



Department  
for Transport

# MAIB

MARINE ACCIDENT INVESTIGATION BRANCH

## **Business Plan 2016-17**

**Published: 31 March 2016**

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# 1. Purpose

- 1.1 The Marine Accident Investigation Branch (MAIB) is an operationally independent unit of the Department for Transport. The MAIB contributes to improving marine safety by determining the causes and circumstances of marine accidents, and working with others to reduce the likelihood of such accidents recurring in the future. This Business Plan covers the financial year 2016-17.
- 1.2 The MAIB was formed in 1989 following recommendations made as a consequence of the *Herald of Free Enterprise* disaster of 1987, when it was recognised that the UK needed to separate the roles of accident investigation from those of regulation and enforcement.
- 1.3 Based in Southampton, the MAIB is structured to be able to deploy staff in response to accidents without delay. The Branch currently has 36 staff, comprising inspectors who have a senior professional background at sea and the marine industry, supported by specialist staff from the technical, IT, publishing and administrative disciplines.
- 1.4 The [legislative framework](#) under which the MAIB operates is currently provided in The Merchant Shipping (Accident Reporting and Investigation) Regulations 2012. These Regulations specify the purpose of investigations, make provision for their scope and conduct, define the accidents which may be investigated, and set out the requirements for reporting accidents and the publication of reports and summaries. They also transpose into UK law the provisions of the European Directive 2009/18/EU on marine accident investigation.

## 2. Aims and Values

- 2.1 The MAIB aims to improve marine safety by:
- Carrying out investigations to determine the causes and circumstances of accidents;
  - Making recommendations to reduce the likelihood of such causes and circumstances recurring in the future;
  - Increasing awareness of how accidents happen, through initiatives aimed at the seafarer and maritime organisations, so as to encourage better and safer ship operation;
  - Improving national and international co-operation in marine accident investigations.
- 2.2 To satisfy the public in general, and the maritime community in particular, that marine accidents are investigated properly in an efficient and timely manner.
- 2.3 Fulfilling the UK's international obligations to the European Union and the International Maritime Organization (IMO) to carry out no-blame safety investigations into marine accidents and incidents.

### 3. MAIB Objectives

“The sole objective of the investigation of an accident under the Merchant Shipping (Accident Reporting and Investigation) Regulations 2012 shall be the prevention of future accidents through the ascertainment of its causes and circumstances. It shall not be the purpose of such an investigation to determine liability nor, except so far as is necessary to achieve its objective, to apportion blame.”

(Regulation 5 of the Merchant Shipping (Accident Reporting and Investigation) Regulations 2012)

3.1 The focus of MAIB’s efforts will continue to be to conduct accident investigations of the highest standard in order to achieve the aims set out in Section 2. In addition, in 2016/17 the MAIB Management Team has identified the following specific objectives:

- To maintain the MAIB’s international reputation as one of the world leaders in its field, through the efficient use of available resources, and continued improvement of the Branch’s in-house management procedures.
- To build on the migration of the MAIB website to the GOV.UK environment, developing the Branch’s online presence including the use of social and rich media (such as [Facebook](#), [Twitter](#), [LinkedIn](#) and [YouTube](#)).

## 4. The Work

### Investigation Process

- 4.1 The MAIB receives between 1,500 and 1,800 reports of accidents and incidents each year. The simplified schematic on page 8 shows the sequence of events involved in investigating an accident.
- 4.2 When the decision is made to investigate an accident with the objective of producing an investigation report, a team of inspectors is deployed to the accident scene to gather evidence and conduct interviews in order to gain a proper understanding of the circumstances and causes of the accident or incident. After initial analysis, the findings are presented to the Chief Inspector for a decision about the scope of the further investigation and the need for any urgent safety recommendations. Further work may then be undertaken and recommendations formulated where necessary (see below). Draft investigation reports are subject to a statutory 30-day consultation process, the results of which are considered before the final report is published.
- 4.3 Other investigations usually take the form of Administrative Enquiries, which normally involve the gathering of evidence through correspondence or by phone, although face to face interviews and site visits are possible, and the recording of details on the MAIB database.
- 4.4 Details of all accidents and incidents are recorded on the MAIB database. Those that meet the relevant reporting requirements are also forwarded to the European Marine Casualty Information Platform (EMCIP) and IMO's Global Integrated Shipping Information System (GISIS) database.

