

An assessment of the potential impact of unmanned vessels on maritime transportation safety

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Agenda

- **Introduction**
- **Methods suitable for safety assessment and results obtained**
 - What-if analysis
 - Causal model
 - System-theoretic approach
- **Discussion**
- **Concluding remarks**



Introduction

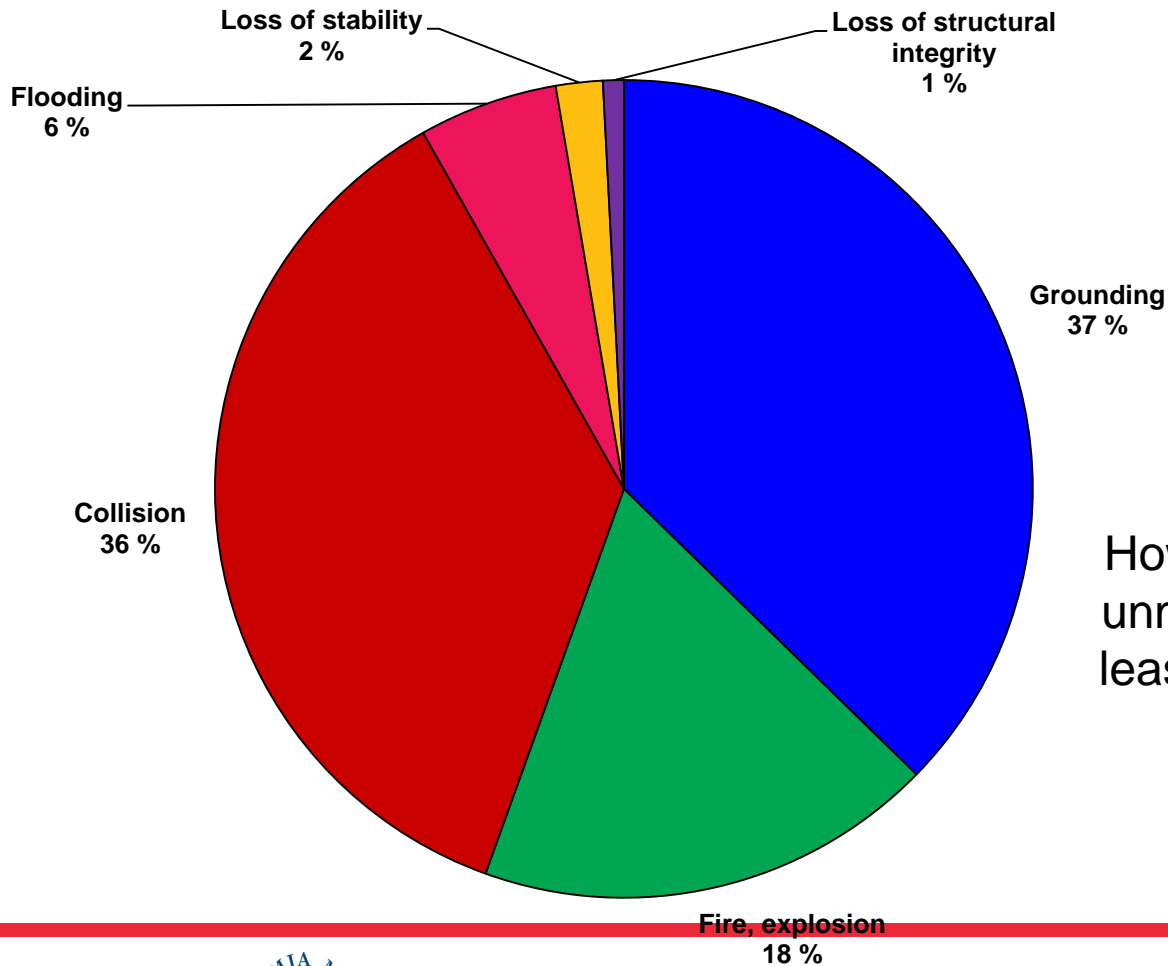
Unmanned vessels:

- Expected to enter into operation by the mid of next decade
- No or extremely limited crew on board
- Operating by remote control or autonomously
- Highly-advanced technology
- Environmentally friendly
- Cost-effective
- Safe?



