

## Questionnaires

Three detailed questionnaires were prepared for different stakeholder groups. Nearly 70,000 paper copies were distributed by various means. Electronic versions were also produced which were placed on the original website such that the data would be automatically fed into an Access database. The database has now been immobilised but static versions of the three questionnaires can be viewed through the links below:

### **Questionnaire for Masters and Seafarers**

**The information which you provide will be used only for statistical purposes and I personally guarantee to you total confidentiality. If you would like me to send you an abstract of the conclusions to this research please provide your name and email address**

Name

E Mail Address

I wish my identity to remain anonymous

---

#### **A.1 Profile of the seafarer**

##### ***A1.1 Please indicate your position on board***

Master

Chief Mate

Second Mate

Third Mate

Other Officer

Petty Officer

Chief Engineer

Second Engineer

Third Engineer

Junior Engineer

Senior Rating

Junior Rating

##### ***A.1.2 How long have you worked for your present company?***

Less than 1 year

1 - 5 Years

5 - 10 Years

More than 10 years

##### ***A.1.3 What is your nationality?***

Please state e.g. British, Indian etc

#### **A.2 Profile of Company**

##### ***A.2.1 Company Structure - Is your company:***

A Private Shipowner  
A Corporate Shipowner  
A Ship Manager  
A Demise Charterer  
Other (Please Specify)

**A.2.2 Does your Company operate within a formal Quality Management / QA system?**

Yes  
No

**A.2.3 How many ships in the fleet of your Company?**

Below 10  
10 - 25  
25 - 100  
Above 100

**A.3 Profile of Ship**

**A.3.1 On what type of ship are you serving?**

Bulk Carrier  
Tanker  
Passenger/Ferry  
General Cargo/Reefer/Container  
Other (e.g. offshore supply, specialist ops.)

**A.3.2 What is the size of ship on which you are serving?**

Below 500 GT  
500 - 10,000 GT  
10,000 - 100,000 GT  
Above 100,000 GT

**A.3.3 What is the age of your vessel?**

Below 10 Years  
10 - 15 Years  
15 - 20 Years  
Above 20 Years

**A.3.4 What flag does your ship fly?**

Please state e.g. Liberia, Greece, etc

**A.4 Profile of ISM Implementation**

**A.4.1 Do you have a valid SMC on board?**

Yes  
No  
Don't Know

**A.4.2 Who issued your SMC?**

A government department of your flag state  
A classification society on behalf of your flag state  
Another organisation on behalf of your flag state  
Don't know

**A.4.3 Who prepared, produced and wrote your ISM manuals?**

Member(s) of the shore based staff of your company  
Jointly by shore based and sea staff  
External consultant  
Member(s) of the sea staff of your company  
Jointly by external consultant and own staff  
Don't know

**A.4.4 Who is the Designated Person in your Company?**

Senior executive / M.D./ Shipowner  
Operations Manager  
Technical Manager / Superintendant  
Insurance / Legal Manager  
Safety Manager  
Other  
Don't Know

**A.4.5 Who conducts your internal audits?**

The Master  
Departmental heads  
Other departmental staff  
Superintendants  
Full time Company internal auditors  
A combination of two or more of these  
There are no audits carried out  
Don't know

**A.4.6 Do you believe your Company operates a 'no blame' culture where accidents, hazardous occurrences and near misses can be reported without fear of punishment or reprisal?**

Yes  
No  
Partially  
Don't Know

**A.4.7 Do you believe you work within a 'safety culture' - where safety has been raised to the highest priority?**

- Yes
- No
- Partially
- Don't Know

**A.4.8 Do you feel a sense of ownership of the SMS on board your vessel?**

- Yes
- No
- Partially
- Don't Know

**\* In this section the term 'accident', or similar, refers to any reportable incident which resulted in, or might have resulted in, a loss or injury to people, ship, the environment or cargo - e.g. personal injuries, pollution, collisions, cargo damage, etc.**

**A.5 Profile of reporting Accidents**

**A.5.1 From your own experience, how many accidents\* which occur on board are reported to the Company ashore?**

- None
- Only serious accidents
- Most accidents
- Every accident
- Don't know

**A.5.2 In terms of numbers of accidents\* - approximately how many accidents would be reported in one year?**

- Zero
- 1-10
- 10-25
- 25-50
- More than 50
- Don't know

**A.5.3 For the reports submitted would you expect to receive corrective action reports?**

- Never
- Sometimes
- Always
- Don't Know

**A.5.4 Would corrective actions be subject to a follow up audit?**

Never  
Sometimes  
Always  
Don't Know

**A.5.5 If there is reluctance to report accidents to the Company - why is that?  
(If you believe there is more than one reason, please prioritise -  
[1],....[2],....[3] where [1] is the most important factor)  
PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify)

