



1 Systemic hazard analysis of offshore service operations

2 Romanas Puisa^a, Victor Bolbot^a, Andrew Newman^b, Dracos Vassalos^a

3 ^aMaritime Safety Research Centre, University of Strathclyde, UK

4 ^bGlobal Marine Group, UK

5 *Correspondence to:* Romanas Puisa (r.puisa@strath.ac.uk)

6 **Abstract.** As windfarms are moving further offshore, logistical concepts increasingly include service operation vessels (SOV)
7 as the prime means of service delivery. However, given the complexity of SOV operations in hostile environments, their safety
8 management is challenging. The objective of this paper is to bring awareness of hazards that may have been overlooked in
9 earlier assessments, and allow for a preliminary comparison of various operational stages. To this end, we use a systems
10 approach to identify and analyse hazards arising during the SOV transit and manoeuvre within a windfarm and interfaces with
11 turbines and daughter crafts. The hazard analysis is performed by systemic method STPA, allowing to explore hazardous
12 scenarios caused by flawed interactions between system components and, to a lesser extent, by component failures. The results
13 comprise 23 operational hazards arising during the three stages of SOV operation and 1,270 hazardous scenarios (pathways)
14 leading to the hazards. The preliminary comparison of SOV operations shows that approaching and departing from turbines in
15 auto and manual modes is potentially the riskiest stage of SOV operation. The lowest risk is of the SOV interface with daughter
16 crafts. The paper discusses the analysis results and explains how they can be used to inform new and existing safety
17 management systems of SOV.

18 1 Introduction

19 Offshore wind is becoming a major source of renewable energy in many countries (GWEC, 2019). As wind farms are moving
20 further offshore, significant innovations in the infrastructure and services are required to maintain the judicious trend. One of
21 such innovations is the specialised service vessels, or service operation vessels (SOVs), which are offering new logistical
22 concepts for servicing windfarms further offshore. They enable an extended stay of technicians (typically for two weeks) in
23 the vicinity of a windfarm, thereby replacing the logistical concept of transferring technician from shore by crew transfer
24 vessels (CTVs). The latter becomes unreasonable due to prolonged sailing times and increased risk of seasickness.

25 SOVs are akin to offshore supply vessels and are typically around 80 meters in length, can endure severe environmental
26 conditions and offer a wide array of services. They are highly automated ships (e.g., position and course can be kept
27 automatically by the Dynamic Positioning (DP) system), hosting dozens of technicians, support (daughter) crafts, and heavy
28 equipment. Daughter crafts (DCs) are medium size boats (under 20 meters) which are carried by the SOV and used to transport
29 lighter equipment to turbines in moderate environmental conditions (< 1.8m significant wave height). DCs are loaded with
30 technicians and launched from a SOV deck by some davit system (typically 3-5 times per day) and then recovered (lift-up)



31 from the water periodically. SOVs would also have a sophisticated system for transferring technicians and equipment to and
32 from a turbine. It is normally a motion-compensated (3 or 6 DoF) gangway system, which allows for relatively safer (based
33 on experience so far) and time-efficient (within some 5 minutes) transfer.

34 The multifaceted nature of SOV operations complicates the management of their safety. Accidents can be caused by well-
35 known but inadequately managed scenarios (e.g., loss of power or control), as well as by yet unknown scenarios created by
36 new technology or new ways of operation. In 2018, the offshore supply vessel Vos Stone temporarily lost control of thrusters,
37 drifted and struck a wind turbine (BSU, 2019). Amongst the causes, the officers on the bridge did not manage to seamlessly
38 switch between modes of thruster control (from DP to other mode) because they were confused about them. Inadequately
39 controlled transitions between modes of operation, particularly between normal (frequently used) and abnormal (rarely used,
40 i.e. emergency) models, is a classic scenario for accidents (Sarter et al., 1997; Leveson, 2011a, p. 289). Another incident
41 happened in 2013 when the diving support vessel Bibby Topaz drifted off the position (maintained by the DP system) while
42 two divers were exploring the seabed (IMCA, 2013). Amongst the causes, the vessel had had a dormant (unidentified)
43 hazard—a design error—that did not allow to adequately respond to safety critical faults that preceded the incident. These two
44 examples demonstrate how complex the designs and operations have become, so that only a subset of all real hazards can be
45 identified. In complex socio-technical systems design errors are frequent and procedures are often underspecified (Hollnagel,
46 2018). The design errors constitute hazardous situations when between system components are overlooked (Perrow, 1984, p.
47 78), because there are simply too many system states to check (Leveson, 2000).

48 Given the nature of SOV operations today, along with increasing automation and autonomy in the near future (Twomey, 2017),
49 it would not be unreasonable to assume that—in a strict sense—SOV operations constitute a complex, socio-technical system
50 (Johnson, 2006; Perrow, 1984). Such a system can create “interactions in an unexpected sequence” (Perrow, 1984, p. 78), and
51 some of these interactions can be hazardous. These interactions, and their consequences, is difficult to envisage from the
52 purview of an individual system component, because “a system is more than the sum of its elements” (Rasmussen, 1997).
53 Hence, in complex systems incidents are emergent phenomena and safety (like quality, resilience etc.) is a system property,
54 not a component property (Checkland, 1981; Meadows, 2008; Leveson, 2011b). However currently, the overall safety
55 management system of SOV operations is an amalgamation of individual safety procedures for the SOV, davit, DC, gangway,
56 drone and other systems (Section 3). These safety systems are developed in isolation from a wider operational context and,
57 when integrated, can lead to confusion and surprises (Ahsan et al., 2019). The way to deal with this is to build safety
58 management on the *systems approach* (top-down) rather than on reductionism (bottom-up) as commonly done (Leveson,
59 2015).

60 The objective of this paper is to bring awareness of hazards that may have not been captured in earlier assessments, and allow
61 for a preliminary comparison of various operational stages of SOV. To this end, we used a systemic approach to identify and
62 analyse hazards arising during the SOV transit and manoeuvre within a windfarm and interfaces with turbines and daughter



63 crafts. The hazard analysis aimed to explore hazardous scenarios caused by flawed interactions between system components
64 and, to a lesser extent, by component failures. The latter was not the prime scope of the analysis, for individual failures are
65 normally captured by conventional methods such as HAZOP and FMEA (Van, 2012;Vamunu et al., 2016). The analysis was
66 based on a novel method of Systems Theoretic Process Analysis (STPA) (Leveson, 2011a;Leveson and Thomas, 2018). The
67 method implements the systemic accident model STAMP (System-Theoretic Accident Model and Processes), which is
68 designed for complex socio-technical systems (Leveson, 2004;Leveson, 2011b). The method contrasts with conventional
69 methods in such a way that it is better suited for socio-technical systems with high level of automation, and it has propensity
70 to identify more hazardous scenarios (Leveson, 2011a;Sulaman et al., 2019).

