upon the nature and extent of the incident, there are some immediate actions which should always be followed – the so called "initial actions" (see Appendix 4). Therefore, a distinction within the Plans between the "initial actions" and the "subsequent response", which depends on variables like the ship's cargo, type of the ship etc., will help to assist shipboard personnel in dealing with unexpected emergencies and ensures that the necessary actions are taken in a priority order.

2.3.3 "Subsequent response" is the implementation of the procedures applicable to the emergency.

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### 3 System modules

#### 3.1 General principles

3.1.1 As a starting point for the preparation of the System, Appendix 3 provides guidance and a quick overview concerning the kind of information which may be inserted into the individual System modules.

3.1.2 Above all, the System should be developed in a user-friendly way. This will enhance its acceptance by shipboard personnel.

3.1.3 For the System as well as the associated Plans to be effective it must be carefully tailored to the individual company and ship. When doing this, differences in ship type, construction, cargo, equipment, manning and route have to be taken into account.

#### 3.2 Details of the individual modules

##### 3.2.1 Module I: Introduction

3.2.1.1 The System should contain a module titled "Introduction".

3.2.1.2 The content of this module should provide guidance and an overview over the subject-matter.

3.2.1.3 The following is an example of an introductory text:


#### "INTRODUCTION"

1 The System is written to prepare shipboard personnel for an effective response to an emergency at sea.

2 The prime objective of the System is to provide guidance to shipboard personnel with respect to the steps to be taken when an emergency has occurred or is likely to occur. Of equal benefit is the experience of those involved in developing the Plan.

3 The purpose of the System is to integrate contingency plans for shipboard emergency situations and to avoid the development of different, non harmonized and unstructured Plans which would hamper their acceptance by shipboard personnel and their proper use in an emergency situation.

Therefore, the System and its integrated Plans should be structured and formatted in their layout and content in a consistent manner.

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4 The aim of the System is to ensure the most timely and adequate response, to meet the size and varied nature of emergencies to remove any threat of serious escalation of the situation. Additionally the System provides a structure to prevent critical steps from being overlooked.

5 The System and the associated Plans should be seen as dynamic, and should be reviewed when exercised and improved through the sharing of experience, ideas and feedback.

6 It should be kept in mind that there could be problems in communication due to differing language or culture of the shipboard personnel. The System, as well as the integrated Plans, are to be documents used on board by the master, officers and relevant crew members of the ship. It is necessary that they are available in the working language of the crew. Any change in these personnel, which brings about an attendant change in the crew's working language, requires Plans to be issued in the new language. The module should provide information to this effect.

7 The System is to be seen as a tool to implement the requirements of chapter 8 of the International Safety Management (ISM) Code or similar regulations in other IMO instruments \* in a practical manner.

\* Reference is made to SOLAS 74, Chapter III, and regulation 24-4 and MARPOL 73/78, Annex I, regulation 26.


### 3.2.2 Module II: Provisions

3.2.2.1 This module should contain information and explanations for the development of the system based on the suggestions for improvement gained from the individual company and shipboard personnel.

3.2.2.2 The primary objective of shipboard emergency prevention, preparedness and response activities should be to develop and implement an efficient and effective system which will minimize the risks to human life, the marine environment and property, with a continuous effort towards improvement.

3.2.2.3 To achieve this objective, there is a need for the coordination of, and consistency in, safety procedures between the company and their ships.



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Therefore, the module should contain a provision that company shorebased and shipboard contingency planning and response are consistent and appropriately linked.

3.2.2.4 Safety involves "top-down" and "bottom-up" commitment through the active development and application of safety procedures and practices by all people both ashore and afloat, including management.

3.2.2.5 Free and open communication when evaluating emergency procedures, taking into consideration accidents and near misses when using this System should be pursued, with the objective of improving accident prevention, preparedness and response aboard ships. The module should take care of this recommendation by providing information for the implementation of an error reduction strategy with appropriate feedback and procedures for modification of Plans.