#### **A.6 Profile of reporting hazardous occurrences/near misses**

**A.6.1 From your own experience, how many hazardous occurences/  
near misses which occur on board are reported to the  
Company ashore?**

None  
Only serious incidents  
Most incidents  
Every incident  
Don't know

**A.6.2 In terms of numbers of hazardous occurences/near misses -  
approx how many would be reported in one year?**

Zero  
1-10  
10-25  
25-50  
More than 50  
Don't know

**A.6.3 For the reports submitted would you expect to receive corrective  
action reports?**

Never  
Sometimes

Always  
Don't Know

**A.6.4 Would corrective actions be subject to a follow up audit?**

Never  
Sometimes  
Always  
Don't Know

**A.6.5 If there is reluctance to report hazardous occurrences/near misses - why is that?  
(If you believe there is more than one reason, please prioritise -  
[1],....[2],....[3] where [1] is the most important factor)  
PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify)

**A.7 Profile reporting non-conformities**

**A.7.1 From your own experience, how many non-conformities  
which come to light on board are reported to the  
Company ashore?**

None  
Only serious incidents  
Most incidents  
Every incident  
Don't know

**A.7.2 In terms of numbers of non- conformities - approx how many  
would be reported in one year?**

Zero  
1-10  
10-25  
25-50  
More than 50  
Don't know

**A.7.3 For the reports submitted would you expect to receive corrective action reports?**

Never  
Sometimes  
Always  
Don't Know

**A.7.4 Would corrective actions be subject to a follow up audit?**

Never  
Sometimes  
Always  
Don't Know

**A.7.5 If there is reluctance to report non conformities - why is that?  
(If you believe there is more than one reason, please prioritise -  
[1],....[2],....[3] where [1] is the most important factor)  
PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify)

**B.8 General Conclusions**

**A.8.1 In your view - have the number of accidents, hazardous occurences and non conformities reduced since implementation of the ISM Code?**

Not applicable to my vessels  
No-definitely  
No-not noticeably  
Yes - Slightly  
Yes - Significantly  
Don't Know

**A.8.2 In your view has the ISM Code achieved it's objectives?**

Not applicable to my vessels  
No-definitely  
No-not noticeably

Yes - Slightly  
Yes - Significantly  
Don't Know

#### **A.9 Any other comments**

***B9.1 Please add any additional comments or observations you feel relevant and appropriate.  
(Please keep your submission to less than 300 words)***

#### **Questionnaire for Ship Operators**

**The information which you provide will be used only for statistical purposes and I personally guarantee to you total confidentiality. If you would like me to send you an abstract of the conclusions to this research please provide your name and email address**

Name

E Mail Address

I wish my identity to remain anonymous

---

#### **B.1 Profile of the individual**

***B1.1 Please indicate your position in the Company***

Shipowner

Managing Director

Senior Executive Officer

Technical Manager

Other Senior Manager

Superintendent

Safety Manager

Middle/Junior Manager

Other (Please Specify Below)

***B1.2 Are you the Designated Person Ashore (DPA?)***

Yes

No

***B1.3 How long have you worked for your present Company?***

Less than 1 year

1 - 5 Years

5 - 10 Years

More than 10 years

**B1.4 What is your nationality?**

Please state e.g. British, Indian  
etc

**B.2 Profile of Company**

**B2.1 Company Structure - Is your Company:**

A Private Shipowner  
A Corporate Shipowner  
A Ship Manager  
A Demise Charterer  
Other (Please Specify)

**B2.2 Does your Company operate within a formal  
Quality Management / QA system?**

Yes  
No

**B2.3 How many ships in the fleet of your company?**

Below 10  
10 - 25  
25 - 100  
Above 100

**B2.4 What type of ships does your Company operate?  
Please indicate numbers e.g Bulk Carriers [6] Tankers [4] etc**

Bulk Carrier  
Tanker  
Passenger/Ferry  
General Cargo/Reefer/Container  
Other (e.g. offshore supply, specialist ops.)