71 The paper is organised as follows. Section 2 explores related work, Section 3 explains the basics behind safety management,
72 Section 0 introduces to the method and explains how it was applied, Section 5 outlines the analysis results, and Section 6
73 discusses the results and their utilisation. Section 7 concludes the paper.

74 **2 Related work**

75 In this section we review the academic and industrial work on safety hazards to servicing windfarms and other offshore
76 installations by SOV-like vessels. The review specifically focuses on the identification of hazards leading to incidents, their
77 causal analysis and ranking.

78 Presencia and Shafiee performed a quantitative risk analysis of collisions between services ships and offshore turbines
79 (Presencia and Shafiee, 2018). The authors used statistics to, for instance, calculate the average frequency of collisions, then
80 adjusting it to the type of turbine maintenance: reactive or preventive. The authors noted that vessels with personnel transfer
81 systems (gangways and others) have lower chance of colliding with turbines, as opposed to vessels (e.g., crew transfer vessels
82 / CTV) that conduct technician transfer by pushing against the turbine (e.g., by using the rubber bumper system). Other
83 highlighted hazards were: the inadequate ability of personnel to handle severe weather conditions, unreliability of navigation,
84 propulsion and control systems, and maintaining the wind turbines individually can result in high frequency of ship traffic,
85 and hence, increased risk of ship collisions with offshore wind turbine structures. The above are significant hazards, but the
86 authors did not analyse neither their causes nor relative importance of the hazards.

87 Dong et al. studied collision incidents and accidents between an offshore installation (FPSO vessels) and visiting vessels
88 (shuttle tankers) (Dong et al., 2017). The analysis used the method of Man, Technology and Organisation (MTO) (Rollenhagen,
89 1997;Sklet, 2006). The main hazards analysed were: drive-off forward (prime concern), drift-off, and excessive surging and
90 yawing events (“failure prone situations” in tandem offloading). The principal immediate cause of drive-off was the untimely
91 detection or ineffective response (primarily by humans) to drive-off precursors. Under causes were related to design errors in
92 software (e.g., wrong specification), human-machine interface, insufficient training and organisational deficiencies. The
93 authors did not perform any ranking of the hazards.



94 Rokseth et al. applied the STPA method to hazard analysis of marine operations, particularly the operations of offshore supply
95 vessels using the DP system (Rokseth et al., 2017). The authors analysed the following system and sub-system level hazards:
96 vessel motion is not controlled according to the motion-control objectives, the motion-control objectives are not in line with
97 the operational function of the vessel, thrusters are not controlled in a manner that satisfies the control objectives, adequate
98 amount of power is unavailable for thrusters. The study did not consider interactions between the vessel and other systems and
99 was limited to the DP operation—from the design standpoint—only. The authors did not provide any ranking of hazards either.

100 The guidelines on offshore wind health and safety highlight key activities and safety hazards that are likely to arise over the
101 lifecycle of a turbine (SgurrEnergy, 2014). The guidelines cover, inter alia, such operational stages as the personnel transfer
102 between a SOV and turbine (incl., the use of gangways), vessel to vessel transfers (incl., launch and recovery of daughter
103 crafts), davit or crane operations, marine coordination, vessel navigation (incl., the use of DP and other systems), and vessel
104 selection. Hazards are extracted from various safety rules and regulation. Example hazards: falling from height, entrapment
105 between vessels or vessel and the ladder, failure of lifting equipment (mechanical and software), navigation in close proximity
106 to other vessels, loss of control (e.g., blackout, mishandling), drift-off and drive-off towards turbines or other vessels, collisions
107 of floating turbines, and inadequate vessel’s capabilities. The document discussed how the hazards should be assessed (e.g.,
108 using the HAZOP method) and managed for specific cases. No causal analysis or ranking of the hazards was addressed.

109 **3 Safety management practice**

110 As any safety critical system, SOVs comply with international and national safety standards during vessel design, construction
111 and operation (Grace and Lee, 2017). The latter is “managed by vessel operators as part of their safety management system”
112 (IMCA, 2015). The key element of safety management is a risk assessment (IMCA, 2014; Bromby, 1995), i.e. the identification
113 of safety hazards to ships, personnel and the environment and establishment of appropriate controls. This also constitutes one
114 of the objectives of the International Safety Management (ISM) Code (IMO, 2018). Risk Assessment Method Statements
115 (RAMS) are documents that OEMs (e.g., of davit system, daughter crafts) create after they conduct individual risk assessments.
116 RAMS contain details on identified hazards as well as a step-by-step safe working guide that crew, contractors (technicians),
117 and others should follow to avoid and adequately respond to hazards. The hazards inform training, briefing notes and
118 operational procedures. Notably, RAMS are used interchangeably with safety procedures and manuals.

119 As SOV operations use diverse systems (davits, gangways, daughter crafts, drones) that interact, individual RAMS are used
120 for each interaction, with a bridging document to state the overall emergency protocol and document primacy (cf. Figure 1).
121 In other words, the overall safety management system (SMS), or safety governance, onboard of a SOV is comprised of multiple
122 RAMS, depending on the type of systems in interaction.

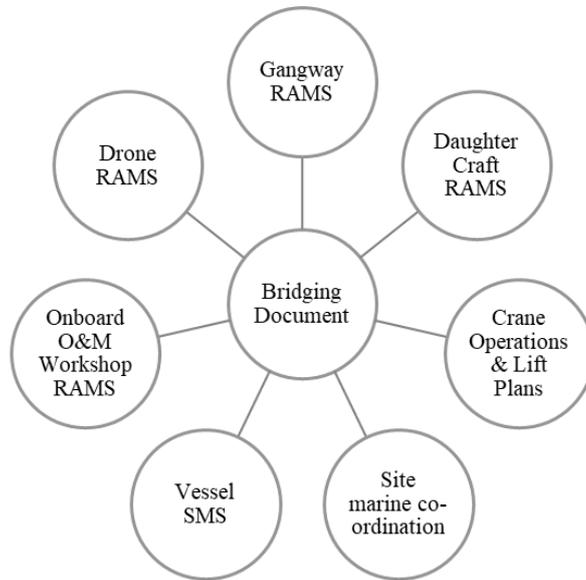


Figure 1: Illustration of current safety governance

For example, for a typical 14-day SOV operation in the UK, the safety governance may involve over five regulators simultaneously when alongside a turbine (Table 1). This ad-hoc or case-by-case safety management, however, happens sufficiently rare is that the developed SMS could often be timed for longer periods. This is a result of evolutionary process where a limited “bolt on” capacity was mobilised to a vessel which did not warrant a rework of the vessel safety systems.

