Peel Ports Group

PORT MARINE SAFETY CODE

Marine Safety Management System

Group

Policy

Manual

Standard System

Procedures

Volume 1
PEEL PORTS GROUP LIMITED

PMSC

Marine Safety Management System

Section 1

POLICY DOCUMENT
**MSMS POLICY DOCUMENT: DISTRIBUTION LIST**

A controlled copy of this section is maintained on the SharePoint Intranet, click [HERE](#) to view or download the latest copy.

The Peel Ports Group Harbour Master will advise the following parties of any changes to the Policy Document by email.

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Glossary of Terms
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<td>Clydeport Operations Limited</td>
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<td>Port Marine Safety Code</td>
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<td>Group Harbour Master</td>
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<td>Group Marine Services Manager</td>
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<td>Statutory Harbour authority</td>
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<td>GTGP</td>
<td>Guide to Good Practice</td>
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<td>HIG</td>
<td>Hazard Identification Guide</td>
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Designated Person (PMSM)

Peel Ports Group

The Peel Ports Group Limited companies ("the Peel Ports Group") has appointed an independent Designated Person to monitor compliance with the Port Marine Safety Code. The appointment applies to the following Harbour Authorities within the Peel Ports Group: Clydeport Operations Limited, Androssan Harbour Company Limited, The Mersey Docks and Harbour Company Limited, Birkenhead Port Limited, The Manchester Ship Canal Company Limited, Heysham Port Limited, the Port of Sheerness Limited and Great Yarmouth Port Company Ltd. The Designated Person (PMSM) for the Peel Ports Group is:

Captain Trevor Auld of ABP Marine Environmental Research Ltd.

All port and harbour users, including Harbour Authority staff have direct access to the Designated Person. Harbour Authority staff must direct concerns regarding marine safety within Peel Ports Group, in the first instance, to their line manager for the attention of the Group Harbour Master. If additional, independent advice regarding the matter is required, any reasonable concerns can be brought to the attention of the Designated Person by any of the following methods:

Designated Person Contact Details:

By email: peel@abpmr.co.uk

By Post: Designated Person (PMSM) 'Peel Ports'
ABP Marine Environmental Research Ltd
Quayside Suite, Medina Chambers
Town Quay
SOUTHAMPTON
Hampshire
SO14 2AQ

By Telephone: 023 8071 1892, or 023 8071 1864

The Designated Person and the 'Peel Ports' team at ABP Marine Environmental Research Ltd:

- have a working knowledge of the Port Marine Safety Code, the Guide to Good Practice for Port Marine Operations and accompanying Competency Standards;
- provide independent assurance to the Duty Holder that the safety management system required by the Port Marine Safety Code is working effectively; and
- will, at regular intervals, audit the Harbour Authority’s compliance with the Code.

The Designated Person and ABP Marine Environmental Research Ltd have direct access to the Duty Holder whenever the Designated Person deems this necessary.
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C. Peel Ports Group Marine VTS / LPS Policy 
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G. Summary of MSMS Committees and Meetings 
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1. INTRODUCTION TO MSMS

1.1 Peel Ports Group Limited
Peel Ports is a unique network of strategically situated ports, terminals, hubs, shipping lines and state-of-the-art services and is already established as Britain's second largest group of ports.

1.1.1 Peel Ports – Clydeport. Clydeport Operations Ltd (COL) is the Statutory Harbour Authority for an area approx. 450 Sq. miles including the river and firth of Clyde including Sea Lochs. The area features the key facilities at Glasgow, Greenock, and Hunterston. Within this area, there are a number of other SHA’s and areas under the authority of the Queen’s Harbour Master. Additionally, COL acts as Agents for:

1.1.2 Peel Ports – Ardrossan. COL oversees on behalf of Ardrossan Harbour Company Limited operation of the Port of Ardrossan. The port forms part of a lifeline ferry service to the Scottish Isles.

1.1.3 Peel Ports – Great Yarmouth The Port of Great Yarmouth is the largest port in Norfolk. Peel Ports Great Yarmouth are the Agents for Great Yarmouth Port Authority who are the statutory and Competent Harbour Authority for the Port of Great Yarmouth. The Port has two distinct areas; the river Port with berths and facilities on the River Yare in support of the oil and gas industry and the Outer Harbour covering other commercial activity.

1.1.4 Peel Ports – Heysham. The Port of Heysham is located 50 miles north of the Port of Liverpool on the southern end of Morecambe Bay in Lancashire. Heysham Port Limited is the Statutory and Competent Harbour Authority for Heysham Harbour and the Port of Heysham. The Port has a diverse range of services catering for a number of products & markets, including links between the UK and Ireland, a supply base for the oil and gas industry, and general cargo handling.

1.1.5 Peel Ports – Liverpool. One of the largest ports in the UK, the port is located on both banks of the River Mersey. The Mersey Docks and Harbour Company Limited is the Statutory Harbour Authority for the Port of Liverpool and Birkenhead Docks, and is responsible for the
management of navigational safety and protection of the Marine Environment on the River Mersey between Warrington Bridge and the outer port limits.

1.1.5 Peel Ports – Manchester. The Manchester Ship Canal Company Limited is the Statutory Harbour Authority for the Harbour and Port of Manchester. The Manchester Ship Canal was one of the last major canals to be constructed in Britain. It stretches for 36 miles from Eastham, on the southern shore of the Mersey estuary 6 miles from Liverpool, almost to the center of Manchester. There are a further 4 sets of locks above Eastham on the journey to Manchester. Also at these locks are a number of sluices which pass water down the canal. These are also controlled and monitored from the control room at Eastham.

1.1.6 Peel Ports – London Medway The Port of Sheerness Limited is the Statutory Harbour Authority for a 27 mile stretch of the River Medway, from the Medway Buoy to Allington Lock, including the River Swale. River movements are monitored and controlled by a Vessel Traffic Service whose role is to facilitate the safety of all river users on the Medway from the Q-Max LNG vessels to leisure craft.

1.2 Port Activities

1.2.1 Peel Ports – Clydeport. Clydeport consists of three port facilities – Hunterston, Greenock and King George V Dock. They handle more than 12 million tonnes of cargo a year including coal, animal feed, fresh produce and scrap metal. In addition to the core Peel Ports facilities Clydeport also support a range of marine services which include oil products into Rothesay Dock, Oil (products and Crude) to Finnart, Inchgreen dry dock in Port Glasgow, James Watt Dock at Greenock, deep-water anchorage at Loch Striven, construction and dry dock facilities at Hunterston. Clydeport has over 14000 ferry moves a month.

1.2.2 Peel Ports – Ardrossan. Ardrossan provides a roll-on roll-off ferry service to the Scottish Isles, provided by Caledonian MacBrayne, with over 500 ferry moves a month. In addition there is a marina development within the port.
1.2.3 Peel Ports – Great Yarmouth. Great Yarmouth Port is strategically located to serve the Oil and Gas fields of the southern North Sea and the existing and planned Offshore Wind development off the UK East Coast, and offers the shortest North Sea crossing between Great Britain and continental Europe.

The port has established itself in the renewable and offshore energy sectors, with the combination of modern deep sea facilities in the outer harbour for larger offshore vessels and long established facilities for offshore operations and maintenance in the river port.

Also, it has a long tradition as a general and project cargo port handling a wide range of cargoes including aggregates, cement, grain, fertilisers, forest products, dry and liquid bulks, pipeline and onshore wind farm equipment.

1.2.4 Peel Ports – Heysham. Heysham Port in Lancashire serves as a major focal point in trade between Britain and Ireland and serves as a ferry terminal for sailings to Northern Ireland, the Isle of Man and the Republic of Ireland and is a major offshore supply base for one of the largest gas fields in the UK. The Port has three berths for roll-on roll-off ferries with daily services to Dublin, Belfast and Douglas. Lancaster and the M6 lies five miles away and a rail link serves the port for passengers and cargo including vehicle handling where the Port has space for 1000 trailers and 550 cars. The Port has two quays available for new port users which includes facilities for aggregate handling. The Port is also an important supply base for several major energy companies for oil and Gas fields in the Irish Sea.

1.2.5 Peel Ports – Liverpool. The Port of Liverpool is one of the busiest and most diverse ports in the UK handling over 30 million tonnes of cargo every year, Britain’s third busiest estuary, handles 16,000 shipping movements annually. The Mersey Docks and Harbour Company Limited owns and operates the Port of Liverpool’s enclosed dock systems which are accessed by river entrances at Gladstone and Langton Locks in Liverpool and Alfred Lock in Birkenhead.

1.2.6 Peel Ports – Manchester. The Harbour and Port of Manchester currently handles 7m (million) tonnes of cargo per annum. The ports cargoes include bulk liquids, dry bulks, containers and scrap. Shipping movements along the entire length of the Manchester Ship Canal are managed by Eastham Radio.
1.2.7 Peel Ports – London Medway. The 27 navigable miles of the River Medway in Kent provide a gateway to the Nation’s capital. Its diverse list of cargoes include cars, forest products, liquefied natural gas, containers and steel. The Port of Sheerness is ideally located to provide a base for the North Sea offshore energy industry.

1.3 The MSMS Policy Document

1.3.1 This document describes the Peel Ports Group Limited Marine Safety Management System (MSMS) for marine operations in the Ports of Clydeport, Ardrossan, Great Yarmouth, Heysham, Liverpool, Manchester and London Medway. It has been compiled in line with the PMSC and the Guide to Good Practice on Port Marine Operations.

1.3.2 Peel Ports’ personnel and others as listed below, are responsible for ensuring that the principles set out in this MSMS are complied with in all areas of the Peel Ports marine operations. Peel Ports integrate long-term contractors into Peel Ports MSMS by ensuring through the audit process that their respective safety management systems complement Peel Ports’ MSMS. These long-term contractors include:

- Aids to Navigation maintenance contractors;
- Boatmen and line-handlers;
- Dredging contractors;
- Fernleaf Marine Services;
- Hydrographic survey contractors;
- Liverpool Pilotage Services Limited;
- Manchester Pilot Services Limited;
- Briggs Marine Services Limited;
- Estuary Service Limited;
- Harbour Towage companies.

1.3.3 In addition terminal operators and other partner organisations regularly meet to share marine safety issues. The current applicability of the MSMS is limited to marine operations within the limits of the Peel Ports Harbour Area’s of jurisdiction.
1.4 The MSMS and its Objectives

1.4.1 The MSMS is a structured set of controls and procedures for managing safety in marine operations, to ensure and to demonstrate that the Peel Ports objectives are met. The objectives of the MSMS are:

- To provide the principles and structured guidance for managing marine operational risks within the Peel Ports’ jurisdictional areas;
- To provide an essential reference for staff in planning and implementing operational safety management, assisting them to carry-out critical activities in a manner which is as safe and protective of the environment as is reasonably practicable;
- To demonstrate to stakeholders that process controls are in place to ensure that hazards and risks to safety and environment are systematically identified, assessed and controlled and that recovery measures are put in place in case control is lost;
- To define performance standards for managing marine safety, which are assessed and continually improved by performance monitoring, audit and review;
- To ensure operation within a quality management framework.

1.5 Structure of MSMS

1.5.1 The MSMS is structured in ten sections:

Volume 1

Section 1: The MSMS Policy Document – describes all elements of the management system.

Section 2: MSMS Manual – details the documentation and describes the safety critical activities that are involved in managing hazards in Peel Ports.