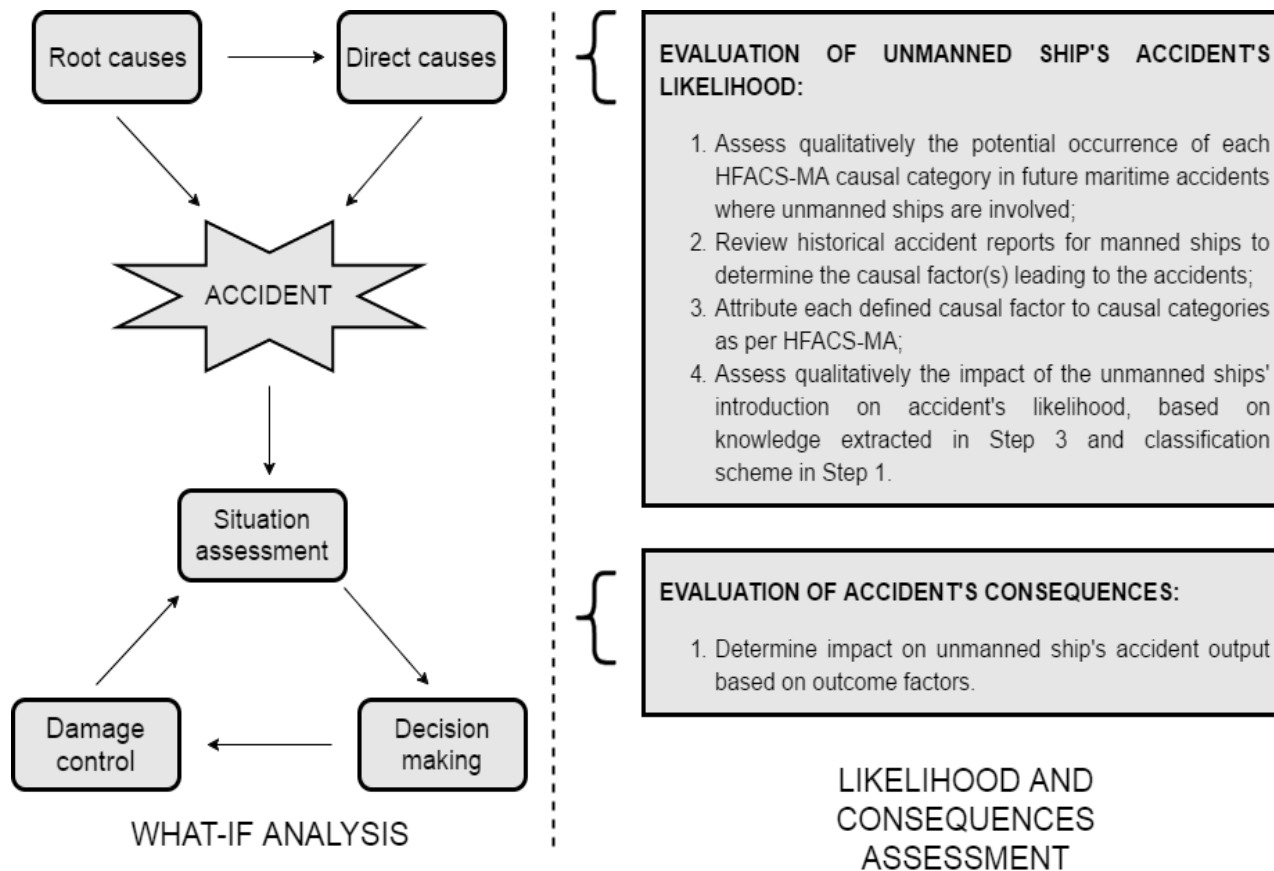
Introduction

'Manned' shipping accidents by type - global values



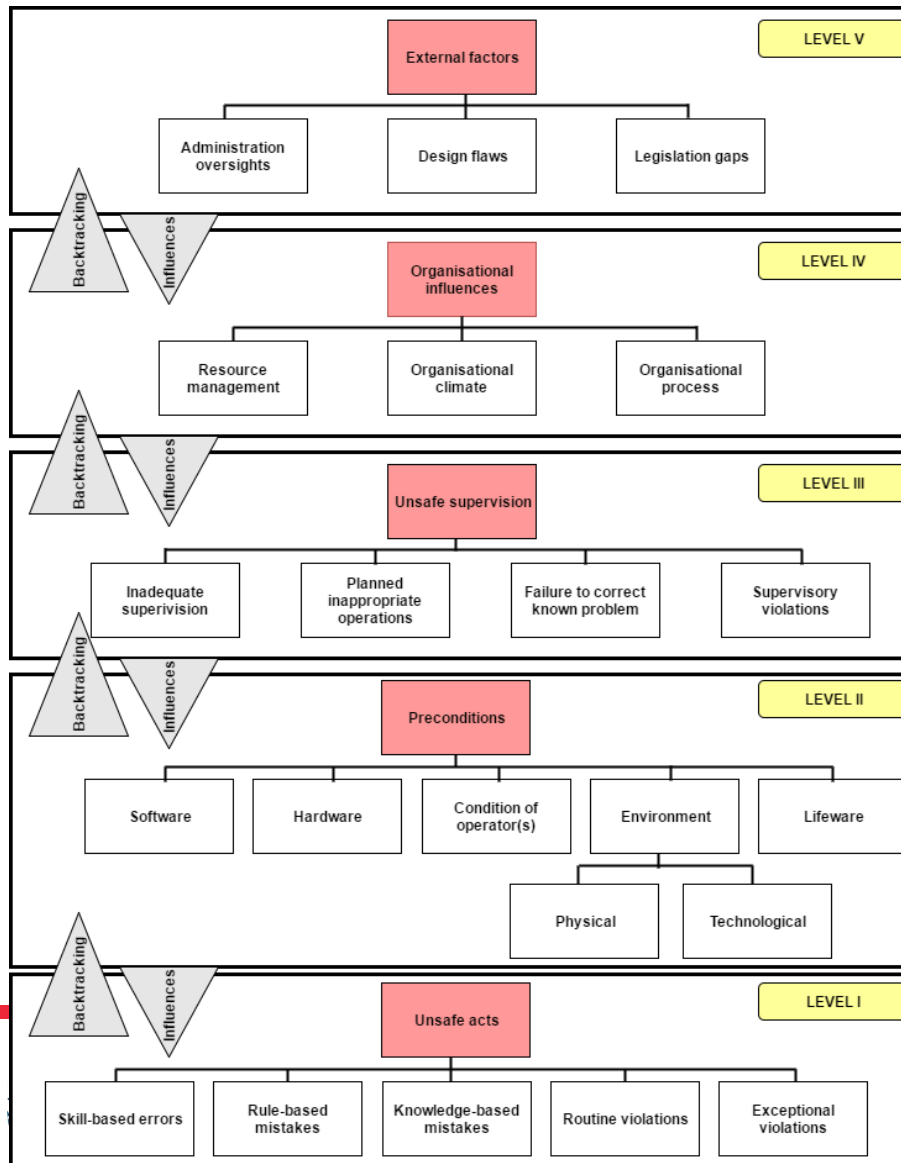
How to ensure that unmanned ships at least do not reduce the safety of maritime transportation?

What-if analysis of autonomous vessels' safety



What-if analysis – accident likelihood

The overview of
HFACS-MA
framework applied



K. Wróbel, J. Montewka, and P. Kujala,
“Towards the assessment of potential
impact of unmanned vessels on
maritime transportation safety,” *Reliab.
Eng. Syst. Saf.*, vol. 165, no.
September, pp. 155–169, 2017.

What-if analysis – accident likelihood

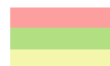
Brief description of HFACS-MA causal categories applied

K. Wróbel, J. Montewka, and P. Kujala, "Towards the assessment of potential impact of unmanned vessels on maritime transportation safety," *Reliab. Eng. Syst. Saf.*, vol. 165, no. September, pp. 155–169, 2017.

Level V: External factors	
Legislation gaps	The deficiencies of existing rules or codes that guide the maritime industry and relevant authorities [34]
Administration oversights	The deficiencies of the governing authorities in implementing the existent rules or codes, or the negligence in performing their duties
Design flaws	Poor system design, such as poor consideration on ergonomics and maintainability of the system/components [35]
Level IV: Organisational influences [36]	
Resource management	Encompasses the realm of corporate-level decision making regarding the allocation and maintenance of organisational assets (such as personnel, money, equipment and facilities)
Organisational climate	The working atmosphere within the organisation which includes culture, policies and structure
Organisational process	Refers to corporate decisions and rules that govern the everyday activities within the organisation. This includes the establishment/use of standard operational procedures and formal methods for maintaining oversight of the workforce
Level III: Unsafe Supervision	
Inadequate supervision	The factors that supervision fails to identify a hazard, recognise and control risk, provide guidance, training and/or oversight etc., resulting in human error or an unsafe situation
Planned inappropriate operation	The factors that supervision fails to adequately assess the hazards associated with an operation and allow for unnecessary risk
Failure to correct known problem	The factors that supervision fails to correct known deficiencies in documents, processes or procedures, or fails to correct inappropriate or unsafe actions of individuals create an unsafe situation
Supervisory violations	The factors that supervision wilfully disregards instructions, guidance, rules or operating instructions whilst managing organisational assets create an unsafe situation
Level II: Preconditions [37]	
Condition of operator(s)	The conditions of an individual that have adverse influence to perform his/her job, i.e. mental and physiological status and mental/physical limitations of the practitioners
Software	The non-physical part of the system including organisational policies, manuals, checklist layouts, charts, maps, advisories and computer programs
Hardware	The physical part of the workplace. It includes the equipment of work stations, displays, controls and seats, etc.
Physical environment	The factors of nature environment which can affect the actions of individuals result in human error or an unsafe situation
Technological environment	The factors emphasise on the artificial environmental constructions, e.g. harbours, waterways and traffic control issues
Liveware	The peripheral livewares refer to the system's human-human interactions including such factors as managements, supervision, crew interactions and communications
Level I: Unsafe acts	
Skill-based errors	Errors involve slips and lapse. Slips are an unintentional action where the failure involves attention whilst lapses are an unintentional action where the failure involves memory [37]
Rule-based mistakes	Mistakes involve inappropriate matching of environmental signs to the situational component of well-tried troubleshooting rules [32]
Knowledge-based mistakes	Mistakes happen when an individual has run out of applicable problem-solving routines and is forced to work 'on-line', using slow, sequential, laborious and resource limited conscious processing [32]
Routine violations	Causal factors tend to be habitual by nature and often tolerated by governing authority [38]. They occur every day as people regularly modify or do not strictly comply with work procedures, often because of poorly designed or defined work practices [37]
Exceptional violations	Causal factors tend to be a one-time breach of a work practice, such as safety regulations being deliberately ignored to carry out a task. Even so, the intention was not to commit a malevolent act but just to get the job done [37]



Aalto University
School of Engineering



Indicates accident's likelihood greater for unmanned vessels in the applied framework
Indicates accident's likelihood lesser for unmanned vessels
Indicates neutral impact on the likelihood of the unmanned vessels' accident

What-if analysis – accident consequences

We assigned the value of ‘consequences **greater for unmanned ships** whenever at least one of the following outcome factors was identified in an accident report:

- crew had to directly intervene by either inspecting ship’s enclosed spaces or manually reconfiguring its sub-systems;
- crew had to cooperate with other actors under pressure of time;
- crew was obligated to assist other seafarers should the vessel they collided with need to be abandoned;
- decisions on further actions could not be efficiently taken from remote command post;
- better maintenance of on board equipment before accident could have ~~limited its outcome.~~

We assigned the value of ‘consequences **lesser for unmanned ships**:

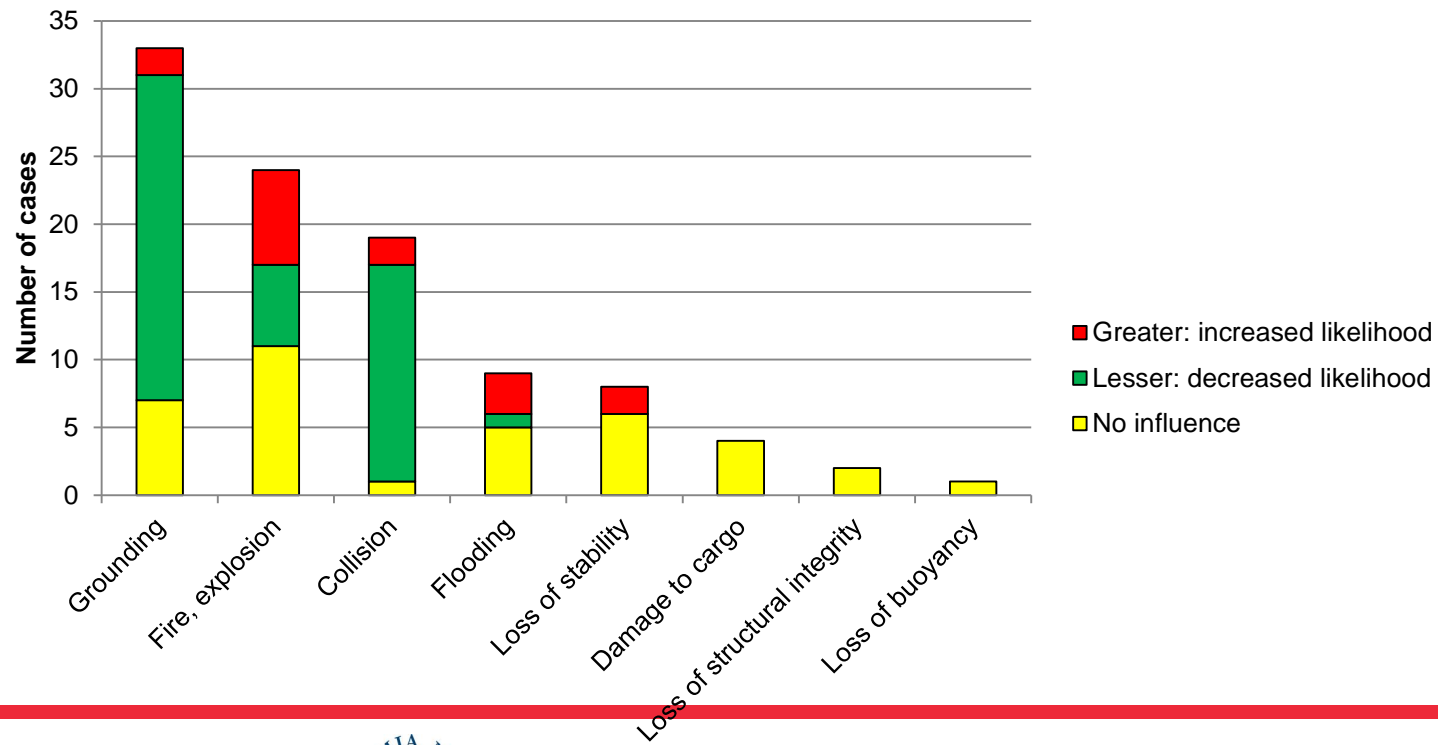
- whenever an accident report mentioned fatalities, serious injury or it was evident that humans’ presence on board during an accident restricted number of possible options of counteracting the effects of accident (e.g. when a person was missing in muster station and so CO₂ could not be released);