When faced with the multitude of internal RAMS (procedures), the opportunity for confusion and hazardous surprises arises. This is because the knowledge of all individual safety procedures is often outside of what is normally expected of seafarers. Also, RAMS are developed in isolation and their amalgamation into one system can create conflicts between safety procedures or create unintended consequences. Therefore, safety management is heavily reliant on operator’s general competence and familiarity with operations.



141

Table 1: Safety governance in various stages of operation

Stage of operation	Safety rules, regulations, RAMS
Entering the site	Marine Co-ordination rules (site specific operator rules)
Within exclusion zone of a turbine.	Electrical safety rules, UK MCA for port state, vessel flag state, classification society, marine co-ordination and turbine specific control centre
Transit from turbine to turbine	Special Purpose Ships (SPS) Code (UK MCA, class rules and flag regulations)
Interface with turbine	Vessel operations governed by SPS Code, crane operations by UK HSE Lifting Operations and Lifting Equipment Regulations 1998 (LOLER) regulations, workshop activities by Provision and Use of Work Equipment Regulations 1998 (PUWER), UK HSE regulations, and IMCA guidelines (IMCA, 2014)
Interface with daughter craft	Class rules, site specific rules, company and vessel specific guidelines

142

143 4 Method

144 4.1 Phases of operation

145 The hazard analysis focuses on several operational phases:

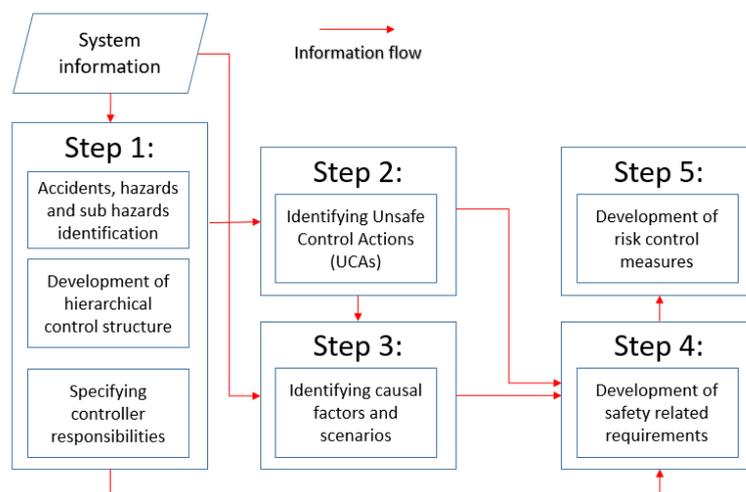
- 146 • Transit and manoeuvre within a wind farm. In this case, dynamic positioning (DP) system (in automatic and manual
147 modes) is used.
- 148 • Interface between SOV and turbine (approach, station keeping, and departure). In this case the DP and motion-
149 compensated gangway systems (for technician transfer from SOV to/from turbine) are jointly used.
- 150 • Interface between SOV and daughter crafts (DC) with a conventional davit system. The DC would be vertically
151 attached to the davit via a lifting line (vertical) and the painter line to keep the DC aligned with SOV. Both lines are
152 typically connected and disconnected manually by DC deck crew. DCs are loaded with technicians and equipment,
153 and launched from a SOV deck by the davit (typically 3-5 times per day) and then recover (lift up) DCs from the
154 water the same way. During the DC launch and recovery, SOV uses the DP system to maintain the position and
155 heading.



156 These modes of operation are safety critical and there are different safety hazards to watch for (next section). For instance,
157 during a transit or manoeuvring, the vessel might collide with turbines or other vessels, e.g. when the vessel deviates from a
158 correct trajectory or inadequately performs collision avoidance.

159 4.2 Hazard analysis

160 The prime focus of system safety is the management of hazards: their identification, evaluation, elimination, and control
161 through analysis, design and management procedures (Roland and Moriarty, 1990; Leveson, 2003). A hazard is a system state
162 that will lead to an incident or accident given certain environmental conditions beyond the control of system designer. The
163 system in question can be a safety management system (SMS) which is designed according to the ISM Code or amalgamated
164 from different RAMS. Incidents and accidents are defined as follows (Rausand, 2013). An incident is a materialised hazard
165 with insignificant consequences. Incidents do not necessary interrupt the prime function (delivery of payload). Accident are
166 incidents with significant consequences (some loss or damage). Accidents would normally interrupt the prime function.



167

168

Figure 2: STPA process

169 There are many methods for hazard analysis (Bahr, 2014). We use the STPA method based the systemic accident model
170 STAMP. The key assumption behind STAMP is that safety is a dynamic control problem and incidents (or accidents) occur
171 when safety constraints are wrong, not enforced, or inadequately enforced (Leveson, 2004). This can happen not only due to
172 technical failures or human errors, but primarily due to dysfunctional interactions between system components. Figure 2
173 illustrates the STPA process applied in this work.

174 The analysis begins by defining the system and its boundaries. This allow to clarify what accidents (unwanted losses) and
175 system-level hazards (conditions for incidents) should be considered in the analysis. For instance, during the SOV interface
176 with the turbine via a gangway, the assumed accidents corresponded to the deviation from the interfacing objective, i.e.



177 occurrence of injuries and life losses, and damages to SOV, gangway, or turbine. Sample system-level hazards—recalling that
178 incidents occur at the system level—that can lead to these incidents were:

- 179 1. Vessel does not keep a min safe distance to turbine or its blades (approaching/staying at turbine when it is in motion);
- 180 2. SOV does not keep position/heading within target limits for a predefined time;
- 181 3. SOV does not operate on DP class 2 or above;
- 182 4. SOV transfers technicians when the gangway is disconnected or dysfunctional (e.g., not motion compensated).

183 The system-level hazards are typically found in safety rules and regulations. The hazards can be further decomposed into (or
184 described through) sub-system and component-level hazards, which are often more helpful during the analysis. The important
185 aspect is that sub-system hazards are linked to system-level hazards. For instance, the second hazard is equivalent to a situation
186 when DP operational requirements do not request a DP operator to enable DP class 2 before starting the transfer.

187 The system definition further involves its modelling as a hierarchical control diagram. It is a natural way to represent many
188 systems, including safety governance, that involve feedback loops. Figure 3 shows a control diagram for the interface between
189 SOV and a turbine. The control diagram is at higher level of abstraction, where one controller box comprises three other
190 controllers and controlees: turbine, gangway and technicians being transferred. The arrows indicate control and feedback
191 channels with example control actions and feedback signals indicated. The control actions reflect the responsibilities assigned
192 to a controller. The responsibilities, or purpose, are also reflected in the control algorithm and feedback information necessary
193 for adequate control.