Section 3: Standard System Procedures – the set of procedures which describe how the MSMS itself functions.

Volume 2

Section 4: Standard Operational Procedures – the set of procedures which describe how a marine operation is conducted.

Section 5: Management Planner – the programme of objectives and targets for managing the MSMS.
Section 6: Registers – lists of all documents that are part of the MSMS including dates of issue and review.

Section 7: Forms – the forms which are required to be completed as part of a procedure or control.

Section 8: Records – completed forms.

Section 9: Training – details of the training which is required to be completed by Peel Ports Marine staff.

Section 10: Audits – internal and external checks on the operation of the MSMS.

1.6 Duty Holder, Custody and Maintenance of the MSMS

1.6.1 The Duty Holder of the MSMS is the Port Director for each individual Statutory Harbour Authority (SHA) and as Agents for the Great Yarmouth Port Authority. The SHA places the following responsibility on the Port Director:

- To issue the Policy Statement on Navigational Safety under their signature;
- To ensure leadership and demonstrate commitment to the safe navigation by overseeing the implementation of the Navigation Safety Policy;
- To provide resources and organisation to put the Policy Statement on Navigation Safety into effect.
- To deliver marine operations in line with the Group Marine Safety Management System.

1.6.2 The custodian of the MSMS is the Group Harbour Master (GHM) who reports on safety matters directly to the Deputy Chief Operating Officer (DCOO). The GHM’s responsibilities are as follows:

- To issue the MSMS documents and any revisions;
- Ensuring implementation by docks/ports, pilots, tugs and other service providers;
- Advising DCOO when deficiencies or potential enhancements are identified;
- Initiating periodic revision of the MSMS when required;
- Establishing that the marine safety management objectives are understood;
- Reporting on performance of the MSMS, audits and corrective actions to the DCOO.

1.6.3 Independent assurance is also provided to the Duty Holder by the Designated Person, see this Policy Document section 4.8.
1.7 Improvement and Revision Strategy

1.7.1 The MSMS manual is to be updated when any major change occurs affecting the MSMS. Implementation of these changes is undertaken by means of the Management Planner containing the following items which is a standing item at Marine Management Team meetings:

- Enhancement Plan;
- Safety Plan and Safety Performance.

2.0 LEADERSHIP AND COMMITMENT

2.1 General

2.1.1 Peel Ports Group Limited is committed to safety as stated in the Policy Statement on Navigational Safety, which is required to be followed by all those involved in marine operations within their Statutory Harbours.

2.1.2 The Marine Management Team comprising the Group Harbour Master, Senior Manager – Marine Operations (Clydeport), Senior Manager – Marine Operations (Great Yarmouth), Senior Manager – Marine Operations (London Medway), Senior Manager – Marine Operations (Mersey), will demonstrate commitment to safety by providing the necessary resources to develop, operate and maintain an effective MSMS. Marine operations will be conducted in line with this MSMS.

2.1.3 Management will display visible personal commitment, through motivation, by example and active participation in external and internal safety initiatives and by:

- Creating a culture for acceptance of responsibility and motivation to improve safety performance;
- Questioning proposals to verify that safety factors have been properly evaluated;
- Initiating corrective action to rectify identified defects and following up to completion.

2.2 Marine Management Team Meeting

2.2.1 The Marine Management Team Meeting is committed, as part of its remit, to developing the culture of marine safety across Peel Ports Group Limited. This culture must encourage:

- Employees to believe in continuous improvement of marine safety performance through implementation of the MSMS;
- Participation and involvement in MSMS by all marine employees and contractors;
Marine Safety Management System

- Individuals to accept responsibility and accountability for marine safety performance;
- The sharing of best practice.

2.2.2 Measures to achieve this culture include:
- Promote and continuously review the MSMS to influence employee and contractor attitudes and behaviors to improve marine safety performance;
- Developing marine safety culture through leadership and commitment;
- Promoting positive recognition and encouragement of individual and group adherence to the MSMS.

3.0 POLICIES AND STRATEGIC OBJECTIVES

3.1 Corporate Health and Safety Policy
3.1.1 Peel Ports Corporate Health and Safety Policy is detailed in the Appendices. The policy considers that the best interests of the Group and of its employees are served by a positive approach to Health and Safety by management and employees.

3.2 Group Marine Navigational Safety Policy
3.2.1 The Peel Ports’ Policy Statement on Navigational Safety is detailed in the Appendices. The policy is available to all marine staff on the intranet SharePoint site and is readily available to contractors and third parties on the company’s website.

3.3 Strategic Marine Safety Objectives
3.3.1 Peel Ports Group Limited has the following strategic safety objectives:
- To identify and assess hazards to be encountered during all Peel Ports’ marine activities with respect to Likelihood and Severity (= Risk);
- To eliminate the major risks wherever possible, and for risks that cannot be eliminated, control and mitigation measures will be put in place to reduce the risks to a level that is demonstrated to be As Low As Reasonably Practicable (ALARP).

3.4 Regulations and Guidelines
3.4.1 Peel Ports are committed to carrying out their marine activities in compliance with the Port Marine Safety Code, and other applicable related safety regulations.
3.4.2 Peel Ports will ensure that all those delegated with the duty to enforce harbour Authority powers understand the legislation associated with those powers through the maintenance of a legislation register in the Marine Library. It is acknowledged that each harbour Authority will have different powers, as detailed within its local legislation.

3.5 Group Enforcement Policy
3.5.1 The Peel Ports Enforcement Policy is detailed in the Appendices. This Enforcement Policy sets out the general principles, which Peel Ports will follow when taking marine enforcement decisions. This Policy applies to all marine enforcement action taken by Peel Ports. Enforcement in this context means any action taken to ensure compliance with legislation, byelaws or regulations. Peel Ports will take action to protect, conserve or enhance the environment and safety and prevent or punish breaches of legislation, byelaws or regulations.

3.6 Group Environment Policy
3.6.1 The Peel Ports Marine Environment Policy is detailed in the Appendices. This Policy states that Peel Ports is committed to fulfilling environmental duties as required by relevant legislation amended from time to time.

4.0 ORGANISATION, RESPONSIBILITIES, RESOURCES, STANDARDS AND DOCUMENTATION
4.1 Management Structure
4.1.1 The respective Port Directors will provide the resources and the organisation to put the safety and marine environment policies into effect through the Group Harbour Master. The Group Harbour Master has operational responsibility for all matters related to marine safety in Peel Ports, and is responsible for implementing, reviewing, providing resources and complying with the marine policies.

4.1.2 The Group Harbour Master has direct access to the Chief Operating Officer in order to discuss marine safety and environmental matters. The Senior Manager – Marine Operations (Clydeport), Senior Manager – Marine Operations (Great Yarmouth), Senior Manager – Marine
Operations (London Medway), and the Senior Manager - Marine Operations (Mersey) report on strategic marine operational matters both statutory and non-statutory to the Group Harbour Master and on all other marine operations matters to their respective Port Directors.

4.2 General
4.2.1 It is the responsibility of each individual to follow and enforce safety procedures, to stop any activity that he or she may consider to be a marine risk. All individuals will report unsafe conditions to the Marine Management Team, and any activities which have been stopped for safety reasons.

4.3 Duty Holder
4.3.1 The respective Port Directors are the Duty Holder for their port or group of ports, and shall discharge the function of the Duty Holder as defined in the relevant sections of the PMSC. (Sections: 1.6 – 1.10). Marine safety is a standing agenda item on Peel Ports Executive Board meetings.

4.4 Deputy Chief Operating Officer (DCOO)
4.4.1 The main safety responsibilities of the DCOO are to:

- Ensure that the Group Harbour Master implements the MSMS and that regular assessments of its performance are made;
- Embody the commitment of Peel Ports to its Group Navigational Safety Policy and goals, using their leadership role and suitable public occasions to reinforce this message both internally and externally to Peel Ports.

4.5 Group Harbour Master (GHM)
4.5.1 The GHM co-ordinates the statutory compliance of all Peel Group Ports including safety of navigation, pilotage, conservancy, pollution prevention and contingency. The GHM has the following safety responsibilities:

- Marine operations related safety issues;
- Formal Risk Assessments are in place and carry out risk assessments as necessary;
• Represent Peel Ports on safety matters in dealings with external bodies;
• Provide assurance that risks have been identified and assessed, and that effective risk control measures are in place;
• Set performance targets for the Marine Division;
• Communication of necessary information throughout the organisation;
• Competence of marine staff;
• Monitor the safety performance of operations;
• Conservancy, i.e. aids to navigation and hydrographic surveying;
• Marine Environmental compliance and duties;
• Review the performance of the MSMS to ensure its continued suitability and effectiveness;
• Report regularly to the COO on the effectiveness of the MSMS and planned improvements.
4.6  Port Directors (Clydeport, Great Yarmouth, London Medway, Mersey)

4.6.1 Port Directors are accountable for all safety within their respective port cluster, manage all non-Statutory marine aspects of port operations, and have the following responsibilities:

- Act as Duty Holder for the MSMS (PMSC Sections 1.6 – 1.10);
- Provide resources and finance for implementation of the MSMS in their respective port;
- Ensure efficient and safe interface between on one side, shore based operations and stevedores, and on the other side, the marine operations and vessels;
- Deliver marine operations through the application of the MSMS;
- The Duty Holder (s) have undergone specific PMSC training and are supported by the role of the GHM and the Designated Person in providing subject matter expert knowledge.

4.7  Senior Manager Marine Operations (Clydeport, Great Yarmouth, London Medway, Mersey)

4.7.1 The Senior Manager Marine Operations are responsible for the delivery of statutory compliance of their respective ports and they have full delegated statutory powers drawn down from the Group Harbour Master. The Senior Marine Managers manages navigation within the port limits, ensures safe functioning of port marine facilities (berths, docks, navigational equipment, etc.) monitors Harbour craft for statutory compliance, enforces port regulations, etc. In addition the Senior Manager Marine Operations have the following related responsibilities:

- Developing high levels of marine safety awareness amongst the staff and contractors, through encouraging workforce involvement and training;
- Setting marine safety targets and cascading these to all staff for their accountabilities in the MSMS;
- Co-ordination and monitoring of the implementation of the MSMS;
- Advises on marine operations related safety issues within their port;
- Provides assurance that risks have been identified and assessed, and that effective risk control measures are in place;
- Participates in the Marine Management Team;
• Facilitates and promotes if necessary the ports participation in formal PMSC Local Liaison Committee (with port users) and promotes co-operation between Quayside Personnel, Pilots, Tug Masters, Boatmen, Pilot Vessel Crews and Port Users;
• Initiates corrective action with their area of responsibility (see SSP002);
• Local service requirement for conservancy functions such as hydrography and aids to navigation and marine services such as dredging and asset maintenance;
• Ensures the communication of necessary information throughout the port;
• Ensures the competence of marine department personnel;
• Monitors safety performance in the port;
• Maintains PRIMS;
• Manages marine assets;
• Sets the required levels of maintenance dredging;
• Delivers safe berths;
• Disseminate lessons learned from accidents or events;
• Reviews the MSMS effectiveness in their port, suggesting improvements where necessary and setting new targets;
• Ensures safety induction training of new, promoted or transferred staff.