Should the circumstances of ‘greater’ and ‘lesser’ outcome occur simultaneously, the value was assigned based on more detailed analysis regarding which of them would be more relevant, with potential for avoiding fatalities greatly lowering the hypothetical consequences.

What-if analysis – results

How will the autonomous vessels affect maritime safety?

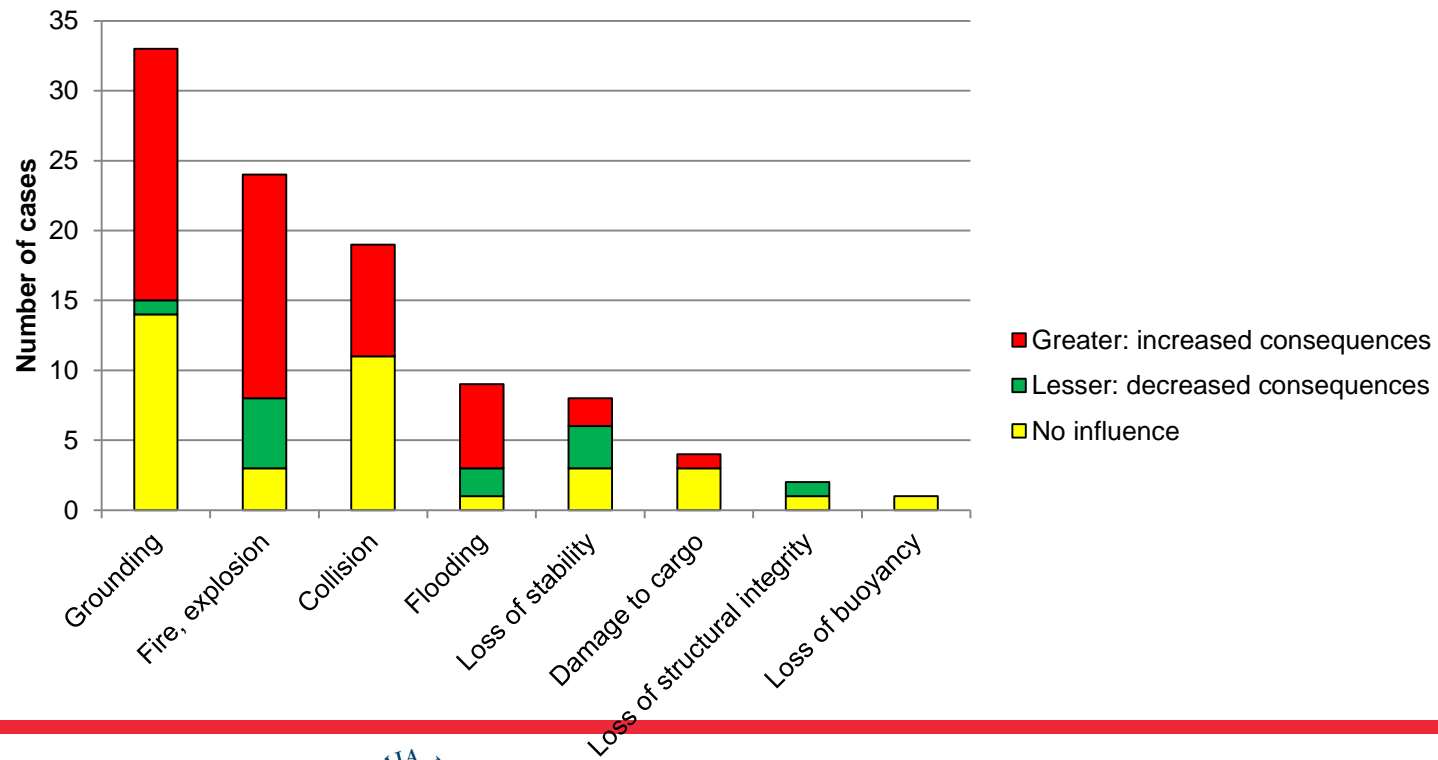
Likelihood of accident for unmanned vessel in compare to traditional one



What-if analysis – results

How will the autonomous vessels affect maritime safety?

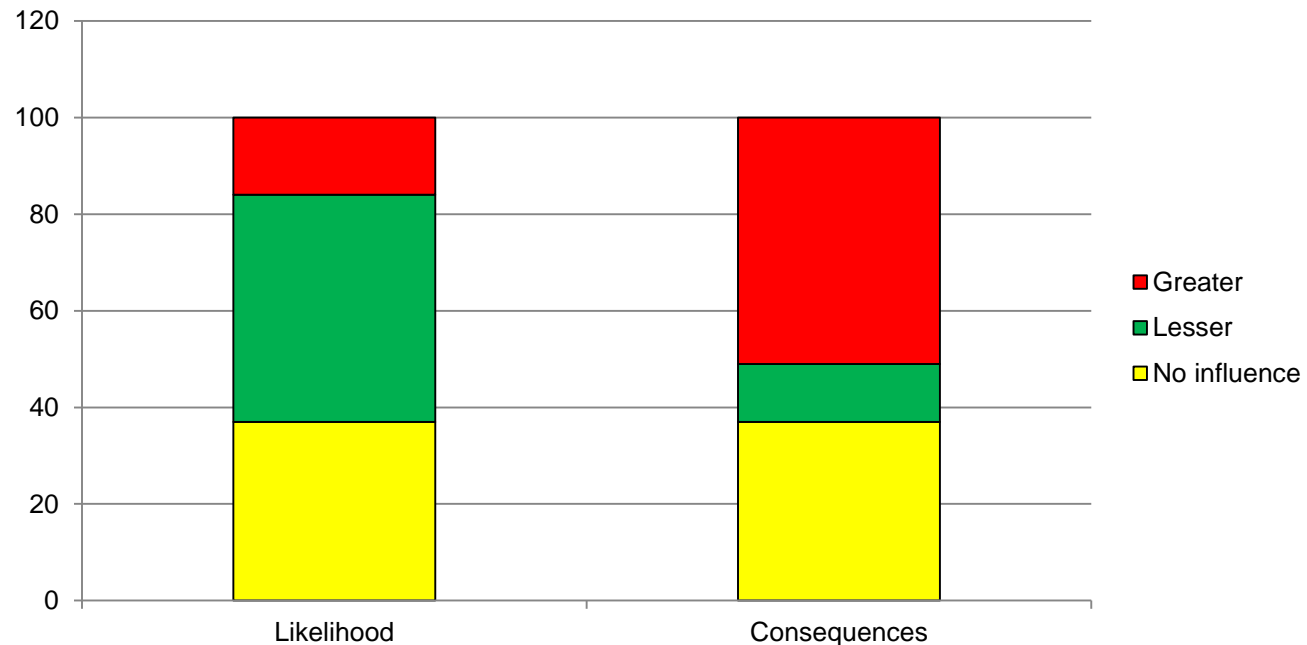
Consequences for unmanned vessel in compare to traditional one