194 The use of control diagram for hazard analysis contrasts with classic analysis methods that instead use failure diagrams such
195 as fault trees and event trees. The key difference between control and failure diagrams is that the latter show imaginary linear
196 chains of causes and effects (BS EN 31010:2010). The chains are typically based on past accidents, assuming that future ones
197 should happen in a similar fashion. The control diagram, on the other hand, does not make such assumptions and shows real
198 interactions in daily operations. This makes the STPA results credible, easier to communicate and generalise.

199

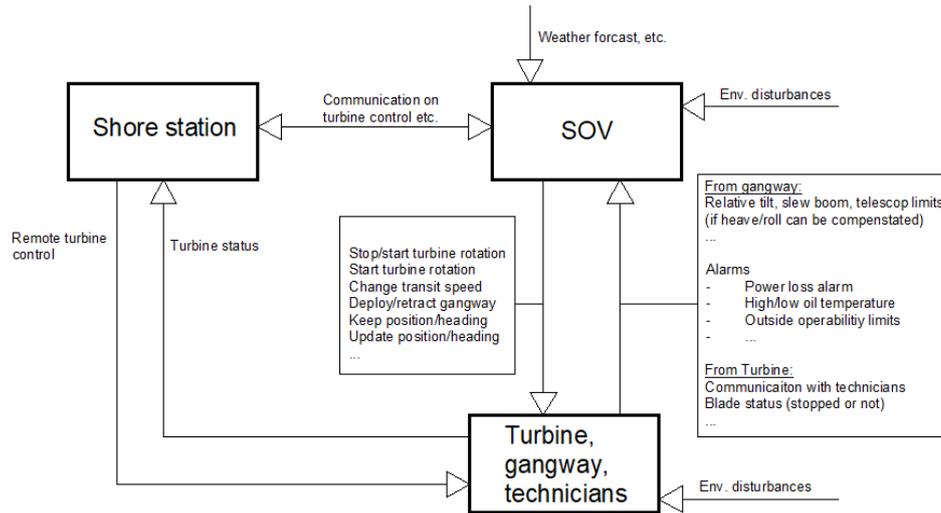


Figure 3: Hierarchical control diagram of interface between SOV and turbine

The second and third steps of the hazard analysis generate hazardous scenarios, which are then used to develop safety requirements (Figure 2). A hazardous scenario explains how control actions—from each controller in the control diagram—can lead to sub-system or system-level hazards, and why this can happen. Scenarios are inferred by searching the operational context (or states of operation), looking for circumstances—within the entire system—under which a given control action would lead to a hazard. The STPA uses specific keywords to guide the search (Leveson and Thomas, 2018). Figure 4 clarifies the input for the analysis.

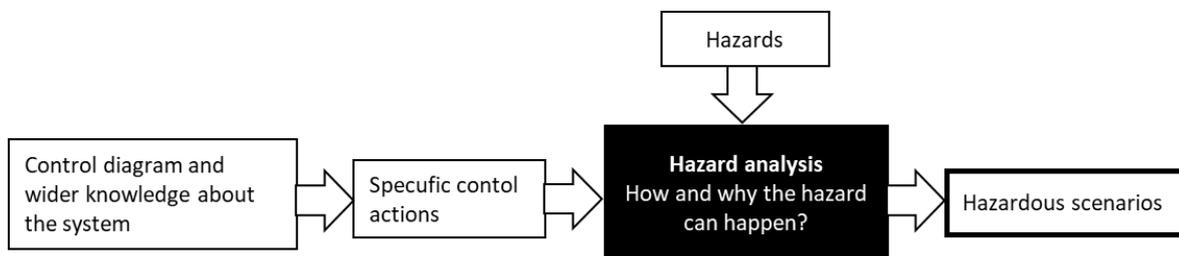


Figure 4: Prerequisites for inferring hazardous scenarios

The fourth and fifth steps of the hazard analysis are outside the scope of this paper. However, we provide an example analysis result which also includes proposed functional requirements. Thus, Table 2 contains sample hazardous scenarios and safety requirements for the control action “stop turbine rotation” by SOV controller (cf. Figure 3). The arrows indicate the scenario as a pathway from basis causal factors to system-level hazards: causal factors cause unsafe control actions, which, in turn, lead to hazards. The shaded cells illustrate a specific scenario, which is preventable by implementing the three functional safety requirements. These requirements are complementary, representing organisational and design controls.



216

Table 2: Hazardous scenario with three functional requirements

Hazard	Unsafe control actions	Causal factors	Functional requirements
Vessel does not keep a min safe distance to turbine or its blades	Not stopping turbine prior to approaching it	Inadequate communication with the site manager leads vessel operator to wrongly believe the site manager is in control (in reality vessel operator is) of the nacelle and will stop the turbine in time.	Effective communication between the site operator and vessel operator shall be established and maintained
		Vessel operator wrongly assumes (based on prior experience) the site manager is by default in control of the nacelle and will stop the turbine in time. However, the default situation is opposite - vessel operator is in control unless it is changed	When turbines are to be approached for maintenance, the site and vessel operators shall be able to follow the communication procedures
			When turbines are to be approached for maintenance, SOV control panel (or other design features) shall indicate who is in control of turbine (site manager or vessel)
	Remote stopping of turbine does not work as intended, and there is no feedback of unsuccess. Therefore, vessel operator assumes it is successful.	...	
Turbine rotation is stopped too late, after vessel violates a safe distance to turbine.	

217

218 **4.3 Ranking and classification**

219 Hazard analyses can produce hundreds, and even thousands, hazardous scenarios for a handful of hazards. To make use of the
 220 results in practice, the prioritisation of hazards is necessary and the availability of hazardous scenarios helps achieve this
 221 objective.