4.8 Designated Person

4.8.1 The Designated Person is responsible for auditing the MSMS and their duties include:
• Reporting to the Port Directors and Group Harbour Master on marine safety matters;
• Annually review the effectiveness of the MSMS and the port’s compliance with the PMSC (see Volume 2, Section 10) and provide independent assurance to the Duty Holder, that the MSMS is working effectively;
• Make quarterly MSMS monitoring reports;
• Make annual presentations of the review to the Duty Holder;
• Carry out the formal 3 yearly compliance audits;
• Carry out any other safely related assurance as the Duty Holders require.
4.9 Group Marine Services Manager

4.9.1 The Group Marine Services Manager has specific management responsibilities in support of Group ports’ MSMS compliance. They will include:

- Management of the contracted DP’s service provision;
- Contract management of the conservancy functions such as hydrography and aids to navigation and marine services such as dredging and marine asset disposal;
- Management of additional Group Marine functions as they develop in support of MSMS compliance, and other specific Group marine related projects as directed by the Group Harbour Master;
- Manage the delivery of the internal MSMS audit schedule and to carry out audits alongside other auditors within the Group;
- Chair the Group Training Competency and Standards Working Group;
- Delivery of processes and a communications framework to enable Group marine services to be delivered to Group ports in support of marine operations and conservancy.

4.10 Pilots

4.10.1 The Pilots are responsible for the safety of pilotage and compliance with the MSMS. The Pilots have the following safety responsibilities:

- Advising on pilotage safety issues;
- Raising pilotage safety issues on the Pilotage Management Committee;
- Setting performance indicators for pilotage (in agreement with Senior Marine Managers);

E.g. \[
\text{Number of Pilot Accidents} \times 1000 \div \text{Number of Pilotage Acts}
\]

- Monitoring safety performance during pilotage when required;
- Reviewing the MSMS to ensure its suitability and effectiveness regarding pilotage.
4.11 Resources
4.11.1 Implementation of the MSMS is a Group Marine responsibility. Financial resources will be supplied from Peel Ports to enable implementation to take place. The Marine Management Team will check and enforce contractual issues with their respective Pilots and other contractors. Peel Ports can provide in-house resources through the various departments (e.g. QSSHE).

4.12 Competence Assurance
4.12.1 The competence of employees is an essential element in the management of risk. The components of competence are the knowledge and the motivation of the employee. Competence can be influenced by recruitment, training, assignment, assessment and review. The Group Harbour Master is responsible for ensuring the required level of competence of the Senior Manager Marine Operations. The Senior Manager Marine Operations are responsible for ensuring the competence of Pilots and PEC Holders is maintained. Under the Pilotage Act 1987 harbour authorities are required to grant PEC's to duly qualified Ship Officers. Pilot and PEC Holder Examination, Authorisation and Re-Validation are part of the competence assurance. Senior Manager Marine Operations are responsible for ensuring the required level of competence of their staff is maintained and for setting the assessment standards for their competence.

4.13 Training
4.13.1 Annual Safety Management Awareness and Training (ASMAT) will be by e-learning. The Peel Ports Port Marine Safety Code Training Course has been developed to enable all employees and Port Users access to an appropriate level of training. An ASMAT Training Matrix has been produced to direct the level of training for port marine personnel. Records of e-learning training are administered by a Peel Ports Learning Management System (LMS). Training requirements for all marine personnel are found in the Port Marine Training Policy Matrix. Each Senior Manager Marine Operations will produce a bespoke matrix for their staff. All statutory training will be undertaken as required and recorded. Any other identified training will be undertaken with the support of the Senior Manager Marine Operations and Port Directors.
4.14 Long-term Contractors

4.14.1 Long-term contractors operating in compliance with the MSMS include Pilotage providers, licensed towage operators and the licensed boatmen's companies. These contractors have their own safety management system and are subject to annual positive compliance reporting, submission of risk assessments and method statements, periodic spot inspections and licensing by or on behalf of the respective Harbour Authorities (Where licencing powers exist and are deemed appropriate).

4.15 Communication of Safety Issues

4.15.1 Peel Ports through their e-learning course will ultimately ensure that all employees and contractors are aware of:

- The importance of compliance with the safety policy and objectives, and their individual roles and responsibilities in achieving it;
- The hazards and risks of marine operations, and the controls and recovery measures that have been established;
- Potential consequences of departure from agreed procedures, i.e. from breaching established controls and recovery measures;
- The mechanisms for suggesting improvement in the procedures.

4.16 Communication Flows

4.16.1 The communication flows utilised by Peel Ports are as follows:

- Records of Decisions and Actions from meetings;
- Port Risk Incident Management System (PRIMS);
- PMSC Annual Performance Review & Improvement Plan;
- Company SharePoint Marine Library;
- Company SharePoint Intranet;
- Company SharePoint Portal;
- Company website.

4.17 Committees

4.17.1 In order to effectively manage marine safety and the operation of the MSMS, a number of committees have been established.
4.17.2 Senior Operational Management Meeting. The Chief Operating Officer chairs this committee, which meets Bi-monthly. One of the responsibilities of this committee is to develop policy, to monitor the overall marine safety performance and co-ordinate action for continuous improvement in line with Peel Ports strategy.

4.17.3 Marine Management Team Meeting. The Group Harbour Master chairs a monthly meeting with the Marine Management Team, which comprises the Senior Manager Marine Operations, to review progress in the MSMS as follows:

- Register of Marine Safety Issues;
- Register of MSMS Legislation and other requirements;
- Harbour Authority Powers Review
- Review MSMS Enhancement Tasks;
- Analyse Marine reports and statistics;
- Consider issues of a repetitive nature from the Local PMSC Liaison Committees;
- Discuss Policy items with a policy aspect;
- Produce an Annual Report for the COO.

4.17.4 Pilotage Management Committees. The main objective of this committee is to discuss Marine Safety issues and other relevant Port/Pilotage operational and safety issues. The Senior Manager Marine Operations or his deputy chair this Committee.

4.17.5 Port/Terminal Liaison Committee (every 6 months). The Senior Manager Marine Operations or his deputy chair these committees for their ports. Representatives for pilotage, towage, shipping agents, boatmen services and the Principal Port Users (for ports), or the Terminal Operator form these committees. The main objective of these committees is to discuss marine safety issues.

4.17.6 Leisure Community Annual Meeting. A formal annual Leisure Community meeting should be held at the respective ports to facilitate discussion on safety matters pertaining to that port. This should include a safety presentation by the Ports Marine Team.
4.17.7 Health and Safety Meeting – Marine (Monthly). The Senior Manager Marine Operations chair this committee which is part of Peel Ports QSSHE Safety Management System. The membership of the committee includes the Marine Managers, Supervisors, the safety representatives from Contractors and employees and a representative from the QSSHE department. The broad objectives of the Health and Safety Committee are to provide a monthly forum through which questions of health and safety can be discussed; and local health and safety policies and procedures can be monitored. The purposes of the Health and Safety Meetings are to:

- Provide a forum through which all aspects of health and safety can be addressed and ensure that Peel Ports Health and Safety Policies are adhered to;
- To advise and assist Port Directors and the Group Harbour Master in the discharge of their health and safety responsibilities, considering, and where necessary taking appropriate action on:
  - Employee Reports (Hazardous Observations etc.);
  - Reports on accidents and incidents carrying a risk to health and safety;
  - Other reports generated by the Health and Safety Department.
- To refer any general safety issues for consideration by the Health and Safety Department;
- To consider any other issues concerning the health and safety of staff members while carrying out their work;
- To bring to employees attention any matters of safety;
- To provide information on accident causes and prevention;
- To actively promote a work environment with positive effects on psychological and physical Health;
- Records of Decisions and Actions for meetings must be produced by the designated Health and Safety Committee Chairman and posted on notice boards with a copy being sent to QSSHE Department, within one calendar week of the meeting.
4.18 MSMS Committee Structure
4.19 **External Communication**

4.19.1 Peel Ports’ policy is to publicly report on Peel Ports’ safety performance and to promote communications external to Peel Ports on safety issues. This includes:

- Attending public hearings on plans for each new phase of development, if required, as part of the regulatory permit application process;
- Participating, through the UK Major Ports Group and UK Harbour Master Association, in discussions with Department for Transport on safety issues affecting the industry in general.

4.20 **Documentation and Control**

4.20.1 Peel Ports document control procedure is one of the MSMS “Standard System Procedures” in MSMS Section 3. This procedure describes the system for issuing and revising procedures, forms, drawings, standards and other documentation relating to the MSMS.

4.20.2 All system documentation is controlled. A Register of Document Issue is held and maintained by the Group Harbour Master. The Register provides information regarding its reference, location, issue level, holder and authorisation.

5.0 **RISK ASSESSMENT**

5.1 **Purpose**

5.1.1 A risk assessment in the context of the MSMS is a systematic examination which considers whether risks in Peel Ports marine operations e.g. to People, Environment, Assets and Reputation (PEAR) have been reduced to As Low As Reasonably Practicable (ALARP).

5.1.2 This enables Peel Ports to assess whether enough precautions have been taken to prevent harm and / or loss. The aim is to make sure that there is no personal injury, harm to the environment, damage to assets or negative impact on Peel Ports’ reputation.

5.2 **Procedure**

5.2.1 Peel Ports Risk Assessment Procedure is one of the MSMS “Standard System Procedures” in MSMS Volume 1, Section 3. This procedure describes the methodology for conducting and reviewing MSMS Risk Assessments.
6.0 PLANNING AND PROCEDURES

6.1 Introduction

6.1.1 Peel Ports promulgate guidance, information and procedures for achieving safety objectives and performance criteria. They are registered, reviewed and updated as specified in the MSMS and include:

- Navigation Guidelines;
- Port Emergency Procedures;
- Peel Ports’ Oil Spill Contingency Plans;
- Operational Procedures (See MSMS Vol. 2, Sec. 4);
- Notices to Mariners;
- Towage Guidelines;
- Bunker Procedures.

6.2 Emergency Plans

6.2.1 Group Marine Emergency Policy

The Peel Ports Group Marine Emergency Policy (GMEP) sets out the action to be taken in the event of a serious marine emergency occurring within any of our group ports. Responsibility for the production of the policy has been undertaken by the Group Harbour Master.

The Policy focuses on various types of emergencies and the provision of an appropriate response. If the incident involves oil pollution, then Groups Oil Spill Contingency Plans will be invoked.

It should be noted however, that one type of emergency may frequently escalate into another and therefore our policy and procedures are aligned.

The purpose of this policy is to provide a means of raising the alarm and the communication and co-ordination between the various organisations and vessels involved, providing a framework for the management of the incident and cargoes involved.

Each port or organisation involved in a Peel Ports Group Serious Marine Emergency, will be responsible for implementing their individual plans and procedures. A number of organisations operate on or adjacent to our ports and have their own individual emergency response plans which should align with GMEP.
6.2.2 Pee Ports has local port specific Port Emergency Procedures for the response to marine related emergencies. These procedures are developed for the response to general marine incidents and (to comply with the Dangerous Goods in Harbour Areas Regulations 2016 (DGHAR)) to manage dangerous substances in the respective Ports. The procedures cover:

- Alarm and call out procedures;
- Roles and responsibilities of relevant organisations and authorities;
- Systems and procedures for command and control of incidents;
- Procedures for communication;
- Available resources and the arrangements for accessing third party resources.