### Recommendations and Stakeholders

- 4.5 MAIB's investigations usually result in the Branch making recommendations to those stakeholders best placed to implement them. These can include vessel owners and operators, port and harbour authorities, industry and regulatory bodies, for the purpose of ensuring that action is taken that will help prevent a recurrence. Industry experts are consulted to ensure that recommendations are proportionate and achievable.

- 4.6 Recipients of MAIB recommendations are required to inform the Chief Inspector whether or not they accept the recommendation(s), and provide details of their implementation. The Chief Inspector makes publically available the status of all recommendations in his Annual Report to the Secretary of State.

## Promulgation of Safety Lessons

- 4.7 A key facet of the MAIB's work is the promulgation to its stakeholders of safety lessons identified during its investigations. Importance is attached to identifying the optimum means for disseminating these messages most effectively.

- 4.8 **Investigation Reports** are publicly available, and are targeted at those groups within the marine industry most likely to benefit from their content.

**Safety Bulletins** communicate urgent safety recommendations that must be brought to the industry's attention before the main investigation report is published.

Where appropriate, investigation reports are accompanied by **Safety Flyers**, which are distributed via industry bodies and other organisations to ensure the key safety lessons from the investigation reach the relevant sector of the industry as quickly as possible.

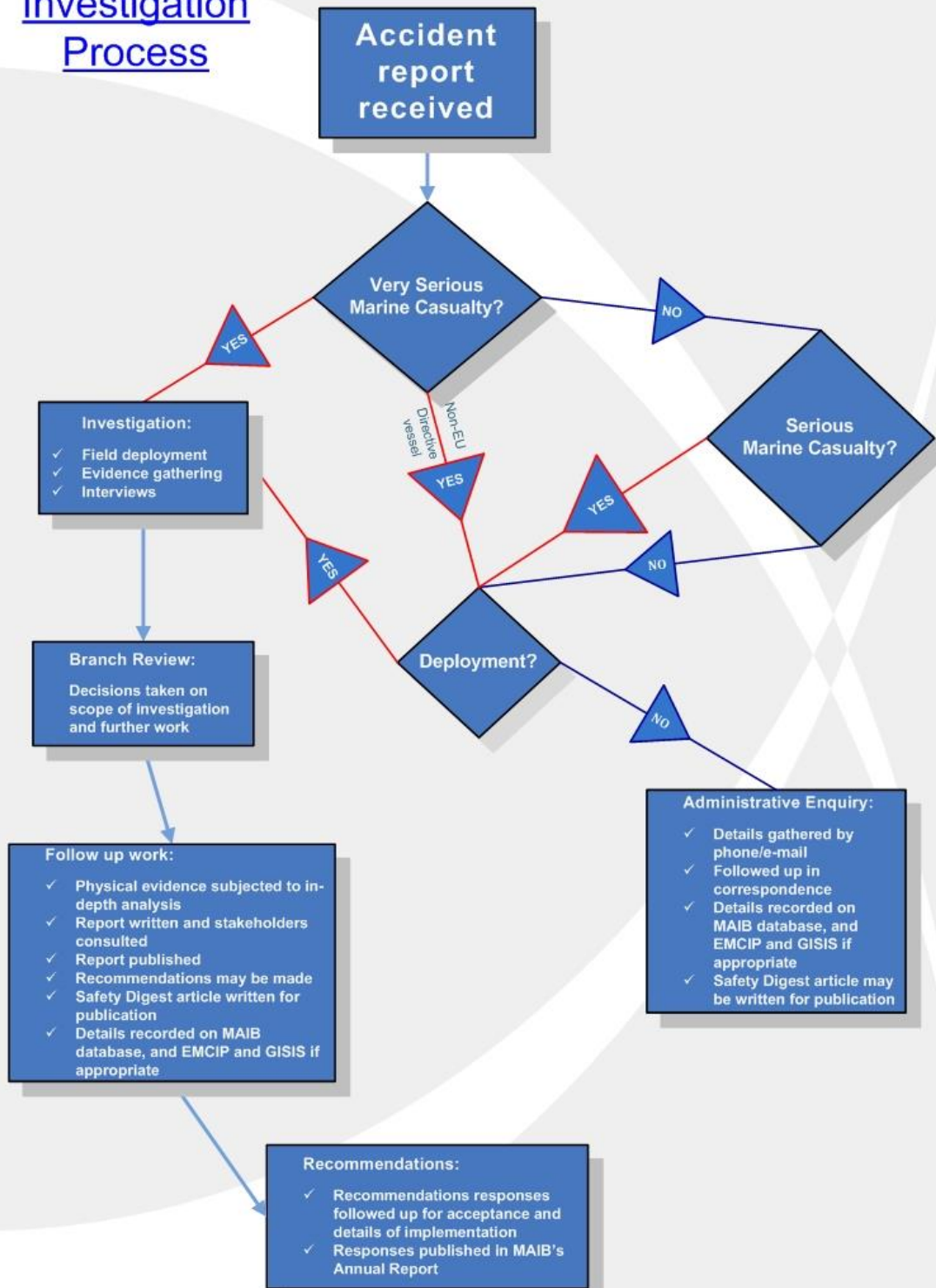
- 4.9 **Safety Digests** are produced every six months and contain anonymised articles based on investigations and administrative enquiries, with an emphasis on the lessons to be learned. Specialised fishing vessel and leisure craft editions are also produced on an occasional basis.