222 Normally, hazards are ranked based on their likelihood and potential consequences. Risk matrices are used to combine these
 223 two qualities and decide which hazards are more and less important (Bahr, 2014). The hazard tolerability is often decided ad
 224 hoc, based on the end user's (client's) preferences. As incident prevention is the focus on this paper, the likelihood alone can
 225 be used to rank the hazards, provided the consequences all considered hazards are similarity intolerable. Hence, the questions
 226 are:

227 Q1: How likely is a hazard to happen?

228 Q2: How the hazard can lead to an incident and what is the likelihood of that?



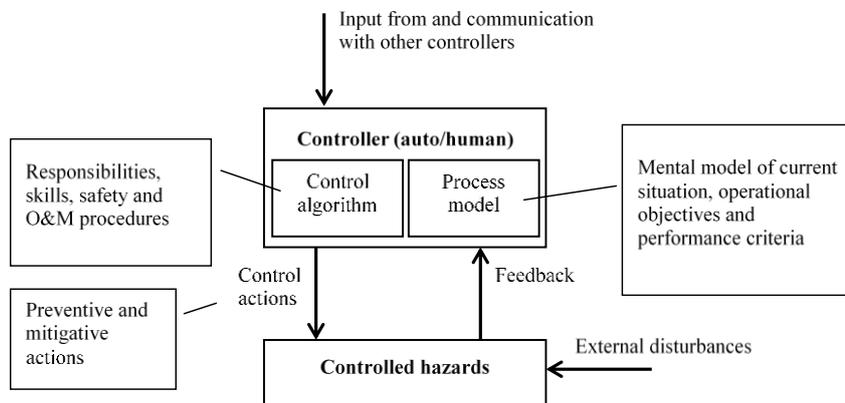
229 As for Q1, we use the number of hazardous scenarios as the *degree of exposure to the hazard* (hazard exposure). The greater
230 the exposure is, the more opportunities for the hazard to materialise. The hazard exposure can be regarded as a proxy for
231 operational risk. Surely, some (or all) such opportunities can be addressed in design or safety procedures, but, as discussed in
232 Section 6, gaps can exist and hazard exposure remains a useful measure of the hazard likelihood.

233 The answer to question Q2, i.e. the progression from hazardous states to incidents, goes beyond the hazard analysis by STPA.
234 However, we provide a short discussion as a basis for future work. As indicated above, a hazard is a system state that can lead
235 to an incident under certain environmental, external, or worst-case conditions. A joint analysis of such conditions and hazards
236 can provide the degree of certainty about the likelihood of incidents. For instance, a probability distribution of wind speed in
237 the area of SOV operation can be combined with the loss of thrust scenario when the SOV is in a certain proximity to turbine
238 (ref. the Vos Stone incident from Section 1). If prevailing wind forces are too low to push the vessel within the expected time
239 of recovery, this hazard would be unlikely and could be discarded. Knowledge gleaned from incidents and accidents can be
240 also helpful in reducing uncertainty in this analysis, as well as expert judgment available in house.

241 In addition to ranking the hazards, their scenarios can be classified according to what elements of safety control they involve
242 (Figure 5). The hazardous scenarios can involve inadequacies in:

- 243 • Control algorithm
- 244 • Control actions
- 245 • Feedback and/or process model
- 246 • Internal or external communication
- 247 • Handling of external disturbances

248 These elements can be said to be part of causal factors within the hazardous scenarios.



249

250

Figure 5: Generalised feedback control



251 This classification is well aligned with safety management as a closed-loop process of continuous improvement (plan-do-
252 check-act) (Li and Guldenmund, 2018; Kristiansen, 2005).

253 **4.4 Comparison by relative exposure to hazard**

254 Given hazards and their exposure (the number of scenarios to hazard) for each stage of SOV operation, the stages can be
255 compared in terms of their relative exposure to hazards. The relative exposure to a hazard is the ratio between its exposure to
256 the total exposure across all hazards and operational stages. As hazards can be grouped by operational stage, so can be relative
257 exposures. We use a box plot to show the relative exposures across the three operational stages. Hence, medians, and other
258 quartiles, can be used to guide the comparison. The comparison is, nevertheless, preliminary and should be used as a preface
259 for a more detail, potentially quantitative, comparison.

260 **5 Results**

261 This section outlines the results of hazard analysis by STPA, covering the three stages of SOV operation (Section 4.1). Table
262 3 to Table 5 outlines the considered hazards, the number of identified scenarios that lead to them, along with example scenarios
263 meant to clarify the meaning of the hazards. Based on this tables, Figure 6 shows the relative exposures to hazards (Section
264 4.4) per stage of SOV operation in a box plot. The median values indicate that the transit and manoeuvring stage of operation
265 has, potentially, the highest relative exposure to hazards. The lowest exposure is of the SOV interface with daughter crafts.
266 However, when comparing the lower quartiles, the SOV interface with turbine via gangway can be riskiest in some cases.

267 Table 6 provides a classification of hazardous scenarios, as explained in Section 4.3. The table shows that flaws in
268 communication and control algorithms can be present during all stages of SOV operation.



269

Table 3: Analysed hazards and their hazard exposure (number of scenarios to hazard) for SOV operational stage: Transit and manoeuvring

#	Hazards	Number of scenarios	Example scenarios
1	Thruster control actions mismatch the current mode of operation (i.e. mode confusion)	259	Setpoint is not updated when vessel position, heading or trajectory exceeds alarm/alert limits. This can happen when the DP system does not accept new joystick setpoints when the previous task is not yet finished (i.e. the old setpoint has not been yet achieved).
2	Vessel control actions are in conflict with operational objectives (e.g., position/heading is kept or selected not according to the plan)	174	New operational objectives (e.g. move to another position, heading, waypoint) are inadequately (clearly, accurately and timely) communicated and the DP operator does not update the setpoints.
3	Operation does not comply with the required IMO DP class	11	When operational objective/circumstances change, operator unwittingly mismatch the DP class to given operational circumstances and does not receive any indicator of the error.
4	Untimely transfer of thruster control between bridge and engine control room (i.e. inadequate internal communication)	8	Because of emergency, crew is distracted or unable to perform a prompt transfer of control.

270

271

272

273

274

275

276

277

278

279

280

281



282

Table 4: Analysed hazards and their hazard exposure (number of scenarios to hazard) for SOV operational stage: Interface turbine via gangway

#	Hazards	Number of scenarios	Example scenarios
1	Significant gangway motions while personnel (technicians) are on the gangway. Or, gangway structure under increased expansion or compression force as a result of out-of-range gangway/vessel movements.	169	Sluggish compensation of relative vertical motions between the SOV and turbine. This can happen due to inadequate predictions of vessel motions or undetected mechanical malfunctions of the gangway.
2	Vessel does not keep relative position/heading within target limits	80	Distance to turbine is not queried when vessel is settling at or keeping the target position as operator does not switch on the distance querying to turbine.
3	Vessel does not keep a minimum safe distance to the turbine or its blades	70	When the DP/auto mode of approach to turbine is used, manually entered position/heading at the turbine violates the safe distance: typo, wrongly communicated or determined, etc.
4	Technicians are transferred when the gangway is improperly connected or dysfunctional (e.g., motion compensation is faulty or cannot compensate)	53	Deployment of gangway when gangway alarms are active (high oil temp, low oil level, etc.). Given previous experience and management/time pressure, the vessel or gangway operator wrongly assumes that gangway limits are too conservative and alarms are false and it is possible to safely perform the transfer in given env. conditions.
5	Personnel hands or legs caught between gangway moving parts or between gangway and wind turbine	50	The gangway transfer is carried out during bad visibility or external disturbances (e.g., sudden wind, rain, snow).
6	Gangway is retracted when technicians are being transferred	26	Gangway operator reacts mechanically when gangway alarms unexpectedly go off (gangway suddenly reaches the operability limits).
7	Vessel does not supply required power to gangway continuously	17	The vessel operator (and gangway operator) does not check the available power before deploying the gangway. This can happen due to time pressure or inadequate training.
8	Vessel does not operate on DP class 2 or above	9	Vessel operator switches on DP2/3 and assumes it is on. However, DP2/3 is not activated due graceful faults or unavailable redundancy (e.g., insufficient power). Meanwhile, operator is busy with other tasks and does not notice.