6.2.3 Dangerous Vessels

Each Pee Ports Statutory Harbour Authority has the power, under the Dangerous Vessels Act 1985, to issue directions prohibiting the entry into, or requiring the removal from, the harbour of any vessel if, in the Harbour Masters opinion the condition of that vessel, or the nature or condition of anything it contains, is such that its presence in the harbour might involve a grave and imminent danger to the safety of persons or property or risk that the vessel may, by sinking or foundering in the harbour, prevent or seriously prejudice the use of the harbour by other vessels.

6.3 Ports Oil Pollution Preparedness, Response and Co-operation (OPRC)

6.3.1 Pee Ports’ Oil Spill Contingency Plans, follow the guidelines for OPRC plans from the Maritime and Coastguard Agency.

6.3.2 SOSREP

The role of the Secretary of States’ Representative for Maritime Salvage and Intervention (SOSREP) was created in 1999. SOSREP represents the Secretary of State for the Department of Energy and Climate Change in relation to offshore installations, and the Secretary of State for the Department for Transport in relation to ships and tankers. The SOSREP is in automatic charge of the emergency response to a serious marine incident.

In practical terms, SOSREP will take his decisions based on the advice given by the particular experts in action on the emergency. He will agree the salvage plan provided by the
salvage contractors and will require it to be amended in the light of other strong advice. He may ask for additional resources, or call upon other expertise. SOSREP is empowered to make crucial decisions, often under time pressure, without recourse to a higher authority, where such decisions are in the "overriding UK public interest".

6.4  Standard Operating Procedures

6.4.1 Standard Operating Procedures (SOPs) are developed for all safety critical activities for which the absence of written procedures could result in infringement of the company policy, or breaches of legislative requirements or performance criteria. Standard Operating Procedures will indicate the responsible person, safe procedure for completion of the task and the performance standards required.

6.5  MSMS Planning Procedures

6.5.1 Marine Safety Issues (MSI) associated with the activities and services provided by Peel Ports Marine Departments are identified and summarised within the Enhancement Plan. These issues are assessed for significance and management programmes implemented accordingly to drive continual improvement.

6.5.2 Marine Safety Issues (MSI) are identified by the Marine Management Team as a result of internal audits, feedback, risk assessments, internal review processes and publications by competent organisations such as MAIB and UKHMA, with the Enhancement Plan periodically reviewed and updated.

6.6  Legal and other requirements

6.6.1 Applicable marine legislation and other requirements to which Peel Ports Marine Departments subscribes are identified and summarised within the Enhancement Plan. It is the responsibility of the Marine Management Team to ensure updates are received and the Plan maintained. On occasion, external expertise is called upon to review applicable legislation, best practice and legal compliance.

6.6.2 Civil Contingencies Duty

The Civil Contingencies Act 2004 provides a framework for civil protection in the event of an emergency that threatens serious damage to human welfare, the environment or security,
Peel Ports Harbour Authorities are classified as category 2 “cooperating bodies”. They are involved in the associated planning work, and heavily involved in incidents that affect the marine sector. They are committed to co-operating and sharing relevant information with category 1 (emergency services and local authorities) and other category 2 responders.

7.0 MONITORING THE MSMS

7.1 Safety Critical Activities and Tasks
7.1.1 The safety critical activities and tasks are those activities in the marine operation process that have been identified by the risk assessment process as vital to ensure safety of people, assets and the environment in the respective Peel Port. Each safety critical activity has a number of safety critical tasks, which must be carried out for safe navigation and dock/port operations.

7.2 Performance Monitoring
7.2.1 The following performance monitoring techniques and tools shall be utilised:
- A combination of Key Performance Targets (KPT) and Key Performance Indicators (KPI) will be used to provide an indication of overall safety performance;
- Target time compared to implementation time of safety measures;
- How effective were the measures in improving safety;
- Safety performance will be an agenda item for the Health and Safety Committee.

7.3 Key Performance Targets
7.3.1 The following Key Performance Targets are used:
- Very Serious and Serious accidents per 1000 vessel movements.

7.4 Key Performance Indicators
7.4.1 The following Key Performance Indicators are used:
- Accident causes;
- Accident ratio to number of commercial vessel moves
- Aids to Navigation maintenance and repair:
  - Any non-compliance with IALA standards on a 3 year rolling programme;
- Marine Safety management System:
  - Any non-compliance with a MSMS procedure.
• Full completion of the monthly Accident Reports by the 5th of the following month;
• To complete the following Safety Management processes within the stated timescales;
  - All marine staff assessments within the timescale set in Ceridian;
  - All Marine Investigations in the timescale set in the MSMS;
  - All required audits and non-compliance corrective actions in the agreed timescales.
• To achieve 100% completion of all necessary risk assessments as determined by the MSMS process.

7.5 Performance Reporting
7.5.1 Peel Ports ensures safety performance is regularly reported, emerging trends analysed and improvements initiated in particular through the MSMS PMSC Local Liaison Committees.

7.6 Corrective Action
7.6.1 The Group Harbour Master has the responsibility and authority for initiating investigation and corrective action in the event of non-compliance relating to the MSMS, its operation or its results. PMSC Non-compliance may be identified by the audit programme, through communication with marine staff, or from investigation of accidents.

7.7 Accident Investigation
7.7.1 Peel Ports has a Port Risk Incident Management System (PRIMS). PRIMS capture accidents, near misses, occurrences, corrective action and generic risk assessment. Peel Ports Marine Investigation Procedure is one of the MSMS Standard System Procedures in MSMS section 3. Every accident is analysed, the direct and root causes identified and discussed at the relevant forum e.g. Local Liaison Committees. The Group Harbour Master may require a formal investigation depending on the nature of the accident. A report will be compiled to capture the investigation findings, conclusion and any recommendations.

7.7.2 The MCA is notified in the event that there is a deficiency which may prejudice the safe navigation of the vessel, or which may pose a threat of harm to the marine environment as per The Merchant Shipping (Port State Control) Regulations 2011 and MSN 1832.
Reports will be forwarded to the MAIB in compliance with the Merchant Shipping (Accident Reporting and Investigation) Regulations 2012 and MGN 458.

**8.0 AUDITING THE MSMS**

**8.1 Auditing Process**

8.1.1 Internal peer and external Designated Person audits are conducted to ensure compliance with the MSMS. Audit provides a key test as to whether the functional requirements of the MSMS have been met in practice. Peel Ports will conduct audits on a regular basis, and will establish that:

- Appropriate management arrangements are in place;
- Adequate risk controls are in place and complied with;
- Operational procedures as laid down in MSMS are being adhered to.

**8.2 Audit Programme**

8.2.1 Peel Ports has a planned audit programme for internal peer and external Designated Person audits.

**8.3 Audit Procedure**

8.3.1 Peel Ports Internal Audit Procedure is one of the MSMS Standard Systems Procedures in MSMS Section 3. This procedure describes the system for conducting, reviewing and promulgating internal audits.

**9.0 MANAGEMENT REVIEW**

**9.1 General**

9.1.1 Management reviews focus not only on compliance but also on the overall MSMS effectiveness and continued suitability for purpose. Regular reviews include:

- The Enhancement Plans;
- The MSMS Policy Document and Manual, effectiveness of the MSMS and key lessons learnt from safety audits;
- The monthly Marine Management Team Meeting.

9.1.2 Additional reviews are required if there are:

- Organisational changes;
• Changes in the marine activities, new trade, new technology, new vessels, etc.;
• Major modifications of docks/ports and waterways;
• Accident or audit follow-up actions that require review;
• Changes in applicable legislation.

9.2 Improvement Strategy

9.2.1 Peel Ports have the following improvement strategy:
• Improvement programme is based on key performance indicators;
• Review of audit and accident reports to establish patterns of performance or system weaknesses that need improvement;
• Review of the elements of the MSMS in a structured fashion;
• Communications of the lessons learnt to relevant personnel to enable them to put actions in place to achieve safety performance improvements.

10.0 POLICY STATEMENTS

10.1 Peel Ports Group Policy Statements are contained within the Annexes to this section of the MSMS.
ANNEXES

Port Marine Safety Code Policy Statement

Peel Ports Group Health and Safety Policy Statement

A. Peel Ports Group Marine Navigational Safety Policy

B. Peel Ports Group Marine Pilotage Policy

C. Peel Ports Group Marine VTS / LPS Policy

D. Peel Ports Group Marine Environmental Policy

E. Peel Ports Group Marine Enforcement & Prosecution Policy

F. Peel Ports Group Marine Training Policy

G. Summary of MSMS Committees and Meetings.

H. Summary of MSMS Reports.
PEEL PORTS GROUP LIMITED

The Port Marine Safety Code Policy Statement

The Group Harbour Master, as the senior marine professional, understands the statutory and common law duties which includes an obligation to conserve and facilitate the safe use of each of our harbours, and has an express duty to take such action as each harbour authority considers necessary or desirable for or incidental to maintenance, operation, improvement or conservancy of the harbour.

To that end the Group Harbour Master has produced a Group Marine Safety Management System, which details how marine operations are to be conducted safely in our ports. Where appropriate consultations take place with all those who work in and use the harbours to ensure that they are fully involved in the preparation of the Group Marine Safety Management System, marine policies and procedures.

Full and comprehensive risk assessments are undertaken in respect of all activities and facilities within the harbours leading to the development of the Group Marine Safety Management System.

Protection of the environment is recognised by general and specific duties and the Group Marine Safety Management System exercises functions in a manner, which has regard to nature conservation and environmental considerations.

The Port Director of each of the Peel Ports Group statutory authorities are the Duty Holders for the purposes of the Port Marine Safety Code and individually accept responsibility for ensuring that the relevant harbour authority of which they are director, discharges its duties in accordance with the Port Marine Safety Code and have responsibility and accountability for delivering the respective harbour authority’s duties and powers in relation to marine operations and harbour undertakings within their control, through the application of the Group Safety Management System; the Port Directors of the respective ports are responsible for the operational and financial control of each of the harbour authorities.
The Port Directors as Duty Holders are committed to undertaking and regulate maritime operations, through the operation of the Group Marine Safety Management System, in a way that safeguards, their users, the public, the environment and their harbours.

The Port Directors are advised on all matters related to the relevant Harbour Authority’s statutory duties and powers by the Group Harbour Master, The Group Head of Legal and the QSSH Managers. The Chief Operating Officer and the Deputy Chief Operating Officer oversee the implementation of policies and decisions of the Group and together with the Chief Executive have ultimate executive responsibility for the safety of operations and staff.

The Chief Operating Officer, Deputy Chief Operating Officer, the Group Harbour Master and the Port Directors are committed to the continuous improvement of safety within the Group ports by the constant development of policies, systems and techniques of risk control, governed by an independent assured audit system.

This policy will be reviewed again within the next 3 years.

Signed: .................................................................

Mark Whitworth
Chief Executive

Date: 7-12-2017
PEEL PORTS GROUP HEALTH AND SAFETY POLICY STATEMENT

HEALTH AND SAFETY POLICY STATEMENT

Peel Ports considers that the best interests of the Group and of its employees are served by a positive approach to Health and Safety by management and employees. This will help to prevent work-related accidents and ill health as well as damage to plant, equipment, cargo and the environment and this will help ensure continuing prosperity for the Group and its employees.

We recognise and fully accept our responsibilities under the Health and Safety At Work 1974 and are committed to ensuring that we deliver on these responsibilities.