What-if analysis – results

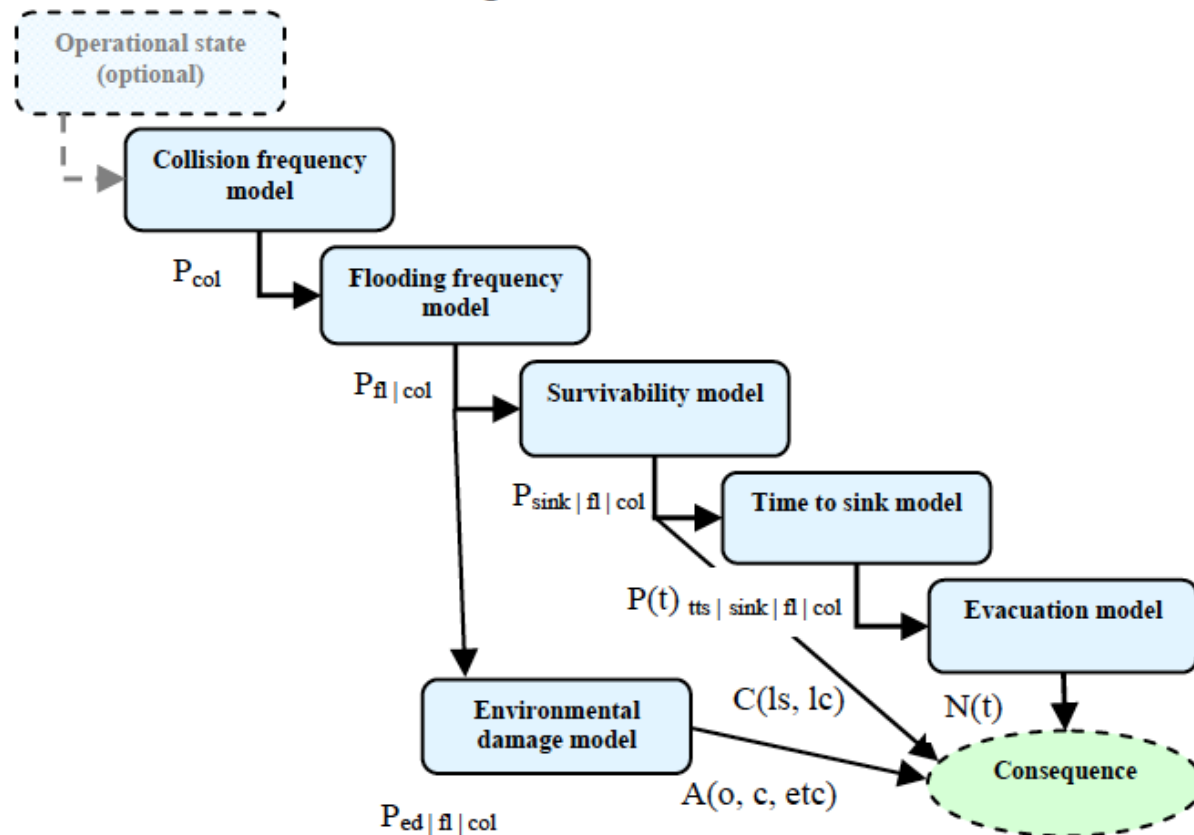
How will the autonomous vessels affect maritime safety?

Likelihood and consequences of unmanned ship's accidents compared with conventional one

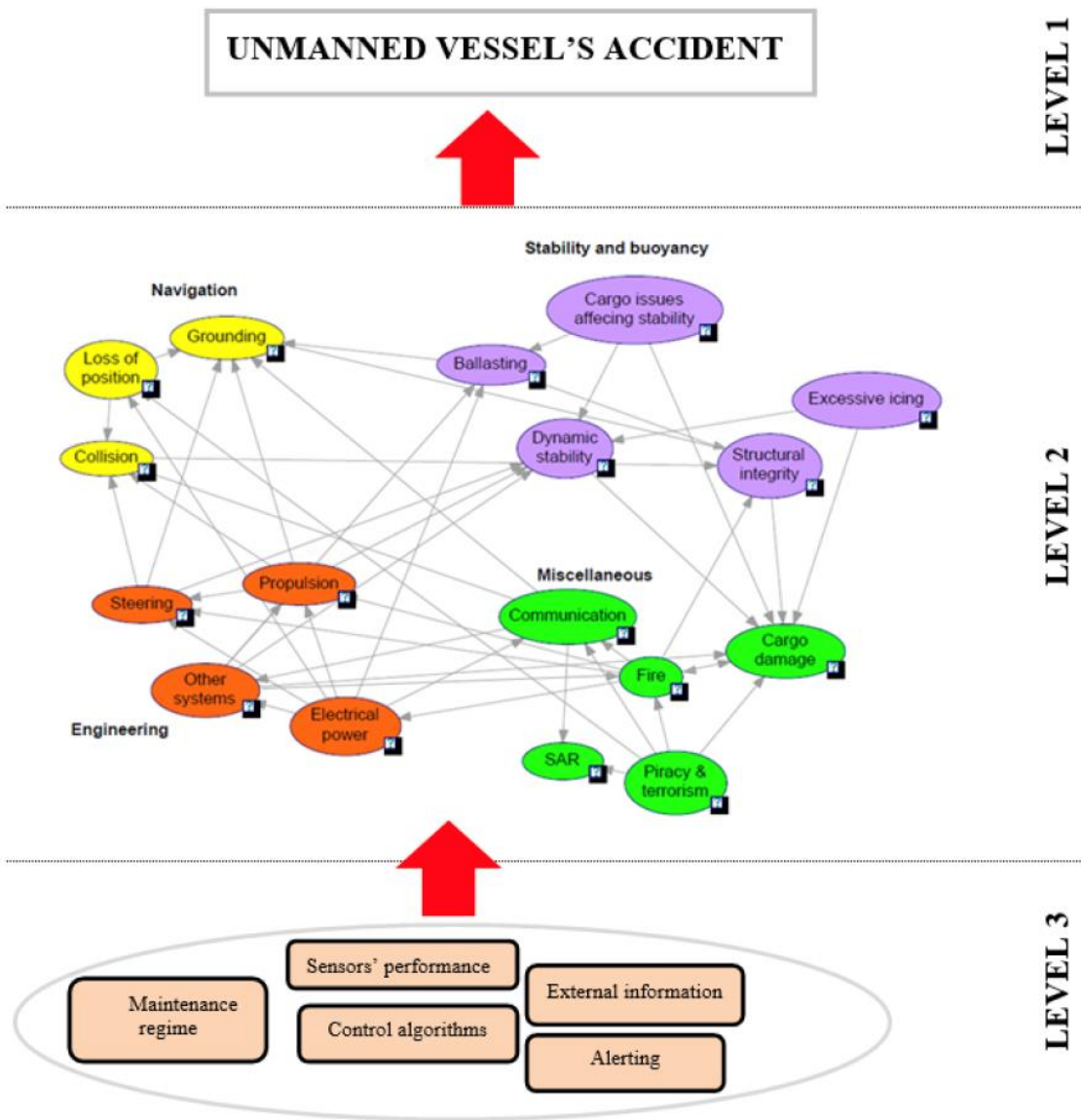


Causal risk model

A standardized risk model for ship-ship collision



Causal risk model



- Model of potential failure propagation during the autonomous vessel's accident
- Model allows for safety quantification in terms of risk level
- Major challenge – lack of data
- Other (qualitative) methods may be better to elaborate on safety and the ways to control it

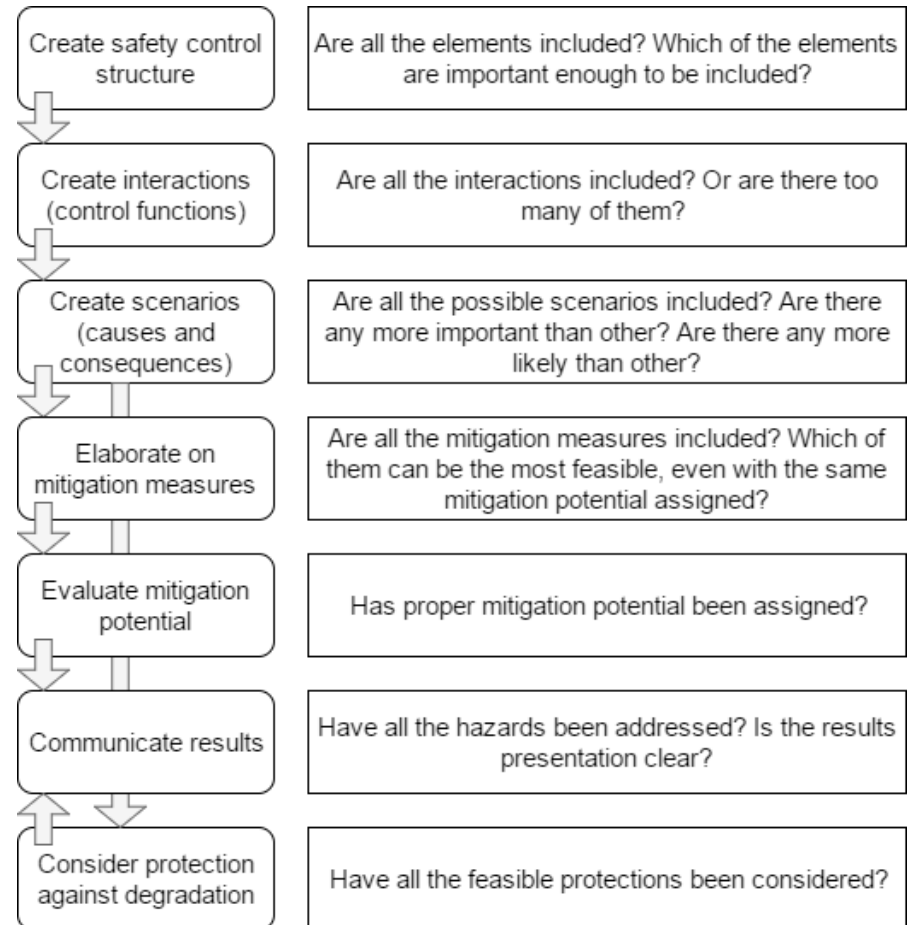
K. Wrobel, P. Krata, J. Montewka, and T. Hinz, "Towards the Development of a Risk Model for Unmanned Vessels Design and Operations," *TransNav, Int. J. Mar. Navig. Saf. Sea Transp.*, vol. 10, no. 2, pp. 267–274, 2016.