3.2.2.6 Summarizing the provisions, the module should inform the System user about the most important requirements with which, at a minimum, the Plans should comply. In this respect the following main elements are valid and should be


addressed in the module:

- \* procedures to be followed when reporting an emergency;
- \* procedures to identify, describe and respond to potential emergency shipboard situations;
- \* programmes/activities for the maintenance of the System and associated Plans.

3.2.3 Module III: Planning, preparedness and training

3.2.3.1 This module should provide for emergency training and education of shipboard personnel to develop general awareness and understanding of actions to be taken in the event of an emergency.

3.2.3.2 The System and the Plans will be of little value if personnel who are to use them are not made familiar with them. In this context module III should outline, in a practical way, information which allows each key member of the

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shipboard personnel to know in advance what their duties and responsibilities are and to whom they are to report under the Plans.

3.2.3.3 Successful management of an emergency or marine crisis situation depends on the ability of the shipboard personnel, the company, and external emergency co-ordinating authorities to muster sufficient resources quickly, in the right positions.

3.2.3.4 An important goal of planning, preparedness and training programmes should be to increase the awareness of safety and environmental issues.

3.2.3.5 Training and education should be at regular intervals and, in particular, be provided to shipboard personnel transferred to new assignments.

3.2.3.6 Records of all emergency drills and exercises conducted ashore and on board should be maintained and be available for verification. The drills and exercises should be evaluated as an aid to determine the effectiveness of documented procedures and identify system improvements.

3.2.3.7 When developing plans for drills and exercises, distinction should be made between full scale drills involving all the parties that may be involved in a major incident, and exercises limited to the ship and/or the company.

3.2.3.8 Feedback is an essential element in refining emergency response plans and emergency preparedness, based on the lessons learned from previous exercises or real emergencies, therefore, feedback provides an avenue for continuous improvement. Feedback should ensure that the company, as well as the ship, is prepared to respond to shipboard emergencies (see summarizing flow diagram in Appendix 1).


3.2.3.9 In conclusion the module should, as a minimum, provide information on the procedures/programmes or activities developed:

- \* to familiarize shipboard personnel with the provisions of the System and

Plans;

- \* to train and educate on the System and Plans for shipboard personnel transferred to new assignments;

- \* to schedule regular drills and exercises to prepare shipboard personnel to counter potential shipboard emergency situations;

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\* to co-ordinate the shipboard personnel and the company's actions effectively and to include and take note of the aid which could be provided by external emergency co-ordinating authorities;

\* to prepare a workable feedback system.

### 3.2.4 Module IV: Response actions

This module should provide guidance for shipboard personnel relating to an emergency when the ship is underway, berthed, moored, at anchor, in port or dry dock.

3.2.4.1 In an emergency, the best course of action to protect the personnel, ship, the marine environment and cargo requires careful consideration and prior planning.

In this context there is a need to develop standards for shipboard procedures to protect personnel, stabilize conditions, and minimize environmental damage when an incident occurs.

3.2.4.2 In this context reference is made to the guidelines already developed by the


Organization\* which contain information to provide a starting point and to assist personnel in the preparation of the Plans for individual ships.

\* Reference is made to "Guidelines for the development of Shipboard Oil Pollution

Emergency Plans" (see resolution MEPC.54(32)). Reference is also made to "Guidelines for the development of Shipboard Marine Pollution Emergency Plans" under consideration by the Organization (see BCH 24/WP.8);

3.2.4.3 The variety of Plans to be incorporated in the System should be simple documents which outline procedures different from those used for daily routine operations. With normal operational procedures very difficult problems can be handled, but an emergency situation, whether on the ship at sea or in a port, can extend the organization beyond normal capabilities.

3.2.4.4 In order to keep the Plans held by both ship and shore identical, and to reduce possible confusion in an emergency as to who is responsible for which action the Plans should make clear whether the action should be taken by shipboard personnel or shore side personnel.

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3.2.4.5 Taking these particulars into consideration, the module "Response actions" should comprise main groupings of emergency shipboard situations.

3.2.4.6 Potential emergency situations should be identified in the Plans, including but not limited to, the following main groups of emergencies:

- .1 Fire
- .2 Damage to the ship
- .3 Pollution
- .4 Unlawful acts threatening the safety of the ship and the security of its passengers and crew
- .5 Personnel accidents
- .6 Cargo related accidents
- .7 Emergency assistance to other ships.