## Other publications

- 4.10 An **Annual Report** to the Secretary of State is produced, providing a comprehensive set of accident statistics derived from the MAIB database, and a register of recommendations made during the year and the responses made to them.

- 4.11 MAIB's **website** - [www.gov.uk/maib](http://www.gov.uk/maib) - is a resource delivering the Branch's printed output in electronic and searchable form, as well as communicating news and other information about its work. The MAIB also delivers its message via its Twitter account ([@maibgovuk](https://twitter.com/maibgovuk)), on its Facebook page ([maib.gov](https://www.facebook.com/maib.gov)) and on its [LinkedIn company page](#).

# Investigation Process





- 4.12 **Information Leaflets** are published on the MAIB website and carried on deployments by inspectors, to tell stakeholders involved in an investigation about the role of the MAIB and the processes involved.

### **Coroners' Inquests and Fatal Accident Inquiries**

- 4.13 MAIB Inspectors will continue to provide support to Coroners and Procurators Fiscal in the event of deaths caused by marine accidents which occur in UK territorial waters or on UK registered vessels overseas. Such support is limited by the provisions of the Merchant Shipping (Accident Reporting and Investigation) Regulations 2012 that relate to confidentiality and the use of evidence. However, MAIB inspectors will explain the contents of MAIB reports during such Inquests and Fatal Accident Inquiries.

### **Presentations and other external commitments**

- 4.14 MAIB staff will deliver a programme of presentations to relevant stakeholder organisations. This will include nautical and fishing colleges, the police and fire services, insurers, maritime trade organisations, and leisure craft organisations.

### **International**

- 4.15 The MAIB will maintain a close working relationship with the European Maritime Safety Agency (EMSA) using its experience and expertise to help develop consistent and high quality marine accident investigation across EU member states.
- 4.16 The MAIB will continue to take a leading role in the European Commission's Permanent Co-operation Framework (PCF), established under the European Directive to promote the development and application of common working methodologies by Member State marine accident investigation organisations. The Chief Inspector is the current chairman of the PCF and the next meeting is planned to take place in June 2016.
- 4.17 The Chief Inspector is the current chairman of the Marine Accident Investigators' International Forum (MAIIF) and plays a leading role in its European sub-forum E-MAIIF. MAIIF is an international non-profit organisation dedicated to the advancement of maritime safety and the prevention of marine pollution through the exchange of ideas,

experiences and information acquired in marine accident investigation. Its purpose is to promote and improve marine accident investigation, and to foster co-operation and communication between marine accident investigators. MAIF has Observer status at the IMO.