It is the duty of Management at all levels to consider Health and Safety during the policy decision making process and to promote the port industry best practice in the planning and execution of all activities to ensure the implementation of safe systems of work by employees. Management will consult with employees and their representatives on their Health and Safety concerns, and in particular in the development and review of safe systems of work.

All personnel will, in the course of their employment, be trained to identify and to eliminate or control the effects of hazards in their area of work. All employees must conduct their tasks according to the Group’s policies, procedures and statutory rules and regulations in such a way as to prevent accidents, ill health, damage to plant, equipment, infrastructure, cargo and the environment in general. All employees, subcontractors, other workers and visitors to Peel Ports dock estates will be expected to comply with Peel Ports requirements in relation to Health and Safety matters.

Peel Ports is fully committed to continuous improvement in matters concerning Health and Safety and will work to achieve this through setting objectives and targets which are both achievable and quantifiable; improvements will be measured through continuous auditing of our systems and processes to ensure conformity.

This Policy Statement applies to every employee of Peel Ports, in your own best interest, and that of your fellow employees, I require you to make yourself thoroughly aware of its content, adhere to it at all times and assist me in its implementation.

Peel Ports is committed to creating a streamlined and robust Health and Safety management system to protect all parties who may be directly or indirectly affected by our operations.

In order to assist me in fulfilling these objectives I require the Port Directors, Senior Managers, Health and Safety Managers, Supervisory Managers, Safety Committees, all employees, contractors and visitors to the estate to address any hazards that they encounter by notifying Peel Ports management of such hazards and, where appropriate, putting suitable mitigation measures in place.

Chief Executive

Date: 1st May 2015
Issue Number: 05a
PEEL PORTS GROUP LIMITED

Group Marine Navigational Safety Policy

It is Peel Ports' Group Policy that all Statutory Harbour Authorities within the Group shall:

- Maintain an effective Marine Safety Management System based on a continuing formalised assessment and mitigation of risk in consultation with Port users;
- Review regularly the effectiveness of and, if necessary, seek amendments to its legal powers, Byelaws and Directions in respect of navigational safety;
- Monitor and manage vessel traffic within Port limits through the provision of a system consummate to the level of risk, this may include:
  - A local port service (LPS)
  - A vessel traffic service information service (VTS INS)
  - A vessel traffic service traffic organisation service (VTS TOS)
  - A vessel traffic service navigational assistance service (VTS NAS);
- Provide an appropriate level of pilotage services in accordance with the Pilotage Act;
- Make and publish hydrographic surveys;
- Undertake maintenance dredging as appropriate;
- Remove sunken vessels and other obstructions that are, or may become, an impediment to safe navigation;
- Ensure the provision of necessary aids to navigation within port limits and maintain a close liaison with the General Lighthouse Authority (GLA) in respect of the other aids which the GLA maintains within or adjacent to the Port;
- Promulgate navigational, tidal and other relevant information to all port and river users;
- Provide effective management and co-ordination in respect of the SHA's response to emergency incidents within its area of jurisdiction;
- Consult with port and river users and other relevant stakeholders in respect of navigational safety issues and proposed changes to navigational arrangements;
- Verify compliance with national operating standards of locally registered/licenced craft;
- Ensure thorough risk assessment that any harbour works take due regard of the safety of navigation.

This Policy will be reviewed again within the next 3 years.

Signed: _______________________________  Date: 1 March 2018
Andrew Hemphill
Port Director, Peel Ports Clydeport and Ardsosan

Signed: _______________________________  Date: 1 March 2018
Richard Goffin
Port Director, Peel Ports Great Yarmouth and Medway

Signed: _______________________________  Date: 1 March 2018
Paul Kavanagh
Port Director, Peel Ports Liverpool and Manchester

Signed: _______________________________  Date: 1 March 2018
David Huck
Duty Holder, Heysham

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PEEL PORTS GROUP LIMITED

Group Marine Pilotage Policy

It is Peel Ports’ Group Policy that all Statutory Harbour Authorities within the Group shall:

- Ensure that the operation of the pilotage service is compliant with national regulations, guidelines and competency standards;
- Publish and review its Pilotage Directions;
- Regulate the compulsory pilotage area limits;
- Maintain competent and authorised pilots;
- Maintain a fully supported Pilotage service, able to respond to properly notified pilotage requirements;
- Keep the means of boarding and landing pilots under review to ensure that these operations are always undertaken as safely as possible;
- Administer the PEC system to ensure that all PEC applicants and holders fully meet the requirements laid down in Pilotage Directions.

This Policy will be reviewed again within the next 3 years.

Signed: [Signature]
Andrew Hemphill
Port Director, Peel Ports Clydeport and Ardrossan
Date: 1 March 2018

Signed: [Signature]
Richard Goffin
Port Director, Peel Ports Great Yarmouth and Medway
Date: 1 March 2018

Signed: [Signature]
Paul Kavanagh
Port Director, Peel Ports Liverpool and Manchester
Date: 1 March 2018

Signed: [Signature]
David Huck
Duty Holder, Heysham
Date: 1 March 2018
ANNEX C

PEEL PORTS GROUP LIMITED

Group Marine VTS/LPS Policy

It is Peel Ports’ Group Policy that all Statutory Harbour Authorities within the Group shall:

- Operate a 24-hour vessel traffic management / information system in accordance with its published Navigational Safety Policy;
- Provide a service consummate to the level of risk;
- Maintain VHF communication with all vessels required to do so by direction within its area of responsibility;
- Seek to ensure the traffic management / information system’s operational availability;
- Review regularly the performance of the system and seek improvements through technical enhancement, staff development, training and effective management as necessary;
- Where VTS is assessed as appropriate, maintain standards for training and certification of personnel in line with IALA recommendations V-103;
- Formally authorise those personnel qualifying to the required IALA standard;
- Record, where provided or available, all relevant radar video, VHF and telephone communications as an aid to enforcement and incident reconstruction and investigation;
- Maintain comprehensive details and records of commercial vessel movements in the vessel management system database.

This Policy will be reviewed again within the next 3 years.

Signed:  
Andrew Hemphill  
Port Director, Peel Ports Clydeport and Ardrossan  
Date: 1 March 2018

Signed:  
Richard Goffin  
Port Director, Peel Ports Great Yarmouth and Medway  
Date: 1 March 2018

Signed:  
Paul Kavanagh  
Port Director, Peel Ports Liverpool and Manchester  
Date: 1 March 2018

Signed:  
David Huck  
Duty Holder, Heysham  
Date: 1 March 2018
PEEL PORTS GROUP LIMITED

Group Marine Environmental Policy

Peel Ports Group (PPG) recognises that ports play an important part in the economic, environmental and social life of surrounding communities.

The combination of these three elements allows the Group’s Statutory Harbour Authorities to exercise responsibility by promoting sustainable developments for the benefit of the business and of the people linked with its ports.

Each port is committed to develop and implement management and control methods which prevent, or minimise environmental damage. These methods will be regularly reviewed in order to ensure that the ports continuously improve their environmental performance.

PPG recognises the value of communicating these objectives to staff, tenants and other stakeholders linked to its ports and is committed to a programme of regular discussions about its approach to securing a high standard of environmental management.

This Policy will be reviewed again within the next 3 years.

Signed:            Date: 1 March 2018

Andrew Hemphill
Port Director, Peel Ports Clydeport and Ardrossan

Signed:            Date: 1 March 2018

Richard Goffin
Port Director, Peel Ports Great Yarmouth and Medway

Signed:            Date: 1 March 2018

Paul Kavanagh
Port Director, Peel Ports Liverpool and Manchester

Signed:            Date: 1 March 2018

David Huck
Duty Holder, Heysham
PEEL PORTS GROUP LIMITED

Group Marine Enforcement & Prosecution Policy

Peel Ports Group’s Statutory Harbour Authorities are responsible for the effective enforcement of relevant legislation, directions and regulations relating to marine safety within their Ports. In this Policy, enforcement comprises the promulgation of regulation and guidance, effective surveillance, accident investigation and, where appropriate, formal warning and prosecution.

It is Peel Ports’ Group Policy that all Statutory Harbour Authorities within the Group shall:

- Maintain through regular reviews an effective regulatory framework, which is integrated with relevant national legislation and includes local regulation resulting from risk assessment or as otherwise made necessary;
- Ensure that regulations and associated guidance are widely promulgated;
- Develop and maintain effective enforcement procedures, which comply with relevant national legal requirements and guidelines;
- Develop and maintain effective investigation procedures for use in the event of a navigational accident, which support enforcement procedures;
- Ensure that all staff involved in an accident investigation, or who are required to follow enforcement procedures, receive effective and relevant training;
- Respond to breaches of regulation, where justified by the evidence and other circumstances, by the use of formal warnings and legal prosecution;
- When bringing prosecutions, observe the Code for Crown Prosecutors and Evidential Codes in so far as appropriate and in the Scotland Crown Office and Procurator Fiscal Service, Prosecution Code and Evidential Codes;
- Manage the progress of enforcement activities, including accident investigations and prosecutions and the maintenance of appropriate records.

This Policy will be reviewed again within the next 3 years.

Signed: _____________________________ Date: 1 March 2018
Andrew Hemphill
Port Director, Peel Ports Clydeport and Androssan

Signed: _____________________________ Date: 1 March 2018
Richard Goffin
Port Director, Peel Ports Great Yarmouth and Medway

Signed: _____________________________ Date: 1 March 2018
Paul Kavanagh
Port Director, Peel Ports Liverpool, Manchester and

Signed: _____________________________ Date: 1 March 2018
David Huck
Duty Holder, Heysham
PEEL PORTS GROUP LIMITED
Group Marine Training Policy

Peel Ports Group recognises that training is fundamental to its continuing safe and efficient operation and that responsibility for training rests with management. To help achieve its objective, the Group will develop its human resources by a systematic approach applicable to its requirement under the following specific aims:

The Peel Ports’ Group Policy in respect to training is to:

- Provide on and off the job training for all new employees;
- Foster a regular discussion between management and employees concerning the employee’s progress in the job and aims for the future in accordance with the appraisal programme and determine future training needs as a result of such discussions;
- Provide adequate and appropriate training before and full support after all promotions and transfers to all employees to allow them to reach the required level of competence, as specified in the job description;
- Provide time off with pay and the necessary facilities to enable employees to train for their long term development as agreed between the Company and the employee, including utilisation of on and off the job training, seminars, conferences, etc.

This Policy will be reviewed again within the next 3 years.