In order to give the company the necessary flexibility for identifying, describing and responding to further shipboard emergency situations, a more detailed level should be part of the defined main groups.

3.2.4.7 The majority of shipboard emergencies can be classified within the abovementioned main groups. For example, the main group "Damage to ship" can be subdivided to identify further shipboard emergencies, which may require very different responses, such as:

- \* collision
- \* grounding/stranding
- \* heavy weather damage
- \* hull/structural failure, etc.

The detailed response actions should be written in a way to set in motion the necessary steps to limit the consequence of the emergency and the escalation of damage following, for example, collision or grounding.

3.2.4.8 In all cases priority should be given to actions which, in turn, protect life, the marine environment and property. This means, that "initial actions" which

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are common for all ships, regardless of their type and cargoes carried, should be fully taken into account when formulating "subsequent response" procedures.

3.2.4.9 The planning of subsequent response actions should include information relating to the individual ship and its cargo, and provide advice and data to assist the shipboard personnel. The following examples of such information is listed as follows:

.1 Information on:

- \* the number of persons aboard;
- \* the cargo carried (e.g. dangerous goods, etc.);

.2 Steps to initiate external response:

- \* search and rescue co-ordination;
- \* buoyancy, strength and stability calculations;
- \* engagement of salvors/rescue towage;
- \* lightering capacity;
- \* external clean-up resources;


.3 Ship drift characteristics

.4 General information:

- \* co-operation with national and port authorities;
- \* public relations.

3.2.4.10 Although shipboard personnel should be familiar with the Plan, ease of reference is an important element in compiling and using an effective plan.

Allowance must be made for quick and easy access to essential information under stressful conditions. Appendices 3 and 4 show a detailed picture of the sequence of priorities "initial actions" in an emergency situation and their link with the

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"subsequent response".

3.2.4.11 In summarizing, the module should guide those responsible for developing the system on what should be included in emergency plans, namely:

- the co-ordination of the response efforts;
- response procedures for the entire spectrum of possible accident scenarios, including methods that protect life, the marine environment and property;
- the person or persons (identified by title or name) as being in charge of all response activities;
- the communication lines used for ready contact of external response experts;
- information concerning the availability and location of response equipment;
- reporting and communication procedures on board ship.

A seven-step approach flow chart for emergency Plan(s) implementation is presented in Figure 1.


### 3.2.5 Module V: Reporting procedures

The ship involved in an emergency situation, or in a marine pollution incident, will have to communicate with the appropriate ship interest contacts and coastal State or port contacts.

Therefore, the System must specify in appropriate detail the procedures for making the initial report to the parties concerned. This module should take care of the following:

3.2.5.1 Every effort should be made to assure that information regarding:

- ship interest contacts;
- coastal State contacts;
- port contacts, for reporting emergencies are part of the System and are regularly updated.

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3.2.5.2 The establishment and maintenance of rapid and reliable 24 hours communication lines between the ship in danger and the emergency control centre(s), at company's main office and national authorities (RCC, points of contact), is important.

3.2.5.3 Those managing response operations on board and services assisting ashore should keep each other mutually informed of the situation.

3.2.5.4 Details such as telephone, telex and telefax numbers must be routinely updated to take account of personnel changes. Clear guidance should also be provided regarding the preferred means of communication.

3.2.5.5 In this context, reference is made to the Organization's guidelines\* and other national specific plans which give sufficient guidance on the following reporting activities necessary:

\* Reference is also made to "Guidelines for the development of Shipboard Oil Pollution Emergency Plans" (see resolution MEPC.54(32)). Reference is also made to "General principles for ship reporting system and ship reporting requirements, including guidelines for reporting incidents involving dangerous goods, harmful substances and/or marine pollutants" (see resolution A.648(16)).

.1 when to report;

.2 how to report;

.3 whom to contact;

.4 what to report.

3.2.6 Module VI: Annex (es)

3.2.6.1 In addition to the information required to respond successfully to an emergency situation, other requirements that will enhance the ability of shipboard personnel to locate and follow-up operative part 5 of the plan may be required.