- 4.18 The MAIB will continue to offer training for accident investigation practitioners in EU, MAIF and IMO member states. This covers the recovery and analysis of evidence obtained from Voyage Data Recorders (VDRs) and other electronic recording devices
- 4.19 Following the successful adoption by IMO of the revised taxonomy and input requirements for the Global Integrated Shipping Information System (GISIS) which has resulted in the production of a revised Circular, the MAIB continues to monitor the changes being made to GISIS by IMO.
- 4.20 The MAIB is an active member of the UK delegation at the IMO's Sub-Committee on Implementation of IMO Instruments (III) and participates in the Working Group on Casualty Analysis. This group distils lessons drawn from the analysis of accident investigations so that they can be recommended for consideration by the relevant IMO sub-committees. The Committee meets annually with its next meeting in July 2016, but is active throughout the year via its Casualty Analysis Correspondence Group that is currently under the co-ordination of the UK.

## **Technical Developments**

- 4.21 The Marine Accident Data Analysis Suite (MADAS) will continue to be developed in co-operation with the National Transportation Safety Board of the USA. This has become the industry-standard platform for marine electronic evidence analysis.
- 4.22 Developments within the fields of electronic navigation, modern propulsion systems, and other emerging maritime technologies will continue to be kept under review to ensure the MAIB inspectorate are sufficiently informed in these areas.

## **Training and Development**

- 4.23 MAIB Inspectors are required to develop and maintain an extensive range of professional skills. The Branch maintains an accreditation scheme comprising theoretical and practical modules covering all aspects of marine accident investigation. On recruitment, all inspectors are expected to successfully complete the accreditation scheme and achieve a Post Graduate Certificate in Marine Accident Investigation within two years.
- 4.24 The MAIB will continue to work with Cranfield University to develop post-graduate level modules to further enhance inspectors' training.
- 4.25 The Branch is continuing to maintain its training and development programme for all staff for job-specific skills as well as personal development. The MAIB has held Investors in People accreditation since 1996 and was successfully re-assessed in April 2013. The Branch has been working alongside its assessor in preparation for its next scheduled assessment in April 2016.

## 5. AIB Joint Initiatives

- 5.1 The Board of Accident Investigation Branches will continue to deal with governance issues. It is chaired by the DfT's Director General for International, Security and Environment and is attended by the Chief Inspectors of the Air, Marine and Rail Accident Investigation Branches, as well as other DfT staff.
- 5.2 Under the auspices of the separate Accident Investigation Branch Chief Inspectors' Board the following joint initiatives have been agreed to take advantage of synergies between Branches:
- Continue to develop common processes and practices for accident investigation.
  - Share technical facilities, equipment and expertise where appropriate, including cross-Branch auditing, in order to improve efficiency and effectiveness.
  - Use and continue to develop joint accident investigation training for new and established Inspectors.
  - Share resources and expertise in public relations, staff recruitment, career progression and personal development.
  - The AIBs have jointly recruited a new Head of Communications whose role is to co-ordinate and promote the safety messages identified during investigations to the wider industries and public.

## 6. Finance

6.1 MAIB is funded from the DfT's programme budget. Where services are provided to other countries or international organisations those costs will be recovered. The budgets for the 3 years of this Business Plan are shown in the table below, together with the budget for 2015/16.

	2015/16	Year 1 2016/17	Year 2 2017/18	Year 3 2018/19
<b>Budget</b>	<b>£k</b>	<b>£k</b>	<b>£k</b>	<b>£k</b>
Pay	2803	2841	2920	2939
Non-pay	1185	1146	1167	1188
<b>Total</b>	<b>3988</b>	<b>3987</b>	<b>4087</b>	<b>4127</b>