Signed: ______________________________
Andrew Hemphill
Port Director, Peel Ports Clydeport and Andrusaen
Date: 1 March 2018

Signed: ______________________________
Richard Goffin
Port Director, Peel Ports Great Yarmouth and Medway
Date: 1 March 2018

Signed: ______________________________
Paul Kavanagh
Port Director, Peel Ports Liverpool, Manchester and
Date: 1 March 2018

Signed: ______________________________
David Huck
Duty Holder, Heysham
### ANNEX G

**SUMMARY OF MSMS COMMITTEES AND MEETINGS**

<table>
<thead>
<tr>
<th>Meeting Name</th>
<th>Participants</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quarterly Health and Safety Board</td>
<td>CEO, COO, DCOO, CFO, Legal Counsel, H&amp;S Director, GHM, (DP for Marine Element)</td>
<td>Quarterly</td>
</tr>
<tr>
<td>COO Meeting (DP Annual brief to Duty Holders)</td>
<td>COO, Port Directors (Duty Holders), Directors, H&amp;S Director GHM, DP I</td>
<td>Yearly</td>
</tr>
<tr>
<td>Monthly Health and Safety Board</td>
<td>CEO, COO, DCOO, H&amp;S Director, GHM</td>
<td>Monthly</td>
</tr>
<tr>
<td>Marine Management Team</td>
<td>GHM, Senior Managers Marine Operations, GMSM, GHDM, HdGPC</td>
<td>Monthly</td>
</tr>
<tr>
<td>Training Competency and Standards Working Group</td>
<td>GHM, Port Marine Training Teams</td>
<td>6 monthly</td>
</tr>
<tr>
<td>Marine Safety Meeting</td>
<td>Senior Managers Marine Operations, Pilot Reps, Marine Managers, QSSHE, Employee Reps, Main Contractors</td>
<td>Monthly</td>
</tr>
<tr>
<td>Pilotage Management Committee</td>
<td>Marine Managers, Pilot Reps</td>
<td>Monthly</td>
</tr>
<tr>
<td>Port / Terminal Liaison Committee</td>
<td>Senior Marine Managers, Pilot Reps, Towage, Agents, Line handling, principle port users / terminal operators</td>
<td>6 monthly</td>
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<tr>
<td>Leisure Community Meeting</td>
<td>Senior Managers Marine Operations, Leisure Users reps</td>
<td>Annually</td>
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ANNEX H

SUMMARY OF MSMS REPORTS

<table>
<thead>
<tr>
<th>Report Name</th>
<th>Complier</th>
<th>Recipient</th>
</tr>
</thead>
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<tr>
<td>Annual MSMS Review</td>
<td>Designated Person</td>
<td>Duty Holder</td>
</tr>
<tr>
<td>3 Yearly MSMS Audit</td>
<td>Designated Person</td>
<td>Duty Holder</td>
</tr>
<tr>
<td>Quarterly Monitoring Report</td>
<td>Designated Person</td>
<td>Duty Holder</td>
</tr>
<tr>
<td>Quarterly Peer Audit Reports</td>
<td>Group Marine Services Manager</td>
<td>Marine Management Team</td>
</tr>
<tr>
<td>Annual MSMS Report</td>
<td>GHM</td>
<td>COO/PD</td>
</tr>
<tr>
<td>Monthly MMT Meeting Notes</td>
<td>Marine Management Team</td>
<td>Duty Holder</td>
</tr>
<tr>
<td>Monthly Enhancement Plan Review</td>
<td>SMMO</td>
<td>GHM</td>
</tr>
<tr>
<td>6 monthly Training Review</td>
<td>Training Competency and Standards Working Group</td>
<td>Marine Management Team</td>
</tr>
<tr>
<td>Marine Safety Issues</td>
<td>SMMO</td>
<td>GHM</td>
</tr>
<tr>
<td>Supplementary Instructions</td>
<td>SMMO</td>
<td>GHM</td>
</tr>
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<td>Organisational Change</td>
<td>SMMO</td>
<td>GHM</td>
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<td>Assessment</td>
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<td>Organisational Change</td>
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<td>GHM</td>
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<tr>
<td>Safety Assessment</td>
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<tr>
<td>Monthly Performance Report</td>
<td>SMMO</td>
<td>GHM</td>
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</tbody>
</table>
PEEL PORTS GROUP LIMITED

Port Marine Safety Code

Marine Safety Management System

Section 2

MANUAL
**MSMS MANUAL: DISTRIBUTION LIST**

A controlled copy of this section is maintained on the SharePoint Intranet Marine Library. Click **HERE** to view or download the latest version.

The Peel Ports Group Harbour Master will advise the following parties of any changes to the Policy Document by email.

<p>| | |</p>
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<thead>
<tr>
<th></th>
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<tbody>
<tr>
<td>1</td>
<td>Chief Executive Officer</td>
</tr>
<tr>
<td>2</td>
<td>Chief Operating Officer</td>
</tr>
<tr>
<td>3</td>
<td>Deputy Chief Operating Officer</td>
</tr>
<tr>
<td>4</td>
<td>Port Director(s) (Clydeport and Ardrossan, Great Yarmouth, London Medway, Mersey)</td>
</tr>
<tr>
<td>5</td>
<td>Senior Manager - Marine Operations (Clydeport and Ardrossan, Great Yarmouth, London Medway, Mersey)</td>
</tr>
<tr>
<td>6</td>
<td>Group Health and Safety Director</td>
</tr>
<tr>
<td>7</td>
<td>Designated Person</td>
</tr>
<tr>
<td>8</td>
<td>Liverpool Pilotage Services Limited</td>
</tr>
<tr>
<td>9</td>
<td>Manchester Pilotage Services Limited</td>
</tr>
<tr>
<td>10</td>
<td>Fernleaf Marine Services</td>
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# RECORD OF CHANGES

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<tr>
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<th>ITEM</th>
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<td>New Edition</td>
<td>March 14</td>
<td>SG</td>
</tr>
<tr>
<td>02</td>
<td>New Edition</td>
<td>September 14</td>
<td>SG</td>
</tr>
<tr>
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<td>March 15</td>
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<td>05</td>
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<td>December 16</td>
<td>SG</td>
</tr>
<tr>
<td>06</td>
<td>New Edition</td>
<td>April 17</td>
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1.0 INTRODUCTION

1.1 Document Synopsis

1.1.1 A full introduction to the Peel Ports Port Marine Safety Code (PMSC), Marine Safety Management System (MSMS) is provided within the MSMS Policy Document, which is Section 1 to this Volume. This MSMS Manual is to be used in conjunction with the MSMS Policy Document and details the systems that are in place for the PMSC, MSMS for the Peel Ports Marine Department.

1.1.2 The MSMS consists of the following elements:

- Planning;
- Implementation and operation;
- Checking and Corrective Action;
- Management Review.

1.1.3 The programme of internal audits, management reviews and corrective and preventive action will ensure that the system remains subject to continual improvement in marine safety performance and compliance with regulatory requirements.

1.2 Document Provenance

1.2.1 While the majority of this document is applicable at all seven Ports, there are, inevitably, some variations, additions and omissions specific to the individual Ports. Where this is the case, the relevant paragraphs are clearly marked to reflect their application at that Port. Additionally, each of the Standard Operating Procedures will define any local variations/additions from/to the provisions of the Marine Safety Management System.

2. PLANNING

2.1 Marine Safety Issues

2.1.1 Marine Safety Issues (MSI) associated with the activities and services provided by Peel Ports Marine Departments are identified on an on-going basis and summarised within the specific Port’s Enhancement Plan. These issues are assessed for significance and management programmes implemented accordingly to drive continual improvement. MSI’s are identified as a result of internal audits, feedback, risk assessments and internal review processes, with the Enhancement Plan periodically reviewed and updated.
2.2 Legal and Other Requirements

(Peel Ports Great Yarmouth acts as Agents for the Great Yarmouth Port Authority.)

2.2.1 Each of Peel Ports Harbour Authorities has its own local legislation which has evolved since the Harbour Authority was established. All local legislation gives Harbour Authority duties and powers. Each harbour authority’s duties and powers are contained in local Acts and Orders, and, although they have much in common, the detail varies from port to port. Most are established by the incorporation or transposition into local Acts and Orders of model provisions in the Harbours, Docks and Piers Clauses Act 1847. Other duties and powers are in general legislation - for example, the Harbours Act 1964, the Dangerous Vessels Act 1985, the Pilotage Act 1987 and various Merchant Shipping Acts. The harbour authorities’ duties are of three kinds. Some are statutory duties, imposed either by local legislation or in general legislation. There are in addition general common-law and fiduciary duties.

There are several general principles to general common-law and fiduciary duties. These duties include:

- an obligation to conserve, and facilitate the safe use of, the harbour; and
- a duty of care against loss caused by the authority’s negligence;

Duties to ensure the safety of marine operations are matched with general and specific powers to enable the authority to discharge these duties.

General Duties and Powers

These are some of the general duties of our harbour authorities –

A. Harbour authorities have a duty to take reasonable care, so long as the harbour is open for the public use, that all who may choose to navigate it may do so without danger to their lives or property;

B. This includes an obligation to conserve, and facilitate the safe use of, the harbour; and a duty of care against loss caused by the authority’s negligence;

C. Each harbour authority has an obligation to have regard to efficiency, economy and safety of operation as respects the services and facilities provided;
D. Harbour authorities typically have an express duty to take such action as the harbour authority consider necessary or desirable for or incidental to the maintenance, operation, improvement or conservancy of their harbour. (Such actions will in some cases be subject to consents or other authorisations.)

'Open port duty'

Section 33 of the Harbours Docks and Piers Clauses Act 1847 requires a statutory harbour to be open to all persons for the shipping and unshipping of goods on payment of the relevant dues. Where that section has not been expressly applied, or where there a no similar provision in our ports local legislation, it is generally acknowledged that where a statutory harbour authority has the power to charge statutory port dues it has a corresponding implied duty to be open to all persons for the shipping and unshipping of goods on payment of the relevant dues. Peel Ports harbour authority’s right to regulate the entry and movement of ships within the port to ensure safety of navigation is conferred by statute. This right of navigation is known as ‘open port duty’.

Conservancy

Peel Ports harbour authorities have a duty to conserve their harbour so that it is reasonably fit for use as a port, and a duty of reasonable care to see that the harbour is in a fit condition for a vessel to resort to it. The conservancy duty covers several specific requirements -

a) to survey (and resurvey as regularly as necessary) and find the best navigable channel or channels;

b) to place and maintain navigation marks where they will be of the best advantage to navigation (marked appropriately by day and night);

c) to keep a ‘vigilant watch’ for any changes in the sea or river bed affecting the channel or channels and move or renew navigation marks as appropriate;

d) to keep proper hydrographic and hydrological records;

e) to publish as conspicuously as possible such further information as will supplement the guidance given by navigation marks.

Where a Peel Ports harbour authority holds out that there is a certain depth of water at a part of the harbour over which vessels may be obliged to pass, we will use reasonable care to provide that the approaches to that part are sufficient, under normal conditions, or give warning that the advertised depth has not been maintained.
Harbour Authority Powers

All Peel Ports harbour authorities have power to make use of services and facilities provided by them at a harbour which, in the exercise and performance of statutory powers and duties they are engaged in improving, maintaining or managing, subject to such terms and conditions as they think fit.

Not every duty imposed upon harbour authorities is matched by a specific power, since in some cases the duty itself is sufficient to imply the powers required to carry it out. There are specific powers, however, in relation to the making of byelaws and directions, and to pilotage, lights and wrecks. The provisions of these powers are detailed for each port in specific Standard Operating Procedures in Volume 2.

Specific Duties and Powers

In addition to these general duties, there are a number of specific duties, with powers to enable them to be discharged.

A. The harbour master has his powers determined in local port legislation;
B. Powers to direct vessels are available - and are used - to ensure safety of navigation;
C. Dangerous vessels and substances, and pollution, are effectively managed;
D. A pilotage service is provided in the interests of safety;
E. Properly maintained aids to navigation are provided, and any danger to navigation from wrecks or obstructions is effectively managed.