Systemic approach to control the safety

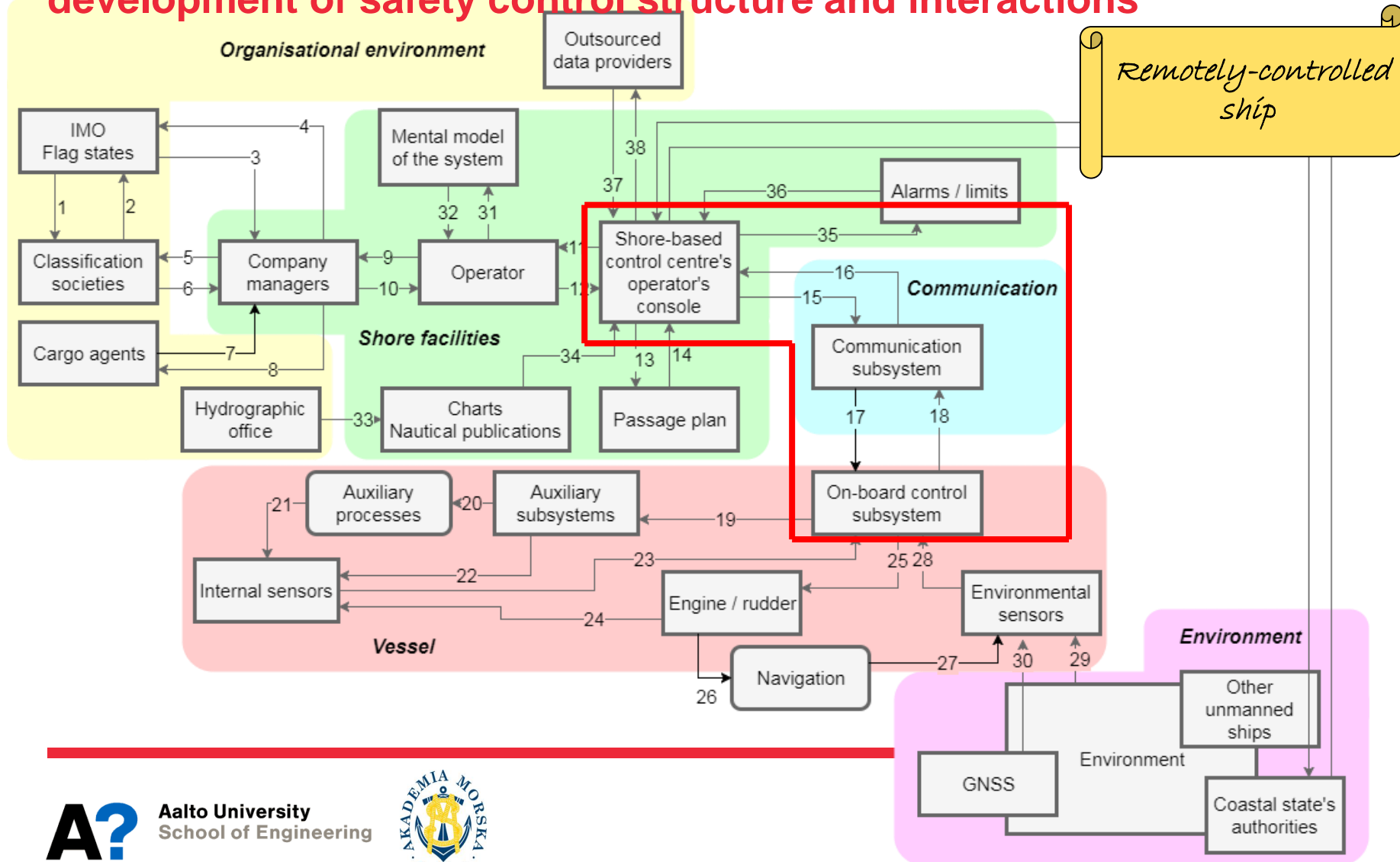
System-Theoretic Process Analysis (STPA) is a method of assessing system's safety by analysing the interactions between its components and the ways in which those can be unsafe.

The nature of such interactions shall ensure that the system as a whole remains within safety limits.

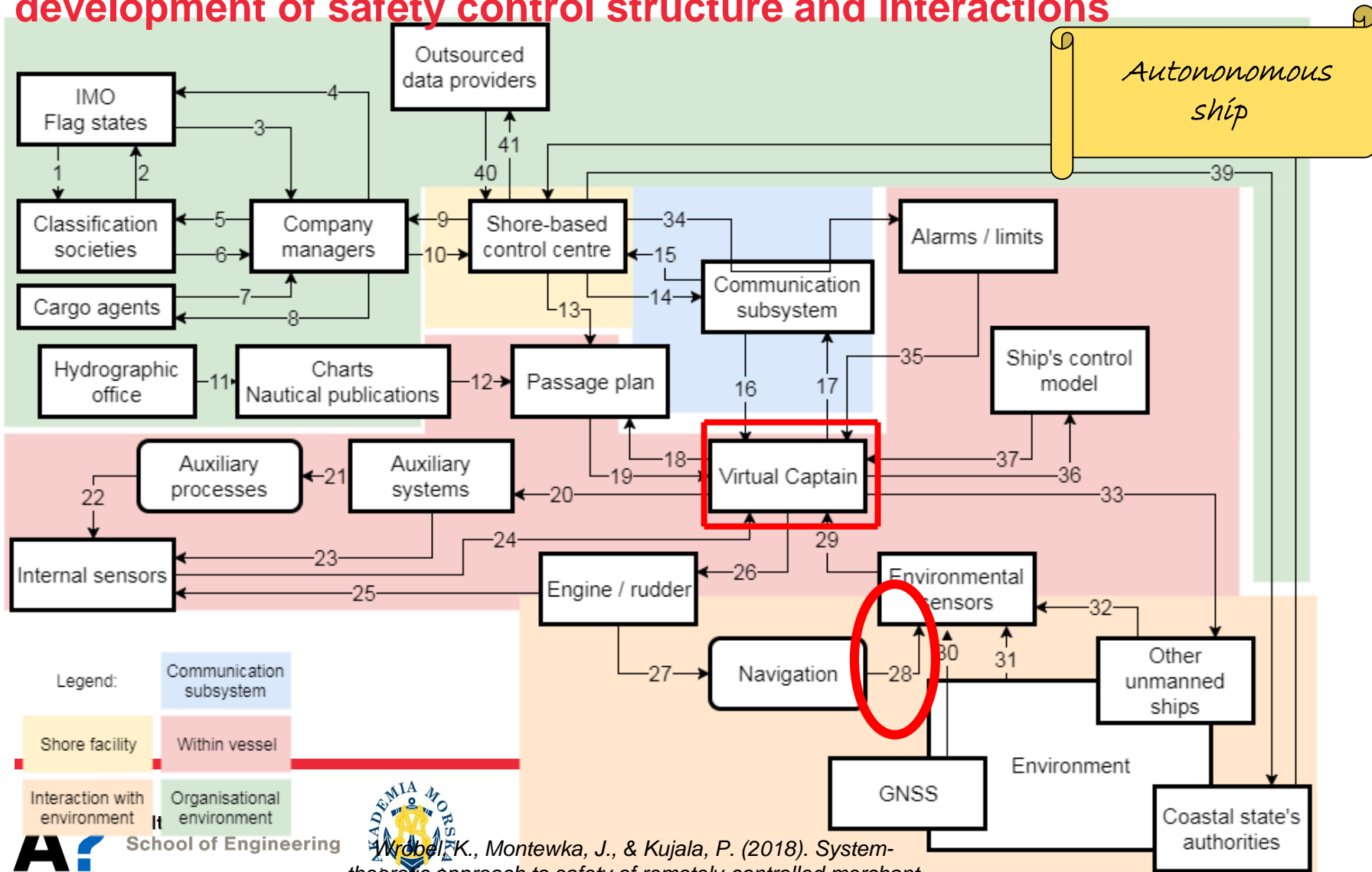
The aim is **not to quantify the safety** (mainly due to lack of data) **but to ensure that it is controlled in proper manner.**