**B2.5 What is the size of ships which you operate?  
Please indicate numbers e.g 500-10.000 [6]**

Below 500 GT  
500 - 10,000 GT  
10,000 - 100,000 GT  
Above 100,000 GT

**B2.6 What is average age of your vessels?  
Please indicate numbers e.g Below 10 Yr [6] 10-15 Yr [4]**

Below 10 Years  
10 - 15 Years  
15 - 20 Years

Above 20 Years

***B2.7 What flag do your ships fly?***

Please state e.g. Liberia,  
Greece, etc

***B2.8 In which country is the main operating office of your Company?***

Please state e.g. UK, India,  
etc

**B.3 Profile of ISM Implementation**

***B3.1 Do you hold a valid DOC and SMC for all relevant ships owned or operated by your Company?***

Yes

No

Don't Know

***B3.2 Who issued your DOC's and SMC's?***

A government department of your flag state

A classification society on behalf of your flag state

Another organisation on behalf of your flag state

Don't know

***B3.3 Who prepared, produced and wrote your ISM manuals?***

Member(s) of the shore based staff of your company

Jointly by shore based and sea staff

External consultant

Member(s) of the sea staff of your company

Jointly by external consultant and own staff

Don't know

***B3.4 Who is the Designated Person in your Company?***

Shipowner

Managing Director

Senior Executive Officer

Technical manager

Other senior manager

Superintendent

Safety manager

Middle/Junior manager

Other

Don't Know

**B3.5 Who conducts the internal audits on board your ships?**

The Master  
Departmental heads  
Other departmental staff  
Superintendants  
Full time Company internal auditors  
A combination of two or more of these  
There are no audits carried out  
Don't know

**B3.6 Do you believe your Company operates a 'no-blame' culture where accidents, hazardous occurrences and near misses can be reported without fear of punishment or reprisal?**

Yes  
No  
Partially  
Don't Know

**B3.7 Do you think your seafarers believe that your Company operates a 'no blame' culture where accidents, hazardous occurrences and near misses can be reported without fear of punishment or reprisal?**

Yes  
No  
Partially  
Don't Know

**B3.8 Do you believe you work within a 'safety culture' - where safety has been raised to the highest priority?**

Yes  
No  
Partially  
Don't Know

**B3.9 Do you think that your seafarers believe they work within a 'safety culture' - where safety has been raised to the highest priority?**

Yes  
No  
Partially  
Don't Know

**B3.10 Do you feel a sense of ownership of the SMS within your Company?**

Yes  
No  
Partially  
Don't Know

### **B3.11 How do you employ your seafarers?**

Direct employees

Through external manning agent

Other (Please Specify)

**\* In this section the term 'accident', or similar, refers to any reportable incident which resulted in, or might have resulted in, a loss or injury to people, ship, the environment or cargo - e.g. personal injuries, pollution, collisions, cargo damage, etc.**

### **B.4 Profile of reporting Accidents**

**B4.1 From your own experience, how many accidents\* which occur on board each ship are reported to the Company ashore?**

None

Only serious accidents

Most accidents

Every accident

Don't know

**B4.2 In terms of numbers of accidents\* - approximately how many accidents per ship would be reported in one year?**

Zero

1-10

10-25

25-50

More than 50

Don't know

**B4.3 For the reports submitted from the ship would the company send back corrective action reports?**

Never

Sometimes

Always

Don't Know

**B4.4 Would corrective actions be subject to a follow up audit on board?**

Never

Sometimes

Always

Don't Know

**B4.5 If there is reluctance on the part of seafarers to report accidents to the Company - why do you think that is?  
(If you believe there is more than one reason, please prioritise -**

**[1],....[2],....[3] where [1] is the most important factor)**  
**PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify)

#### **B.5 Profile of reporting hazardous occurrences/near misses**

***B5.1 From your own experience how many hazardous occourences/near misses which occur on board each ship are reported to the Company ashore?***

None  
Only serious incidents  
Most incidents  
Every incident  
Don't know

***B5.2 In terms of hazardous occourences/near misses - approx how many per ship would be reported in one year?***

Zero  
1-10  
10-25  
25-50  
More than 50  
Don't know

***B5.3 For the reports submitted from the ship would the Company send back corrective action reports?***

Never  
Sometimes  
Always  
Don't Know

***B5.4 Would corrective actions be subject to a follow up audit on board?***

Never

Sometimes  
Always  
Don't Know

**B5.5 If there is reluctance on the part of seafarers to report hazardous occurrences/near misses - why do you think that is?  
(If you believe there is more than one reason, please prioritise - [1],....[2],....[3] where [1] is the most important factor)  
PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify)