Byelaws

All our Harbour authorities are empowered to make byelaws. Byelaws empower harbour authorities to regulate activities for specific purposes. This power goes beyond simple management to include a power to create and prosecute in the Courts offences for which fines may be levied at different levels. Byelaws are a means of reflecting the local needs and circumstances of individual harbour authorities and are intended to allow them to conduct their business efficiently and safely. Byelaws are conferred by Parliament which can produce a lengthy consultation process and it is now Peel Ports aim to place all appropriate Byelaws in General or Harbour Directions.
General Directions
Some harbour authorities have powers, through their local enabling legislation, to give 'general directions' to enable a harbour authority, after due consultation, to lay down general rules for navigation (subject to certain constraints) and regulate the berthing and movements of ships.

Special Directions
Where sections 52 and 53 of the Harbours Piers and Clauses Act 1847 have been incorporated in local legislation, or where there is a similar provision in our ports local legislation, the Group Harbour Master or his deputies and his assistants have powers of direction to regulate the time and manner of ships' entry to, departure from and movement within the harbour waters, and related purposes. These powers are given for the purpose of giving specific directions to specific vessels for specific movements.

Pilotage
All our Harbour Authorities are Competent Harbour Authorities and have specific powers under the Pilotage Act to enable them to discharge the pilotage duties imposed under that Act.

<table>
<thead>
<tr>
<th>Ports</th>
<th>General Direction</th>
<th>Special Direction</th>
<th>Harbour Direction</th>
<th>Pilotage Direction</th>
<th>Byelaws</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ardrossan</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
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<td>Clydeport</td>
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<td>Liverpool</td>
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<td>Yes</td>
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<tr>
<td>Medway</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
</tr>
</tbody>
</table>

Revision of Duties & Powers
There are statutory procedures for revising the duties and powers of a harbour authority (besides general legislation) and which are contained in each ports local legislation.

Harbour orders
The statutory powers of a harbour authority, contained in its local legislation, may be revised by means of a harbour revision order, provided the appropriate Minister, through the Marine Management Organisation, is satisfied that the making of an order is desirable in the interests of securing the improvement, maintenance or management of the harbour in an
efficient and economical manner or of facilitating the efficient and economic transport of goods by sea or in the interests of the recreational use of sea-going ships.

**Limits of jurisdiction**
Statutory powers are exercisable within the limits of jurisdiction prescribed in our harbour authority’s local legislation, generally geographically.

**Dues**
Peel Ports Harbour authorities have powers to raise dues to pay for the discharge of their legal obligations including:

- A. The right to use a harbour for the shipping and unshipping of goods, or the embarkation or disembarkation of passengers;
- B. That adequate resources are available to discharge marine safety obligations;
- C. An obligation to take measures to reduce all risk associated with port marine operations to as low as reasonably practicable;
- D. However, it is not acceptable for dues to be set - and exceptions, special rates and waivers agreed – which compromise these obligations.

**Resources**
The power to levy dues is conferred to ensure that users pay for the discharge of our authority’s legal functions. It is obligatory for harbours to reduce all risks associated with the harbour undertaking to as low as reasonably practicable. It follows that each of our harbour authorities has a duty, so far as is reasonably practicable, to raise at least sufficient dues to provide the resources needed to fully discharge these functions.

**Pilotage charges**
All our ports as competent harbour authorities, make reasonable charges in respect of the pilotage services provided by those Authorities.

**Exemption certificate holders’ charges**
We as competent harbour authorities make reasonable charges in respect of any vessel which is subject to its pilotage directions which is under the pilotage of a ships officer holding a pilotage exemption certificate in respect of the area and ship in question.
Appeals against dues

Peel Ports harbour authorities power to levy dues is subject to a statutory right of objection to the Secretary of State. This is to ensure that the right to use the harbour is not prejudiced by the imposition of unreasonable dues.

Legislation fit for purpose

Peel Ports harbour authorities keep their local legislation under review to ensure that it remains fit for purpose in changing circumstances. Where it becomes clear to a harbour authority that certain legal responsibilities cannot be discharged effectively using available powers and other measures, and that authority does not have the powers to rectify the situation, that authority will where appropriate, seek the necessary additional powers. We will also take the opportunity to dispense with redundant or obsolete legal functions where appropriate.

All those with harbour authority responsibility are aware of their local duties and powers, and are well versed in all local legislation. Port Directors and managers understand clearly the meaning of all the relevant legislation which affects their harbour in order to avoid failing to discharge their duties or exceeding their powers. All legislation including byelaws and directions are kept under continuous review.

Marine Environmental Duty

Peel Ports are committed to fulfilling their functions with regard to nature conservation and other related environmental considerations. They also have an obligation, where a Special Protection Area for Birds or a Special Area of Conservation has been designated under the Habitats Directive, to have regard to the requirements of the Habitats Directive and also have to comply with The Natural Environment and Rural Communities Act 2006 which strengthened the requirement for public bodies, including statutory undertakers, to have regard for bio-diversity in undertaking their activities. Under the Water Framework Directive Peel Ports is providing assistance in establishing a framework for the protection of inland surface waters (rivers and lakes), transitional waters (estuaries), coastal waters and groundwater. They are committed to meeting ‘good ecological status’ for all aquatic ecosystems and, with regard to their water needs, terrestrial ecosystems and wetlands. In order to deliver these Duties Peel Ports employ a dedicated Group Planning Team and an external Group Marine Environmental Advisor to give advice and independent assurance on compliance. All the ports have established a Maintenance Dredging Protocol, Water
framework Assessments and measures, where applicable, to achieve a ‘good ecological status’.

2.2.2 Applicable marine legislation and other requirements to which Peel Ports Marine Department subscribes have been identified and summarised within a register of Marine Legislation. It is the responsibility of the Marine Management Team to ensure updates are received and the register maintained. Consideration should be given to any procedural changes that are needed by changes in legislation. On occasion, external expertise is called upon to review applicable legislation, best practice and legal compliance. Changes are communicated and reviewed at the Marine Management Team Meetings.

2.3 Objectives, Targets and Programmes
2.3.1 The company Policy Statements as detailed in the MSMS Policy Document section 1, with related objectives and targets will be periodically set and reviewed by the Marine Management Team and implemented to drive continual improvement.

2.3.2 Hydrography
The Group hydrographic provision is managed by the Group Hydrographic and Dredging Manager. The programme of surveys is agreed with the SMMO for each port. The completed surveys are promulgated to the port management and port users. Survey data is uploaded to the UKHO portal through a reciprocal agreement.

2.3.3 Aids to Navigation
The Group aids to navigation provision are managed by the Group Marine Services Manager. The programme of repairs and maintenance is agreed with the SMMO for each port. Each port has the duties of a Local Lighthouse Authority (LLA). The IALA set targets for availability which are monitored continuously by the General Lighthouse Authority (GLA) by the use of an internet portal. The GLA carry out an annual physical inspection. All the ports liaise closely with the GLA on all aids to navigation regardless of who is responsible for repairs and maintenance, in or outside port limits.

2.3.4 Management of Wrecks
Peel Ports harbour authorities will undertake a risk assessment of any wreck in, or in or near the approaches to a harbour. The authority’s powers to raise, remove, destroy and mark a wreck which is, or is likely to become, a danger to navigation will be exercised having regard
to that assessment, with the aim of reducing the risk to as low as reasonably practicable. The Group Hydrographic and Dredging Manager maintains wreck records for each harbour authority.

2.3.5 MetOcean Data
Each port has committed to regularly promulgating either by broadcast, email or web portal, navigational, weather, tidal and visibility information when available.

2.3.6 Diving Operations
Divers employed by harbour authorities, or in harbour areas, are regulated for commercial diving in the Peel Ports harbour authorities under the Diving at Work Regulations 1997 and the appropriate Approved Codes of Practice. All Peel Ports operate a permit to work system for commercial diving.

2.3.7 Regulating Harbour Works
The Peel Ports harbour authorities at Clydeport, Great Yarmouth, Heysham and Medway may license works where they extend below the high watermark, and are thus liable to have an effect on navigation. Such powers are given through local port legislation and take into account licensing for both river works and dredging.

3.0 IMPLEMENTATION AND OPERATION

3.1 Roles and Responsibilities

| Group Harbour Master | Marine operations related safety issues; Ensure Formal Risk Assessment is in place and carry out risk assessments as necessary; Represent Peel Ports on safety matters in dealings with external bodies; Provide assurance that risks have been identified and assessed, and that effective risk control measures are in place; Set performance targets for the Marine Division; Ensure the communication of necessary information throughout the organisation; Ensure the competence of marine staff; Monitor the safety performance of operations; Review the performance of the MSMS to ensure its continued suitability and effectiveness; |
| Group Marine Services Manager | Management of the contracted DP’s service provision;  
|                              | Contract management of the conservancy functions such as hydrography and aids to navigation and marine services such as dredging and marine asset disposal;  
|                              | Management of additional Group Marine functions as they develop in support of MSMS compliance, and other specific Group marine related projects as directed by the Group Harbour Master;  
|                              | Manage the delivery of the internal MSMS audit schedule and to carry out audits alongside other auditors within the Group;  
|                              | Chair the Group Training Competency and Standards Working Group;  
|                              | Delivery of processes and a communications framework to enable Group marine services to be delivered to Group ports in support of marine operations and conservancy. |
| Designated Person            | Reporting to the Group Harbour Master and providing assurance to the Port Directors on marine safety matters;  
|                              | Quarterly present a MSMS monitoring Report to the Duty Holder  
|                              | Annually review the effectiveness of the MSMS (see Volume 2, Section 10) and provide independent assurance to the Duty Holder, that the MSMS is working effectively;  
|                              | Make annual presentations of the review to the Port Directors.  
|                              | Conduct 3 yearly audits of the effectiveness of the MSMS and its compliance with the PMSC. |
| Marine Management Team (MMT) | Developing high levels of marine safety awareness amongst the staff and contractors, through encouraging workforce involvement and training;  
|                              | Setting marine safety targets and cascading these to all staff for their accountabilities in the MSMS;  
|                              | Co-ordination and monitoring of the implementation of the MSMS;  
|                              | Advises on marine operations related safety issues within their port;  
|                              | Provides assurance that risks have been identified and assessed, and that effective risk control measures are in place;  
|                              | Participates in the MSMS Management Committee;  
|                              | Facilitates the PMSC Local Liaison Committee (with port users) and promote co-operation between Quayside Personnel, Pilots, Tug Masters, Boatmen, Pilot Vessel Crews and Port Users; |
Ensures the communication of necessary information throughout the port;
Ensures the competence of marine department personnel;
Monitors safety performance in the port;
Initiate corrective action within the area of responsibility;
Disseminate lessons learned from incidents or events;
Reviews the MSMS effectiveness in their port, improving where necessary and setting new targets;
Maintains PRIMS
Manage marine assets;
Setting the required levels of maintenance dredging;
Agreeing the programme of hydrographic surveys;
The delivery of safe berths;
Ensures safety induction training of new or transferred staff.

| **Group Hydrographic and Dredging Manager** | Deliver the required levels of maintenance dredging;
Agree the programme of hydrographic surveys with MMT;
Survey (and resurvey as regularly as necessary) and find the best navigable channel or channels;
Promulgate hydrographic surveys to port management and users;
Wreck management;
Deliver the statutory level of environment monitoring. |
| **All Employees** | To implement the Peel Ports PMSC Policy, objectives & targets
To follow MSMS requirements and provide feedback on the effectiveness of the MSMS and suggestions for improvement. |
3.3 Training, Awareness and Competence
3.3.1 The Marine Management Team (MMT) are responsible for identifying employee training needs in accordance with legal and industry standards via regular information updates from the Training and Competency Standards Working Group. In addition training needs will be identified through on the job Appraisal, job supervision and employee feedback. Managers are responsible for ensuring that training is carried out in each of the relevant departments. An overview record of training is maintained within the Port Marine Training Policy Matrix.