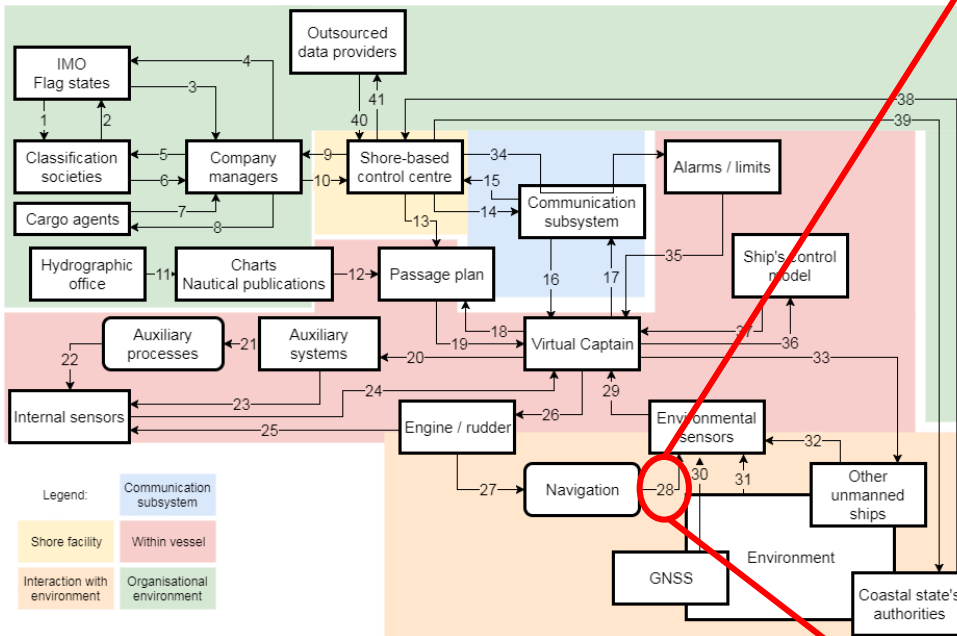
Systemic approach to control the safety – development of safety control structure and interactions



Systemic approach to control the safety – development of safety control structure and interactions



Systemic approach to control the safety – elaboration on mitigation measures and potential



Control action number:		28	Navigation → Environmental sensors	
Control action name:		Sensing		
Type:		Feed		
Textual description:		Examination of processes' status		
Rationale:		Vessel's course and speed as well as other elements of her movement should be measured for VC to make informed decisions		
Hazards resulting:	1.1 Vessel violates minimum CPA with another ship 1.2 Vessel enters a No Go Area 1.3 Vessel improperly interacts with other man-made objects 2.1 Vessel enters a No Go Area 2.2 Propulsion/steering gear operational parameters cannot be maintained 2.4 Vessel's navigational capabilities are severed by weather conditions 2.5 Vessel does not meet stability criteria 3.1 Vessel's cargo is not loaded/stowed properly 3.2 Vessel is unable to maintain proper cargo stowage conditions 4.3 Vessel does not meet fire safety precautions 5.2 Vessel is unable to maintain proper fuel combustion parameters 6.2 Vessel contributes to delay of other ships' traffic 6.3 System does not meet international, classificatory or national regulations 6.5 System's interaction with other assets (including unmanned vessels) leads to the emergence of any of above			
Potential for inadequacy:	Control action is not provided	Unsafe control action is provided	Control action is provided in wrong time	Control action is provided for too short or too long
Consequences:	Vessel's motion components are not known	Vessel's motion components are measured improperly	Vessel's motion components are measured with delay	
Potential causes:	Sensors unreliable Required parameter cannot be measured	Sensors' malfunction Parameters outside sensors' working range Sensor's accuracy insufficient	Non-continuous characteristics of sensors' operation Sensors' idleness due to measured phenomenon's specificity	
Feasible mitigation measures and potential	Redundant or highly-reliable sensors Indirect measurement	Redundant or highly-reliable sensors Implementation of wide-range sensors	Use of highly-sensitive sensors	
Protection against control degradation	Constant search for and installation of improved sensors Use of leading indicators on sensors' performance	Constant search for and installation of improved sensors Use of leading indicators on sensors' performance	Constant search for and installation of improved sensors Use of leading indicators on sensors' performance	

What is it?

Why analysed?

What can be the results of failure?

What can cause a failure?

How can a failure be prevented?

How to make sure that risk does not reappear?

Control action number:		28		<div>Navigation → Environmental sensors</div>	
Control action name:		Sensing		<div>Scope</div>	
Type:		Feed			
Textual description:		Examination of processes' status			
Rationale:		Vessel's course and speed as well as other elements of her movement should be measured for VC to make informed decisions			
Hazards resulting:		1.1 Vessel violates minimum CPA with another ship 1.2 Vessel enters a No Go Area 1.3 Vessel improperly interacts with other man-made objects 2.1 Vessel enters a No Go Area 2.2 Propulsion/steering gear operational parameters cannot be maintained 2.4 Vessel's navigational capabilities are severed by weather conditions 2.5 Vessel does not meet stability criteria 3.1 Vessel's cargo is not loaded/stowed properly 3.2 Vessel is unable to maintain proper cargo stowage conditions 4.3 Vessel does not meet fire safety precautions 5.2 Vessel is unable to maintain proper fuel combustion parameters 6.2 Vessel contributes to delay of other ships' traffic 6.3 System does not meet international, classificatory or national regulations 6.5 System's interaction with other assets (including unmanned vessels) leads to the emergence of any of above			
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Protection against control degradation		Constant search for and installation of improved sensors Use of leading indicators on sensors' performance		Constant search for and installation of improved sensors Use of leading indicators on sensors' performance	

Systemic approach to control the safety – elaboration on mitigation measures and potential

A total of 48 control functions have been analysed with respect to their position within the system structure, potential scenarios leading to their inadequacy and consequences of such.

Furthermore, potential ways of mitigating such inadequacies were elaborated and evaluated by assignment of the mitigation potential.

A total of 252 recommendations on mitigation measures implementation have been elaborated, each of them pertaining to one of three groups:

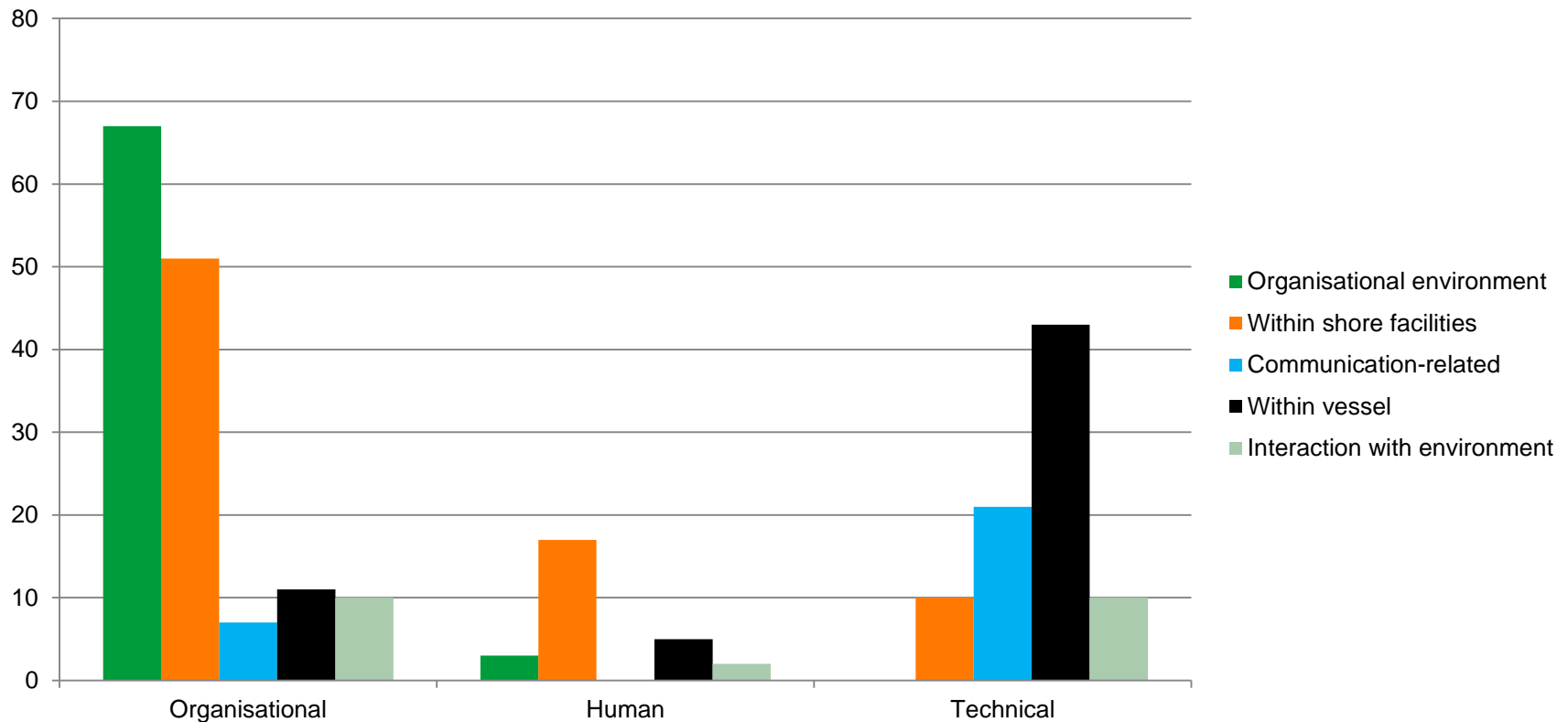
- liveware,
- software,
- hardware.

By ‘liveware’ we understand all organisational, legal and operational factors in which a human plays a major and direct part.