## **B.6 Profile of reporting non-conformities**

**B6.1 From your own experience how many non-conformities which come to light on board each ship are reported to the Company ashore?**

None  
Only serious accidents  
Most accidents  
Every accident  
Don't know

**B6.2 In terms of numbers of non- conformities - approx how many per ship would be reported in one year?**

Zero  
1-10  
10-25  
25-50  
More than 50  
Don't know

**B6.3 For the reports submitted from the ship would the Company send back corrective action reports?**

Never  
Sometimes

Always  
Don't Know

**B6.4 Would corrective actions be subject to a follow up audit on board?**

Never  
Sometimes  
Always  
Don't Know

**B6.5 If there is reluctance on the part of seafarers to report non conformities - why do you think that is?**

*(If you believe there is more than one reason, please prioritise - [1],....[2],....[3] where [1] is the most important factor)*

**PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify

**B.7 The Companies view on reporting**

**B7.1 Does the Company actively encourage the reporting of all accidents, hazardous occurences and near misses?**

Yes - unreservedly  
Yes - with reservations  
No  
Don't Know

**B7.2 If there is reluctance on the part of the Company to encourage full reporting - why do you think that is?**

Fears that reports could be used as evidence in criminal prosecutions  
Fears that reports could be used in civil prosecutions  
Fears that insurers will use the reports as evidence to avoid paying claims  
Fears that reports could incriminate ' senior levels of management'  
Other (Please Sepeceify)

## **B.8 General conclusions**

***B8.1 In your view, have the number of accidents, hazardous occurrences and non-conformities reduced since implementation of the ISM Code?***

Not applicable to my vessels

No-definitely

No-not noticeably

Yes - Slightly

Yes - Significantly

Don't Know

***B8.2 In your view has the ISM Code achieved it's objectives?***

Not applicable to my vessels

No-definitely

No-not noticeably

Yes - Slightly

Yes - Significantly

Don't Know

## **B.9 Any other comments**

***B9.1 Please add any additional comments or observations you feel relevant and appropriate.***

***(Please keep your submission to less than 300 words)***

## **Questionnaire for Other Stake Holders in the Shipping Industry**

**The information which you provide will be used only for statistical purposes and I personally guarantee to you total confidentiality. If you would like me to send you an abstract of the conclusions to this research please provide your name and email address**

Name

E Mail Address

I wish my identity to remain anonymous

---

## **C.1 Profile of the respondent**

***C1.1 Please indicate which category your organisation belongs***

Agent

Charterer

Classification Society -

acting in its capacity as a Classification Society  
Classification Society -  
acting on behalf of Flag state administration  
Flag state administration  
H & M Insurer  
Insurance Broker  
ISM Consultant  
Lawyer  
Marine college lecturer  
P & I Insurer  
P & I Representative  
Port StateControl - Inspector  
Port StateControl - Secretariat  
Press  
Professional Body  
Shipbroker  
Shipowners Association  
Surveyor / Consultant  
Trade Union  
University Lecturer / Academic  
Other (Please Specify Below)

**C1.2 Are you an ex - seafarer?**

Yes  
No

**C1.3 In which country are you based?**

Please state e.g. UK, India etc

**C.2 Perception of ISM Implementation**

**C2.1 From your own encounter with ships, seafarers and ship operating Companies- what percentage of Companies work within a 'safety culture' - where safety has been raised to the highest priority?**

Less than 10%  
10 - 25%  
25 - 50%  
50 - 75%  
More than 75%  
Don't know

**C2.2 From your own encounter with ships, seafarers and ship operating companys- what percentage of Companies operates a 'no-blame' culture where accidents, hazardous occurrences and near misses can be reported without fear of punishment and reprisal?**

Less than 10%  
10 - 25%  
25 - 50%  
50 - 75%  
More than 75%  
Don't know

***C2.3 In your view - have the number of accidents, hazardous occurrences and non-conformities reduced since implementation of the ISM Code?***

No - definitely  
No - not noticeably  
Yes - slightly  
Yes - significantly  
Don't know

***C2.4 In your view - has the ISM Code achieved its objectives?***

No - definitely  
No - not noticeably  
Yes - slightly  
Yes - significantly  
Don't know