283

284

285

286

287



288

Table 5: Analysed hazards and their hazard exposure (number of scenarios to hazard) for SOV operational stage: Interface with daughter crafts

#	Hazards	Number of scenarios	Example scenarios
1	Daughter craft (DC) develops swing or/and spinning motions during launch/recovery	78	Securing of DC is inadequately checked before launch/recovery as checking is inconvenient/inhibited due to design features.
2	Davit does not keep the daughter craft (DC) secured while launching/recovering	77	David operator (DO) mechanically switches off davit while launching/recovering DC (only relevant if DC securing can be lost upon switching off davit) as DO receives "abort" order from the bridge / other crew members.
3	Daughter craft (DC) develops excessive motions on water when being launched or about to be recovered	42	David operator (DO) starts launch of DC during excessive waves/current. This can happen when DO mechanically follows orders from an uninformed coordinating officer.
4	SOV interfaces with the daughter craft (DC) when SOV is unable to maintain position/heading (either automatically or manually)	38	SOV bridge operator does not wait until the DP settles before the DC launch can proceed. This can be because of time pressure, lack of training, or lack of feedback on the DP settlement status.
5	Davit violates the maximum launching speed of the daughter craft (DC), leading to damage caused by impact on water	25	David operator (DO) starts launch of DC when SOV is at speed or the SOV speed increases during the time of DC launch.
6	Technicians moving on the SOV ladder are unsecured (unprotected from falls, trips, and slips).	21	Despite significant motions (accelerations) of SOV, technician wrongly assumes it is ok to use just one hand while climbing the ladder.
7	While on the SOV or water, daughter craft (DC) abruptly shifts when technicians getting in/out DC or when DC crew is working on deck	17	Davit Operator (DO) retracts davit lines when DC is still being detached by DC crew. DO underestimates the time needed to detach DC and communicates it to DO before completing the task. This scenario can happen due to time pressure, or ignorance of environmental conditions that can prolong the task.
8	SOV interfaces with the daughter craft (DC) when either of ships experience excessive motions	16	Due to delayed forecast of env. conditions, the SOV bridge permits the DC launch in environmental conditions which quickly deteriorate during the launch.
9	Technicians are crossing from SOV ladder to/from the daughter craft (DC) when a gap between SOV and DC is too big or increasing (DC is not pushing against SOV).	12	Technician steps over without waiting (immediately) until DC starts pushing against SOV. This can happen because the crossing process is not coordinated by a safety officer or coordinated inadequately.
10	Horizontal centre-of-gravity of the daughter craft (DC) is significantly misaligned with respect to the lifting hook line.	11	Correctness of DC loading is inadequately checked before launching DC, because david operator (or other crew) does not have adequate skills/knowledge or checking was impeded.
11	Technicians are crossing from the SOV ladder to the daughter craft (DC) too slowly	7	Technician are unaware that crossing should be instant: unfamiliar with safety instructions or the crossing is inadequately coordinated.

289

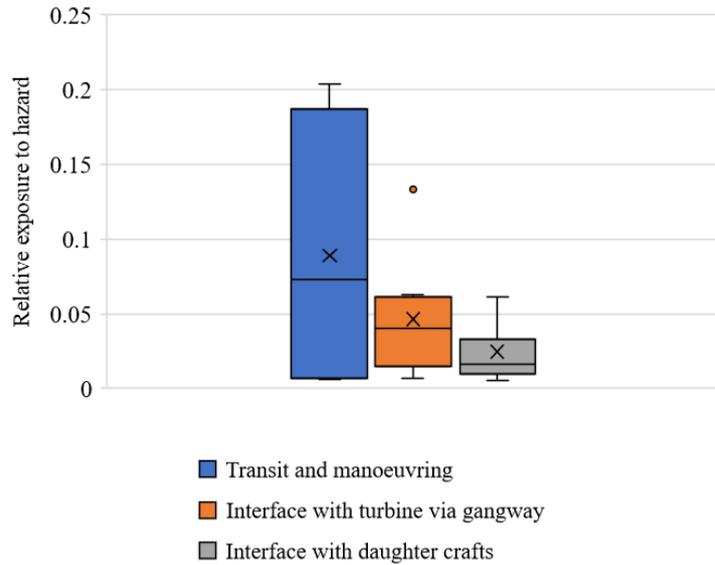


Figure 6: Box plot of relative exposures to hazards for the three stage of SOV operation

Table 6: Causal factors within hazardous scenarios across the stages of SOV operation

Stage of SOV operation:	Transit and manoeuvring	Interface with turbine via gangway	Interface with daughter craft
Inadequacies in:			
Control algorithm (responsibilities, skills, safety and O&M procedures)	X	X	X
Control actions (preventive and mitigative actions)		X	X
Feedback and/or process model (feedback signals, mental model of current situation, operational objectives and performance criteria)		X	X
Handing of external disturbances	X		
Internal and external communication	X	X	X

6 Discussion

The results of the hazard analysis bring awareness of what hazards can materialise during various stages of SOV operations, and which one of them are potentially more likely—judging by exposure to hazard—than others. The exposure is controlled by safety measures applied to hazardous scenarios (by eliminating or isolating the opportunities to hazards) or hazards



298 themselves (by restoring the system into a safe state). Safety measures are imposed by safety rules and regulations, as well as
299 safety practices.