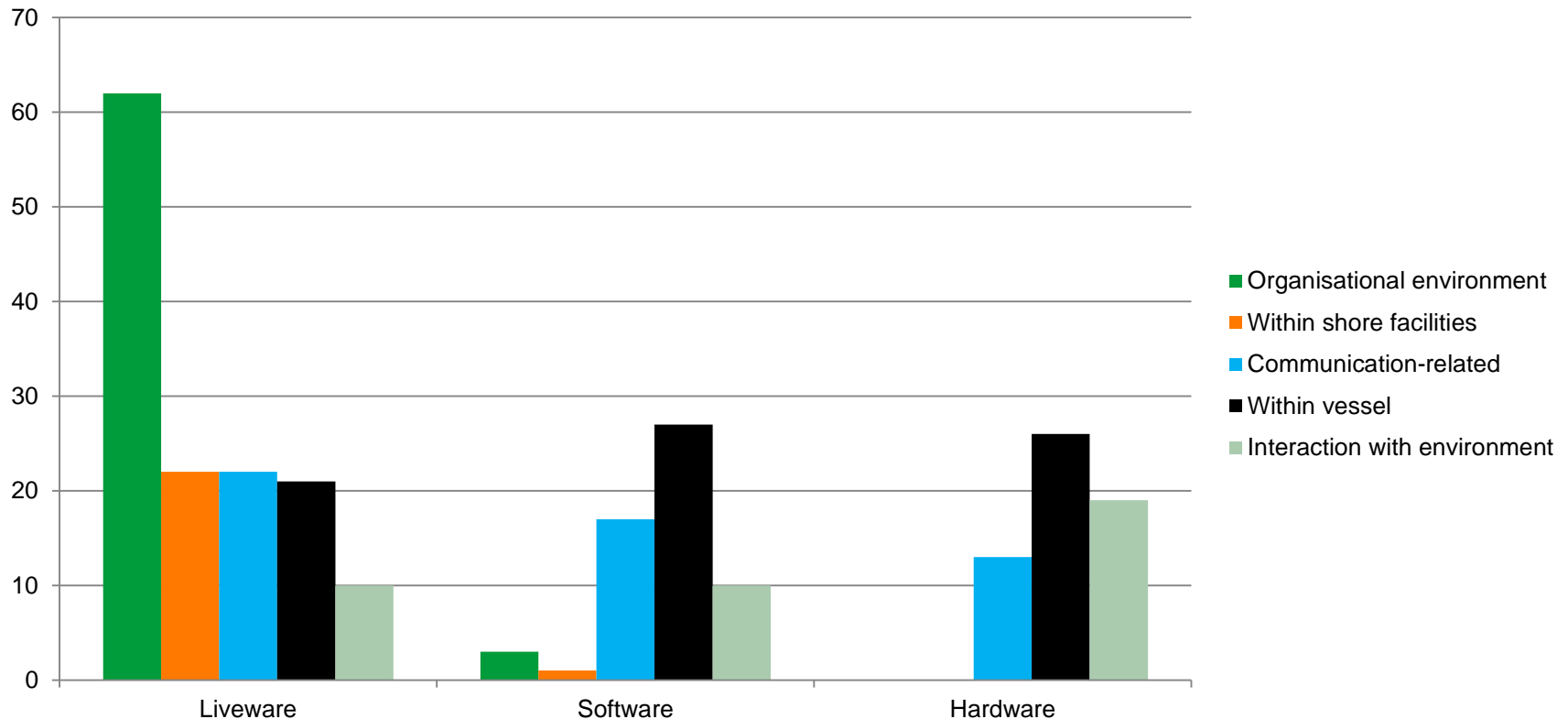
Systemic approach to control the safety – communication of the results

Safety control recommendations by type and position within the system



Systemic approach to control the safety – communication of the results

Safety control recommendations by type and position within the system



Systemic approach to control the safety – communication of the results – handling the uncertainty

Uncertainties pertaining to the outcome of the study come as a result of the unmanned shipping technology being in its infancy. No empirical data or reliable models of such ships' safety performance is available.

The subjective uncertainty assessment, borrowed from the risk analysis, and applied in system-theoretic approach tends to reflect the analyst's level of background knowledge in each of five categories:

		Uncertainty magnitude		
		Significant	Moderate	Minor
Category	Phenomena	Low level or no understanding	Medium level of understanding	High level of understanding
	Model	No basis for models or models give poor predictions	Some basis for models, level of simplifications adopted varies across the model; alternative hypotheses exist	Strong basis for the models, which give good predictions
	Assumptions	Poor justifications for the assumptions made, oversimplifying the analysed phenomena	Reasonable justifications for the assumptions made, although simplifying the analysed phenomena	Seen as reasonable
	Data	Not available or reliable	Data of varying quality is available	Much reliable data is available
	Consensus	Lack of consensus	Various views exist among experts	Broad agreement among experts

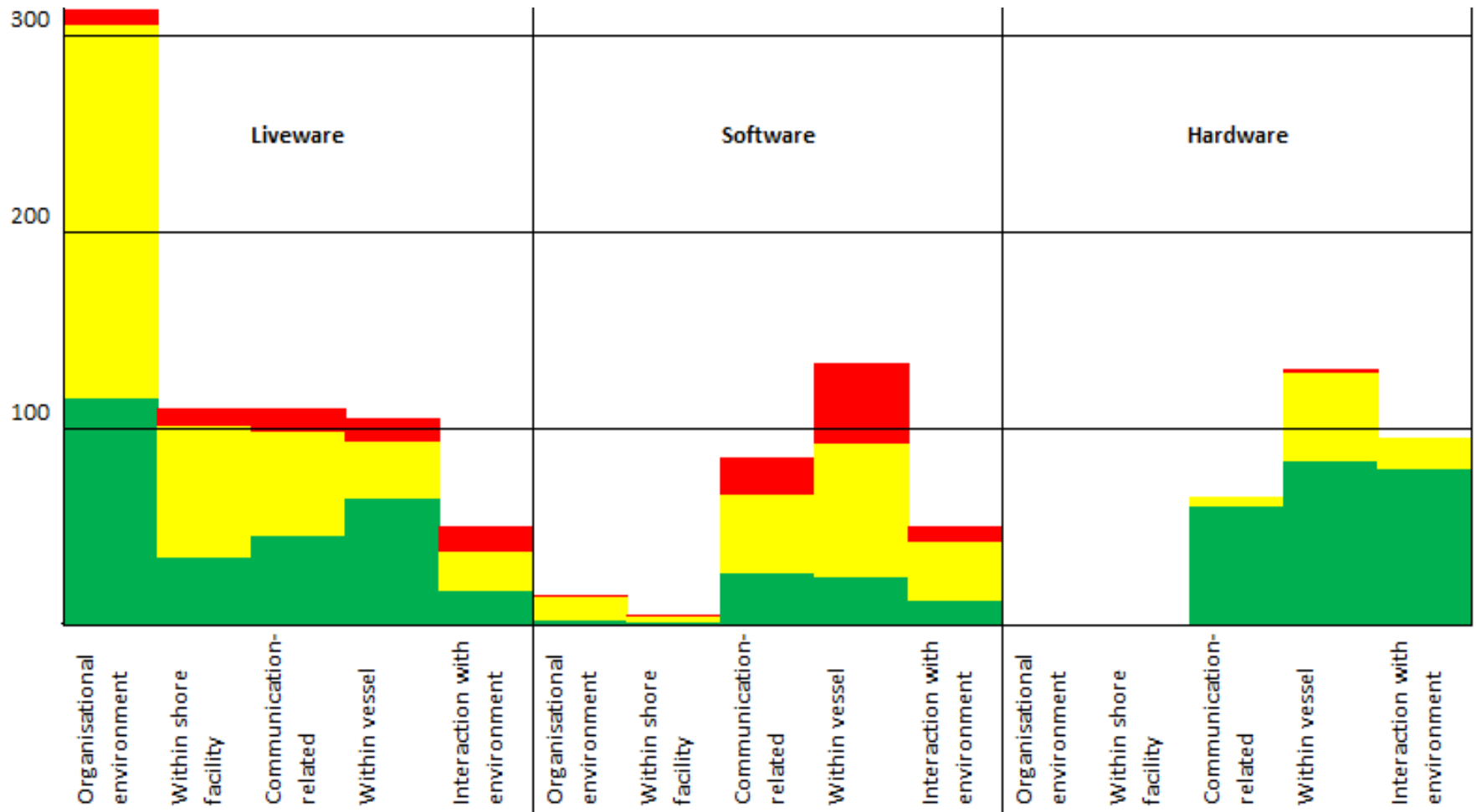
Systemic approach to control the safety – communication of the results – handling the uncertainty

Control function number:		27				<div>Engine / rudder</div> <div>Navigation</div>		
Potential causes:	Control functions #21,26 inadequate Machinery unreliable Consumables not provided		Control functions #21,26 inadequate Machinery having insufficient capacity Machinery improperly designed/installed		Control functions #21,26 inadequate Delays related to equipment's specificity and processes controlled Improper process management algorithms		Control functions #21,26 inadequate Improper process management algorithms	
Feasible mitigation measures and potential	Rigorous maintenance regime	3	Capacity surpluses by design	3	Implementation of leading performance indicators	3	Implementation of leading performance indicators	3
	Redundant machinery	3	Extensive testing	3				
	Resilience-based design	1						
	Procedures on consumables' management	3						

