



NEPTUNE VESSEL OPERATING SYSTEM

SAFETY MANAGEMENT SYSTEM

SMS
D04

D04 APPRAISALS OF SHIPBOARD PERSONNEL

04.1 General

Regular appraisals of the performance of shipboard personnel are important to ensure that training efforts and resources are engaged in the right areas and to ensure that those who are performing well are rewarded appropriately and developed for promotion. The company is also cognizant of the fact that the ship management team may have limited day to day contact with most personnel onboard and so it is important that performance information is routinely shared with shore personnel.

Recognising this, the company has established a program of appraisals, both routine and additional appraisals which is described in this section. Responsibility for managing the program onboard rests with the Master.

In the event that the Master has any doubts or concerns, they should seek advice from the ship management team.

04.2 Form G05 Crew Appraisal Report

An appraisal system can only be effective if the same things are compared from appraisal to appraisal so that a consistent picture of performance can be established across the ship and the fleet. To this end, the company has issued form **G05 Crew Appraisal Report** which is to be used for all appraisals.

This form consists of a standard set of “key indicators” against which all crew members are to be assessed, indicators which apply only to specific ranks or departments and a section for open comments on the performance of the seafarer.

The open comments sections are to be completed as fully and completely as possible. These are important as they provide context for the ratings given in earlier sections of the form.

The form is to be signed by the person completing the appraisal and a copy must be forwarded to the ship management team.

04.3 Electronic Appraisal Reports

Where the ship has access to the company electronic crew record, and where an appraisal system is set up in that system, appraisals may be completed in that system alone unless requested in a different format by the ship management team.

04.4 Routine Appraisals

Routine appraisals are to be completed quarterly for all crew members currently onboard the vessel. In completing the appraisal the appraiser should have regard to the performance of the crew member in question **over the past three month period**. If the crew member joined the vessel during that period, then the appraiser should consider their performance since the time they joined.

Routine appraisals do not need to be completed for a crew member who has been onboard the vessel for less than 14 days at the time the appraisal becomes due.

04.5 Additional Appraisals



NEPTUNE VESSEL OPERATING SYSTEM

SAFETY MANAGEMENT SYSTEM

SMS
D04

The appraisal form itself lists circumstances in which completing an additional appraisal should be considered by the Master. In most circumstances the company considers that these are discretionary, however in a number of circumstances an appraisal **must** be completed:

- When recommending that a crew member be dismissed
- After a crew member is signed off on medical grounds
- If the employment of the crew member is instantly terminated
- In the event of an incident or accident occurring involving the crew member

An appraisal should be completed at any other time that the appraiser considers necessary.

04.6 The Appraiser

While the Master has overall responsibility for the management of the appraisal system onboard the ship, the Master will not complete all of the appraisals for all personnel. Each crew member will be assigned an “appraiser” as follows:

Appraisee	Appraiser
Master	Chief Engineer
Chief Engineer	Master
Deck Officers	Master
Engineering Officers	Chief Engineer
Electricians	Chief Engineer
Deck Ratings	Master
Engine Ratings	Chief Engineer

The appraiser is responsible for completing the required routine and additional appraisals for the personnel assigned to them prior to the due date of the appraisal.

The appraiser may complete an additional appraisal for any of their appraisee’s at any time as they see fit.

All completed appraisals are to be forwarded in the first instance to the Master who will act on them and ensure they are appropriately forwarded.

04.7 Continuous Feedback

An appraisal should not contain any surprises for either the crew member being appraised or for the Master or the ship management team. The company requires that all senior officers provide their crew with continuous feedback on their performance at all times.

By way of example, a crew member who has been led to believe that their performance has been satisfactory at all times should not find themselves appraised as “unsatisfactory” without prior warning.

Remember:

- A routine appraisal is a report on the aggregate performance of the crew member during the three month appraisal period.
- An additional appraisal is a “snapshot” report on performance at a given moment in time.

04.8 Confidentiality

Appraisals are confidential. They contain sensitive information on the professional performance of an individual and must be treated with the utmost care. The contents of an appraisal should only be revealed to those for whom it is absolutely necessary and then only if certain they understand the obligation of confidentiality that is placed on them.



NEPTUNE VESSEL OPERATING SYSTEM

SAFETY MANAGEMENT SYSTEM

SMS
D04

As a matter of course, appraisal information is only to be released to the following:

- The crew member who has been appraised
- The Master and/or Chief Engineer
- The Ship Management Team
- The Fleet Office

04.9 Recommendations

All recommendations made by appraisers must be fair, supported by good reason and made in good faith. The ship management team may ask an appraiser to provide further reasons for their recommendation if they do not believe sufficient evidence has been provided in the first instance.

1. Recommendations Not to Re-Employ

Any recommendation not to re-employ a crew member must be backed up with sufficient justification on the appraisal form and any other evidence that makes to case to limit re-employment.

Such recommendations are to be forwarded to the ship management team who must review the appraisal with the Superintendent responsible for the manning of the vessel and:

- Investigate and confirm/amend the findings of the appraisal in consultation with the vessel
- Consider all supporting evidence provided with the appraisal and recommendation
- Discuss, in light of the confirmed/amended appraisal, the recommendation that has been made.
- Decide, based on the evidence available, whether to uphold the recommendation

If the recommendation not to re-employ the crew member is upheld, the electronic crew record is to be updated accordingly.