300 We expect that the majority of the analysed hazards should be already covered, partly or completely, by existing safety rules
301 or regulations. For instance, the example scenario for the hazard in Table 4 “Vessel does not keep a minimum safe distance to
302 the turbine or its blades” is addressed by class rules which require the DP system to perform self-check routines and bring the
303 system to a stop if necessary (DNVGL, 2015). However, the presence of safety requirements does not automatically guarantee
304 they will be or can be followed in practice. Even for highly constrained task situations such as nuclear power operation,
305 modification of instructions is repeatedly found (Fujita, 1991) and the operators’ violations of rules appear to be quite rational,
306 given the actual work load and timing constraints (Rasmussen and Suedung, 2000). Thus, the violation of safety requirements
307 and O&M procedures when running and maintaining equipment is often necessary for maintaining safety per se, given
308 continuous changes to equipment (e.g., aging) and its operational context (Besnard and Hollnagel, 2014).

309 The partial coverage of hazards means that some hazardous scenarios, which are perfectly plausible, are not addressed by
310 regulations. This could be because they were not revealed during hazard analysis at the time, or were identified but considered
311 unlikely by expert opinion or calculations. It is known that expert opinions can be skewed by cognitive biases (Kahneman and
312 Klein, 2009; Skjong and Wentworth, 2001), whereas the probabilistic risk assessment is prone to precarious assumptions and
313 oversimplifications that can discard risky scenarios (Rae et al., 2012). Hence, the partial coverage should be expected, meaning
314 that the pertinent hazards can materialise via overlooked and discarded pathways.

315 There is also a historical perspective to the analysed hazards. Some of the hazardous scenarios have been featured in past
316 incidents and accidents. Thus, one can assume that appropriate measures were taken to avoid them in the future. However,
317 looking at the earlier discussed accident with Vos Stone (BSU, 2019), improving only operational procedures to avoid similar
318 scenario in the future may not be enough. Essentially, the investigation recommended to increase reliability of the operational
319 procedures. However, wider causal factors behind the deviation from these procedures were not analysed, given that people
320 do not err purposely but do their best and success most of the time (Dekker, 2014). The ignorance of underlying causes creates
321 the possibility for the new procedures to be equally violated and incidents to happen (Perrow, 1984). Additionally, recalling
322 the hierarchy of hazard control, organisational measures are less reliable than engineering controls (NASA, 1993; Books, 1997).
323 Therefore, to avoid this and similar scenario in the future, changes in vessel design could also be considered. For instance, a
324 notification (or interlock) on the control panel that would alarm against (or not allow) certain actions when the vessel is too
325 close to a turbine or any other object. The combined data from already used proximity sensors, measurements of environmental
326 forces and thrust could be used to trigger the safety function. This was actually one of the safety requirements that came out
327 of the hazard analysis of which results are presented in this paper.

328 Notably, the analysis focused only on hazards that can lead to incidents, i.e. unwanted and expected events. That is, we did not
329 consider the subsequent events that, if not adequately controlled, would lead to losses or accidents. The focus on incident



330 prevention well aligns with the business objective of keeping operation uninterrupted. If this can be achieved cost-effectively,
331 that would be the best investment in safety. A similar reasoning is used in other safety critical industries like rail, where
332 collision avoidance is the main safety focus (Holmberg, 2017, p. 49).

333
334 The question is how to apply the analysis results in practice? The following can be considered:

- 335 • The results can be used to update risk assessments, RAMS (or hazard logs) and training. The hazards should be
336 compared against the RAMS (or hazard logs) to verify if they are already prevented, or mitigated, by specific risk
337 controls (safety barriers). Regardless if the controls are in place, the hazards of high priority (high degree of exposure)
338 should be subjected to detailed risk assessments which considers specifics of the operations. Such specifics were
339 obviously not captured in this study.
- 340 • The results can be used to improve awareness of hazards through training. The hazards should be discussed with
341 technicians and SOV crew as part of safety briefings and other risk awareness activities.

342 **7 Conclusions**

343 The paper has presented the results of systemic hazard analysis of service offshore vessel's (SOV) operations. The work is
344 predicated on the premise that SOV operations are complex, while risk assessments are done piecemeal and potentially lacking
345 completeness when integrated into one system. This means that various hazards and their scenarios may have been overlooked
346 in earlier risk assessments. Therefore, this work aims to bring awareness about potentially overlooked hazards. The analysis
347 also offers a preliminary comparison of the analysed stages of SOV operation.

348 We have specifically analysed 23 operational hazards arising during the three stages of SOV operation: (1) transit and
349 manoeuvre within a windfarm and interfaces with (2) turbines and (3) daughter crafts. The hazards are mostly related to flawed
350 interactions between people and technology, as opposed to individual failures (e.g., human errors, random failures of
351 equipment) that are addressed conventionally. During the hazard analysis, we identified 1,270 hazardous scenarios that explain
352 how hazards can materialise. We used the hazardous scenarios to prioritise the hazards, assuming that the number of scenarios
353 reflects the degree of exposure to the hazard, indicating its likelihood.

354 In addition to the description and ranking of hazards for each stage of SOV operation, the study has found that all analysed
355 stages of operation are exposed to a similar number of hazardous scenarios, with the interface between SOV and turbine having
356 the largest exposure. The common causal factors behind these scenarios were flaws in communication and control
357 (responsibilities, skills, and procedures). However, when comparing median values of relative hazard exposures, the transit
358 and manoeuvring stage of operation has, potentially, the highest relative exposure to hazards. That is, approaching and
359 departing from turbines in auto and manual modes is potentially the riskiest stage of SOV operation (recall the case of Vos
360 Stone from Section 1). The lowest exposure is of the SOV interface with daughter crafts.



361 The paper has also discussed how the results can be used to update risk assessments, RAMS (or hazard logs) and training of
362 new and existing operations. Notably, the paper has pointed that many (but not all) of the analysed hazards and their scenarios
363 are likely already covered by existing rules and regulations. However, we did not investigate the actual degree of coverage,
364 leaving this task for future work.

365 **8 Acknowledgement**

366 The work described in this paper was produced in research project NEXUS (<https://www.nexus-project.eu>). The project has
367 received funding from the European Union's Horizon 2020 research and innovation programme under agreement No 774519.
368 The authors are thankful to their colleagues and project partners who directly and indirectly contributed to the presented work.
369 Particular thanks go to Kongsberg Maritime (former Rolls Royce Marine) for sharing design information and providing
370 valuable feedback. The sponsorship of the Maritime Research Centre by DNV GL and Royal Caribbean Cruises Ltd is also
371 much appreciated.