Uncertainty magnitude				
		Significant	Moderate	Minor
Category	Phenomena	Low level or no understanding	Medium level of understanding	High level of understanding
	Model	No basis for models or models give poor predictions	Some basis for models, level of simplifications adopted varies across the model; alternative hypotheses exist	Strong basis for the models, which give good predictions
	Assumptions	Poor justifications for the assumptions made, oversimplifying the analysed phenomena	Reasonable justifications for the assumptions made, although simplifying the analysed phenomena	Seen as reasonable
	Data	Not available or reliable	Data of varying quality is available	Much reliable data is available

Systemic approach to control the safety – communication of the results – handling the uncertainty

Breakdown of the uncertainties by its magnitude, type of relevant mitigation measure and position within the system



Systemic approach to control the safety – results in details

For the full catalogue of measures which can be taken to ensure unmanned ships' safety, please refer to the following scientific papers:

- Wróbel, K., Montewka, J., Kujala, P. (2018). *System-theoretic approach to safety of remotely-controlled merchant vessel*. Ocean Engineering, 152, 334–345.
- Wróbel, K., Montewka, J., Kujala, P. *Towards the development of a system-theoretic model for safety assessment of autonomous merchant vessels*. Submitted to Reliability Engineering & System Safety, awaiting final decision.

Discussion

- The lack of data pertaining to the actual design and performance of unmanned vessels' system did not allow for a quantitative analysis.
- It has also caused the qualitative analysis to be performed on a very low level of details.
- Therefore, the level of risk in unmanned ships' operation could not be evaluated quantitatively.
- Instead, certain measures aiming in ensuring safety have been elaborated and suggested.

Concluding remarks

- Unmanned vessels can potentially reduce the likelihood of maritime accidents. Meanwhile, their consequences can become more serious. This can be attributed to the fact that failure propagation could not be properly safeguarded against as there will be no crew to control the damage.
- Therefore, certain safety recommendations must be created and implemented. Concurrent application of various safety assessment methods can be of use in this case.
- Feasibility of certain solutions is burdened with significant uncertainties – more research is required.
- Unfortunately, the present stage of technology development does not allow for highly-detailed analysis. However, this may change in the nearest future.

Further readings

Marine Technology

Safety of Unmanned Ships

Safe Shipping with Autonomous and Remote Controlled Ships

Risto Jalonen
Risto Tuominen
Mikael Wahlström



A? Aalto University

SCIENCE +
TECHNOLOGY

RESEARCH REPORT

TRANSNAV the International Journal
on Marine Navigation
and Safety of Sea Transportation
<http://www.transnav.eu>

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Towards the Development of a Risk Model for Unmanned Vessels Design and Operations

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Research Group on Maritime Risk and Safety, Aalto University
Finnish Geospatial Research Institute, Finland
T. Hinze
Waterborne Transport Innovation Foundation, Poland

ABSTRACT. An unmanned merchant vessel seems to concept prove its safety, it may become a part of a fleet addressed by a handful of scholars, the problem regarding actual operational circumstances and the attempt of bridging this gap, the risk analysis where all relevant hazards and consequences are presented the results of a first step of such analysis, ships. The list of hazards covers various aspects of operational phases of vessel's life. Subsequently the manner, resulting in the development of a structure of

1 INTRODUCTION

Autonomous and remotely controlled vehicles have been successfully implemented in various industries e.g. automotive, subsea and airborne as well as in military applications. Also the safety issues of those have been addressed by various authors (Grieg 2015) (Ozguner et al. 2007) (Stokely et al. 1999). However, since unmanned merchant vessels are still in conceptual and design phase (Burmester et al. 2014), any elaboration on their safety levels must inevitably be incomplete by simply not including historical and empirical data. Operational issues of unmanned ships are elaborated in (Jendrych et al. 2013), and summarized in Figure 1. In (Kretschmann & Redeth, et al. 2015) (Kretschmann & McDowell, et al. 2015) authors optimistically claim that the autonomous ship proposed by them will be in general safer to operate than conventional vessels' operation



Towards the assessment of potential impact of unmanned vessels on maritime transportation safety

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ARTICLE INFO

Keywords: Unmanned ships; Maritime safety; Risk analysis; Autonomous vehicle; Reliability engineering
ABSTRACT: The prototype main line of expected risks, on the other hand, is that this paper if analysis it would have consequences. The most expected to particularly much larger

1. Introduction

The concept of unmanned surface vehicle (USV) is no its first demonstration was performed by Nikola Tesla in last decade of the 20th century when there was a large number emerge. The vast majority of existing solutions pertain enforcement and naval units with displacement of up to 1000 t, although some mine-sweepers can reach up to 1000 t. Technology advancements in recent years and expanding the operation of small- and medium-sized USVs, it appeared to develop an unmanned merchant vessel class cargo across the oceans. It is believed that the first unmanned become operational within the next 10–15 years [4,5]. must be ensured that those masterpieces of technology increase maritime safety or at least would not reduce it. At present, there are several R & D projects aiming at test of a proof of autonomous merchant vessels' concept. There is a hypothetical autonomous ship takes advantage of being operated in one of the three modes, as follows:

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<http://dx.doi.org/10.1016/j.relieng.2017.05.009>
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0950-1480/© 2017 The Authors. Published by Elsevier Ltd. This is an open access article under the CC BY license (<http://creativecommons.org/licenses/by/4.0/>).



System-theoretic approach to safety of remotely-controlled merchant vessel

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ARTICLE INFO

Keywords: Unmanned vessels; Remote control; System theory; Safety analysis; Risk analysis; Reliability engineering

ABSTRACT

Unmanned merchant vessels' prototypes are expected to come into operation within a few years. This revolutionary shift in the shipping industry is bound to significantly impact the safety of maritime transportation. Therefore, in order to support future designers of remotely operated merchant vessels system, we applied system-theoretic Process Analysis (SPA), identifying the most likely safety control structure of the analysed system and investigating it. The aim was to suggest potential ways of increasing the system's safety and to assess the effectiveness of such measures. Results indicate that the implementation of remotely controlled merchant vessels, in a wider sense, encompasses ships, and ensuring their safety should consist of extending various areas on org. safety, operational and technical plans. Potential effectiveness is evaluated and some recommendations are given on how to ensure the safety of such systems.

1. Introduction

As unmanned technology development gains momentum in various domains, it is postulated that similar can also be achieved in marine transportation. However, ships could be operated remotely from a shore control centre or even proceed autonomously. Supporters of such a shift argue that it would reduce shipping costs, environmental impact and threats to human working for the industry (Vrabe, 2016), while some more sceptical authors are of the opinion that the safety of maritime transportation can be negatively affected (Wrobel et al., 2017). It is therefore of utmost importance to ensure that such vessels at least do not reduce the level of safety (Burmester et al., 2014). Besides technical considerations and social controversies (Burrer et al., 2014), safety becomes the most important issue to resolve.

Numerous research projects' reports or scientific papers have recently been published in the field. Initially, only some basic ideas have been developed and refined (Ujima and Hayashi, 1991; Redeth et al., 2013; Redeth and Burmester, 2012; Jansen et al., 2017). Then, the concept was developed and some safety issues have been addressed, including those pertaining to unmanned ships navigation (Jansen and Pires, 2016; Thearson, 2017) and remote control (Dias et al., 2015; Poushe et al., 2016; Wrobel et al., 2015). As safety of unmanned navigation remained in focus, there were attempts to utilize experience gained in other domains (Wahlström et al., 2015) in order to assess it. Finally, there

were numerous attempts of identifying and quantifying hazards present in this field (Burmester et al., 2014b; Hårdh et al., 2017; Hogg and Ghosh, 2016; Kretschmann et al., 2015a, 2015b; Kretschmann and Burmester, 2015a; Redeth and Tuomi, 2014a; Wrobel et al., 2016; Jansen et al., 2017). Safety issues were considered as part of feasibility and safety analysis and were also addressed separately (Ujima et al., 2013). The conclusion of the above is that, in general, there is a potential within unmanned vessels' technology to improve safety of transportation (Kretschmann et al., 2015a), but more data is required and some issues still require addressing in order to reduce the uncertainty (Burmester et al., 2014b; Wrobel et al., 2017).

Nevertheless, a reliability and probability-based approach to safety analysis as applied in above-mentioned research is neither exhaustive nor free of significant drawbacks. Such analyses can only be performed for systems, or reliability structure of which is known. For remotely controlled vessels, their concept of design are still being developed and the final structure of the system remains uncertain. Therefore it is important to assess their safety in its reliability-based form (Larsson, 2013). Furthermore, a great deal of system understanding and safety improvements originates from knowledge gained during actual operations or even through accident investigation (Ujima et al., 2015; Hoog and Ockler, 2012). Since no quantitative or qualitative data is available here, this approach cannot be applied.

Above considerations suggest that a different method of analyzing the

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<https://aaltodoc.aalto.fi/bitstream/handle/123456789/2800715/bn9789526074801.pdf?sequence=1&isAllowed=y>

Advanced Autonomous Waterborne Application - AAWA



Thank you !