**\* In this section the term 'accident', or similar, refers to any reportable incident which resulted in, or might have resulted in, a loss or injury to people, ship, the environment or cargo - e.g. personal injuries, pollution, collisions, cargo damage, etc.**

**C.3 Perception of Reporting Accidents**

***C3.1 From your own experience, how many accidents \* which occur on board each ship do you think are reported to the Company ashore?***

None  
Only serious accidents  
Most accidents  
Every accident  
Don't know

***C3.2 In terms of numbers of accidents \*- approximately how many accidents per ship do you think are reported in one year?***

Zero  
1 - 10  
10 - 25  
25 - 50  
More than 50  
Don't know

**C3.3 For the reports submitted from the ship - do you think the Company sends back corrective action reports?**

Never  
Sometimes  
Always  
Don't know

**C3.4 Do you think the corrective actions would be subject to a follow up audit on board?**

Never  
Sometimes  
Always  
Don't know

**C3.5 If there is a reluctance on the part of seafarers to report accidents to the Company - why do you think that is? (If you believe there is more than one reason, please prioritise - [1],....[2],....[3] where [1] is the most important factor)**  
**PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect / want reports  
No interest from the company  
Other (Please Sepeceify)

**C.4 Perception of reporting hazardous occurences / near misses**

**C4.1 From your own experience, how many hazardous occurences / near misses which occur on board each ship do you think are reported to the Company ashore?**

None  
Only serious accidents  
Most accidents  
Every accident  
Don't know

**C4.2 In terms of numbers of hazardous occurences / near misses - approximately how many per ship do you think are reported in one year?**

Zero  
1 - 10  
10 - 25  
25 - 50  
More than 50  
Don't know

***C4.3 For the reports submitted from the ship do you think the Company sends back corrective action reports?***

Never  
Sometimes  
Always  
Don't know

***C4.4 Do you think the corrective actions be subject to a follow up audit on board?***

Never  
Sometimes  
Always  
Don't know

***C4.5 If there is a reluctance on the part of seafarers to report hazardous occurrences / near misses - why do you think that is? (If you believe there is more than one reason, please prioritise - [1],....[2],....[3] where [1] is the most important factor)  
PLEASE DO NOT GO BEYOND 3 CHOICES***

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect / want reports  
No interest from the company  
Other (Please Sepeceify)

**C.5 Perception of reporting non - conformities**

***C5.1 From your own experience, how many non-conformities which come to light on board each ship are reported to the Company ashore?***

None

Only serious accidents  
Most accidents  
Every accident  
Don't know

***C5.2 In terms of numbers of non-conformities - approx how many per ship would be reported in one year?***

Zero  
1-10  
10-25  
25-50  
More than 50  
Don't know

***C5.3 For the reports submitted from the ship - do you think the Company send back corrective action reports?***

Never  
Sometimes  
Always  
Don't Know

***C5.4 Do you think the corrective actions would be subject to a follow up audit on board?***

Never  
Sometimes  
Always  
Don't Know

***C5.5 If there is a reluctance on the part of the seafarer to report non-conformities - why do you think that is?***

***(If you believe there is more than one reason, please prioritise - [1],....[2],....[3] where [1] is the most important factor)***

**PLEASE DO NOT GO BEYOND 3 CHOICES**

No reluctance  
Fear of loosing job  
Fear of adverse effect on career prospects  
Fear of criminal prosecution  
Fear of civil prosecution  
Personal pride  
Loss of accident free bonus  
Not enough time/resources to complete reports  
Consider reporting to be a waste of time  
The Company does not expect/want reports  
No interest from the company  
Other (Please Sepeceify)

## **C.6 Perception on the Companies view on reporting**

***C6.1 From your own encounter with ship operating Companies - do the Companies tend to actively encourage the reporting of all accidents, hazardous occurrences and near misses?***

Yes - unreservedly

Yes - with reservations

No

Don't Know

***C6.2 If there is a reluctance on the part of the Company to encourage full reporting - why do you think that is?***

No reluctance

Fears that reports could be used as evidence in criminal prosecutions

Fears that reports could be used in civil prosecutions

Fears that insurers will use the reports as evidence to avoid paying claims

Fears that reports could incriminate 'senior levels of management'

Other (Please Specify)

## **C.7 Any other comments**

***B9.1 Please add any additional comments or observations you feel relevant and appropriate.  
(Please keep your submission to less than 300 words)***