372 **9 References**

- 373 Ahsan, D., Pedersen, S., Bang Nielsen, M. R., and Ovesen, J.: Why does the offshore wind industry need standardized HSE
374 management systems? An evidence from Denmark, *Renewable Energy*, 136, 691-700,
375 <https://doi.org/10.1016/j.renene.2019.01.034>, 2019.
- 376 Bahr, N. J.: *System safety engineering and risk assessment: a practical approach*, CRC Press, 2014.
- 377 Besnard, D., and Hollnagel, E.: I want to believe: some myths about the management of industrial safety, *Cognition,*
378 *Technology & Work*, 16, 13-23, 10.1007/s10111-012-0237-4, 2014.
- 379 Books, H.: *Successful health and safety management*, HS (G), 1997.
- 380 Bromby, M.: Ensuring compliance with the IMO's Code and its place within quality management systems, *Conference on*
381 *Quality Management Systems in Shipping*, London, 27-28 March, 1995.
- 382 BSU: Allision between VOS STONE and a wind turbine on 10 April 2018 in the Baltic Sea. Investigation report 118/18,
383 Bundesstelle fuer Seeunfalluntersuchung, 2019.
- 384 Checkland, P.: *Systems thinking, systems practice*, J. Wiley, 1981.
- 385 Dekker, S.: *The field guide to understanding human error*, Ashgate Publishing, Ltd., 2014.
- 386 Dong, Y., Vinnem, J. E., and Utne, I. B.: Improving safety of DP operations: learning from accidents and incidents during
387 offshore loading operations, *EURO Journal on Decision Processes*, 5, 5-40, 10.1007/s40070-017-0072-1, 2017.
- 388 Fujita, Y.: What shapes operator performance, *JAERI Human Factors Meeting*, Tokyo, 1991,
- 389 Grace, L., and Lee, W.-H.: *Cost Effective Offshore Concepts-Compact Semi-Submersible-A New Concept of Windfarm*
390 *Service Operations Vessel*, *Offshore Technology Conference*, 2017,
- 391 *GWEC: Global Wind Report 2018*, Global Wind Energy Council (GWEC) Brussels, 2019.
- 392 Hollnagel, E.: *Safety-I and Safety-II: the past and future of safety management*, CRC Press, 2018.
- 393 Holmberg, J. E.: *Defense-in-Depth*, *Handbook of Safety Principles*, 42-62, 2017.
- 394 IMCA: *Serious DP diving incident*. IMCA Safety Flash 02/13, 2013.
- 395 IMCA: *Guidance on the Transfer of Personnel to and from Offshore Vessels and Structures (IMCA SEL 025 Rev. 1, IMCA*
396 *M 202 Rev. 1)*, 2014.
- 397 Johnson, C. W.: What are emergent properties and how do they affect the engineering of complex systems?, *Reliability*
398 *Engineering and System Safety*, 91, 1475-1481, 2006.
- 399 Kahneman, D., and Klein, G.: Conditions for intuitive expertise: a failure to disagree, *American psychologist*, 64, 515, 2009.
- 400 Kristiansen, S.: *Maritime transportation: safety management and risk analysis*, 2005.
- 401 Leveson, N.: *White paper on approaches to safety engineering*, Disponible en ligne sur le site de l'auteur (sunnyday.mit.
402 edu/caib/concepts.pdf), 2003.



- 403 Leveson, N.: A new accident model for engineering safer systems, *Safety science*, 42, 237-270, 2004.
404 Leveson, N.: *Engineering a safer world: Systems thinking applied to safety*, MIT press, 2011a.
405 Leveson, N.: A systems approach to risk management through leading safety indicators, *Reliability Engineering & System*
406 *Safety*, 136, 17-34, 2015.
407 Leveson, N., and Thomas, J.: *STPA Handbook*, MIT, 2018.
408 Leveson, N. G.: System safety in computer-controlled automotive systems, SAE Technical Paper0148-7191, 2000.
409 Leveson, N. G.: Applying systems thinking to analyze and learn from events, *Safety science*, 49, 55-64, 2011b.
410 Li, Y., and Guldenmund, F. W.: Safety management systems: A broad overview of the literature, *Safety Science*, 103, 94-
411 123, 2018.
412 Meadows, D. H.: *Thinking in systems: A primer*, chelsea green publishing, 2008.
413 NASA: Safety Policy and Requirements Document. NHB 1700.1 (V1-B), NASA, Washington, DC, 1993.
414 Presencia, C. E., and Shafiee, M.: Risk analysis of maintenance ship collisions with offshore wind turbines, *International*
415 *Journal of Sustainable Energy*, 37, 576-596, 2018.
416 Rae, A., McDermid, J., and Alexander, R.: The science and superstition of quantitative risk assessment, *Journal of Systems*
417 *Safety*, 48, 28, 2012.
418 Rasmussen, J.: Risk management in a dynamic society: a modelling problem, *Safety science*, 27, 183-213, 1997.
419 Rasmussen, J., and Suedung, I.: *Proactive risk management in a dynamic society*, Swedish Rescue Services Agency, 2000.
420 Rausand, M.: *Risk assessment: theory, methods, and applications*, John Wiley & Sons, 2013.
421 Rokseth, B., Utne, I. B., and Vinnem, J. E.: A systems approach to risk analysis of maritime operations, *Proceedings of the*
422 *Institution of Mechanical Engineers, Part O: Journal of Risk and Reliability*, 231, 53-68, 2017.
423 Roland, H. E., and Moriarty, B.: *System safety engineering and management*, John Wiley & Sons, 1990.
424 Rollenhagen, C.: *MTO—an Introduction; the Relationship Between Humans, Technology and Organization*,
425 *Utbildningshuset, Lund, Sweden*, 1997.
426 Sarter, N. B., Woods, D. D., and Billings, C. E.: Automation surprises, *Handbook of human factors and ergonomics*, 2,
427 1926-1943, 1997.
428 SgurrEnergy: *Offshore Wind and Marine Energy Health and Safety Guidelines*, RenewableUK, 2014.
429 Skjong, R., and Wentworth, B. H.: Expert judgment and risk perception, *The Eleventh International Offshore and Polar*
430 *Engineering Conference*, 2001,
431 Sklet, S.: Safety barriers: Definition, classification, and performance, *Journal of Loss Prevention in the Process Industries*,
432 19, 494-506, <https://doi.org/10.1016/j.jlp.2005.12.004>, 2006.
433 Sulaman, S. M., Beer, A., Felderer, M., and Höst, M.: Comparison of the FMEA and STPA safety analysis methods—a case
434 study, *Software Quality Journal*, 27, 349-387, 2019.
435 Twomey, B.: Making the case for safe autonomous marine cyber physical systems, *Marine Electrical and Control Sytems*
436 *Safety Conference (MECSS)*, Glasgow, 23-23 November, 2017.
437 Vamunu, B., Necci, A., Tarantola, S., and Krausmann, E.: *Offshore Risk Assessment. An overview of methods and tools*,
438 *European Commission*, 2016.
439 Van, L. U.: *Risk analysis methods within offshore wind energy*, Institutt for produksjons-og kvalitetsteknikk, 2012.