3.4 Communication
3.4.1 Peel Ports Marine Department promulgates significant communications to PMSC stakeholders by the following means:
- Peel Ports Website;
- SharePoint Alerts;
- Targeted emails to affected groups;
- MSMS Annual Performance Review;
- Notice to Mariners;
- Byelaws, General Directions and Navigation Guidelines;
- MSMS Liaison Meetings;
- Annual Leisure Community Meetings.

3.5 Document Control
3.5.1 Management System Documentation relevant to Peel Ports Marine Departments are controlled and maintained by the Marine Management Team in accordance with the Document Control Procedure. These documents include:
- Policy Statements;
- MSMS Manual;
- Standard Operating Procedures;
- Standard Forms;
- Records / Registers.

3.5.2 MSMS documentation is periodically reviewed as part of the internal audit process.
3.5.3 The Group Harbour Master approves MSMS documents held on the PPL Group / Marine Library, SharePoint, accessible by all members of the MMT. Editorial rights are maintained by the Group Harbour Master for document security. The MMT will review and highlight amendments to the MSMS Documentation. It is the responsibility of the MMT to ensure amendments or the additions of new documents are communicated to all staff.

3.5.4 It is the responsibility of the Group Harbour Master to update and maintain the Marine Department Library of Documents.

3.6 Operational Control

3.6.1 Operational control of marine activities is achieved via a number of established procedures, which are divided into two categories:

- Standard System Procedures (see Section 3 of the MSMS contained within this Volume). Standard System Procedures are the set of procedures that describe how the MSMS itself functions.
- Standard Operating Procedures (see Section 4 of the MSMS contained within Volume 2). Standard Operating Procedures are the set of procedures that describe how a marine operation is conducted.

3.7 Risk Assessment

3.7.1 Risk Assessments are the foundation of the MSMS, the methodology for which is described in detail within the MSMS, Vol. 1, Section 3, SSP 007: Risk Assessment.

3.8 Emergency Preparedness

3.8.1 The potential for abnormal and emergency situations is periodically identified and assessed for significance in the respective port Emergency Procedures. As a result of this risk assessment and Hazid, procedural controls are implemented and training conducted.

3.8.2 Potential emergencies include fire, flood and pollution. 3 Yearly Internal audits and annual drills shall be conducted to assess emergency preparedness and response. It is the responsibility of the relevant Marine Manager to ensure all emergency equipment is maintained and tested.
4.0 CHECKING AND CORRECTIVE ACTION

4.1 Monitoring and Measurement

4.1.1 The MSMS Policy Document provides an overview of monitoring and measurement relating to the MSMS of Peel Ports Marine Departments. Results from monitoring and measurement are communicated and discussed within the Marine Management Team Meetings and enable Peel Ports Marine Departments to assess the effectiveness of the MSMS and drive continual improvement.

4.1.2 Effectiveness of the MSMS is monitored via internal and external audits, inspections, feedback from staff, clients and suppliers, accidents, corrective & preventive actions. Compliance with legislation and other requirements to which Peel Ports Marine Departments subscribes is periodically reviewed via the Register of legislation to ensure its completeness and the internal audit schedule to ensure effectiveness and compliance.

4.2 Marine Safety Issues, Corrective and Preventive Action

4.2.1 All Marine Safety Issues (MSI) shall be investigated. Action shall be taken to mitigate any impact by initiating and completing corrective action. The corrective actions are appropriate to the magnitude of the problem.

4.2.2 Corrective actions include investigating the Marine Safety Issues (MSI), determining the cause and taking actions to avoid the reoccurrence. The effectiveness of corrective action is periodically evaluated during the Marine Management Team Meetings.

4.2.3 Records of Marine Safety Issues (MSI) and subsequent corrective action taken shall be maintained via the Marine Investigation system (MSMS Volume 1, Section 3, SSP008), the Audit system and the port specific Enhancement Plan.

4.3 Internal Audit

4.3.1 The internal audit schedule shall define the frequency for auditing the management system. These audits shall determine whether the MSMS:

- Conforms to this manual, the procedures and other planned arrangements;
- Conforms to all relevant legislation and guidance;
- Has been properly implemented and maintained.
4.3.2 The audits, along with the management review, ensure the on-going effectiveness of the MSMS and assess compliance to legal & other requirements. Thus the auditor must be impartial and objective whilst completing the audit. The internal audit format, standard and method are managed by the GMSM as a qualified and experienced internal auditor. Auditors will be briefed on the format and conduct of their audits and provided with templates and assistance by GMSM. New auditors will shadow an experienced auditor for their first audit before conducting an audit by themselves.

5.0 MANAGEMENT REVIEW

5.1 The Marine Management Team Meeting is held monthly to ensure the continuing suitability, adequacy and effectiveness of the MSMS. The meeting is attended by the MMT. The review includes:

- IT Steering Group;
- Notes of the last meeting and matters arising including open actions;
- Audits / AtoN Update;
- Training, Competency and Standards;
- Hydrographic Update;
- Group Port Control Update;
- Navigational Safety Policy (confirmation still valid);
- Confirmation that the ports continue to provide for competent and suitably qualified persons with sufficient experience to carry out the day to day responsibilities of the Harbour Master function;
- Accidents; *(All reported accidents to be discussed)*
- Annual / Monthly Performance (KPI's);
- PRIMS *(Risk Assessments)*;
- Enhancement Plans;
- Changes to documents, organisation or equipment;
- Supplementary Instructions / Marine Safety Issues;
- Stakeholder Meetings / Communications and Consultations / Issues;
- Changes/New Legislation that could affect the MSMS;
- Changes in the marine activities, new trade, new technology, new vessels, major modifications of harbour and waterways;

5.2 An annual report shall be produced by the GHM for the DCOO.
PEEL PORTS GROUP LIMITED

Port Marine Safety Code

Marine Safety Management System

Section 3

STANDARD SYSTEM PROCEDURES
**MSMS STANDARD SYSTEM PROCEDURES: DISTRIBUTION LIST**

A controlled copy of the SOP’s is maintained on the SharePoint Intranet via the following link PPL Group / Marine Library / MSMS Volume 1 / Standard System Procedures

The Peel Ports Group Harbour Master will advise the following parties of any changes to the Policy Document by email.

<p>| | |</p>
<table>
<thead>
<tr>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Chief Executive Officer</td>
</tr>
<tr>
<td>2</td>
<td>Chief Operating Officer</td>
</tr>
<tr>
<td>3</td>
<td>Port Director (Clydeport and Ardrossan)</td>
</tr>
<tr>
<td>4</td>
<td>Port Director (Great Yarmouth)</td>
</tr>
<tr>
<td>5</td>
<td>Port Director (London Medway)</td>
</tr>
<tr>
<td>6</td>
<td>Port Director (Mersey)</td>
</tr>
<tr>
<td>7</td>
<td>Senior Manager - Marine Operations (Clydeport and Ardrossan)</td>
</tr>
<tr>
<td>8</td>
<td>Senior Manager - Marine Operations (Great Yarmouth)</td>
</tr>
<tr>
<td>9</td>
<td>Senior Manager - Marine Operations (London Medway)</td>
</tr>
<tr>
<td>10</td>
<td>Senior Manager - Marine Operations (Mersey)</td>
</tr>
<tr>
<td>11</td>
<td>Designated Person</td>
</tr>
<tr>
<td>12</td>
<td>Liverpool Pilotage Services Limited</td>
</tr>
<tr>
<td>13</td>
<td>Manchester Pilotage Services Limited</td>
</tr>
<tr>
<td>14</td>
<td>Fernleaf Marine Services</td>
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### RECORD OF CHANGES

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<td>SG</td>
</tr>
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<td>2</td>
<td>New Edition</td>
<td>September 14</td>
<td>SG</td>
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<td>3</td>
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<td>March 15</td>
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<td>4</td>
<td>New Edition</td>
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<td>7</td>
<td>New Edition</td>
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**Glossary of Terms**
<table>
<thead>
<tr>
<th>Abbreviation</th>
<th>Full Form</th>
<th>Abbreviation</th>
<th>Full Form</th>
</tr>
</thead>
<tbody>
<tr>
<td>ALARP</td>
<td>As Low As Reasonably Practicable</td>
<td>PD</td>
<td>Port Director</td>
</tr>
<tr>
<td>ASMAT</td>
<td>Annual Safety Management Awareness and Training</td>
<td>PEC</td>
<td>Pilot Exemption Certificate</td>
</tr>
<tr>
<td>CEO</td>
<td>Chief Executive</td>
<td>PMSC</td>
<td>Port Marine Safety Code</td>
</tr>
<tr>
<td>COL</td>
<td>Clydeport Operations Limited</td>
<td>POL</td>
<td>Port of Liverpool</td>
</tr>
<tr>
<td>COO</td>
<td>Chief Operating Officer</td>
<td>POSL</td>
<td>Port of Sheerness Limited</td>
</tr>
<tr>
<td>DP</td>
<td>Designated Person</td>
<td>PPG</td>
<td>Peel Ports Group</td>
</tr>
<tr>
<td>DRA</td>
<td>Dynamic Risk Assessment</td>
<td>PRIMS</td>
<td>Port Risk Incident Management System</td>
</tr>
<tr>
<td>GHDM</td>
<td>Group Hydrographic and Dredging Manager</td>
<td>QSSHE</td>
<td>Quality Security Safety Health and Environment</td>
</tr>
<tr>
<td>GHM</td>
<td>Group Harbour Master</td>
<td>RA</td>
<td>Risk Assessment</td>
</tr>
<tr>
<td>GMSM</td>
<td>Group Marine Services Manager</td>
<td>SHA</td>
<td>Statutory Harbour authority</td>
</tr>
<tr>
<td>GTGP</td>
<td>Guide to Good Practice</td>
<td>SMMO</td>
<td>Senior Manager marine Operations</td>
</tr>
<tr>
<td>HIG</td>
<td>Hazard Identification Guide</td>
<td>SOP</td>
<td>Standard Operating Procedure</td>
</tr>
<tr>
<td>HPL</td>
<td>Heysham Port Limited</td>
<td>SOSREP</td>
<td>Secretary of State Representative</td>
</tr>
<tr>
<td>IALA</td>
<td>International Association of Lighthouse Authorities</td>
<td>SSP</td>
<td>Standard System Procedure</td>
</tr>
<tr>
<td>KPI</td>
<td>Key Performance Indicator</td>
<td>STCW95</td>
<td>Standards of Training, Certification and Watchkeeping</td>
</tr>
<tr>
<td>KPT</td>
<td>Key Performance Targets</td>
<td>TCAS</td>
<td>Training Competency and Standards</td>
</tr>
<tr>
<td>LPS</td>
<td>Local Port service</td>
<td>VTS</td>
<td>Vessel Traffic Service</td>
</tr>
<tr>
<td>MDHC</td>
<td>Mersey Docks and Harbour Company</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MGN</td>
<td>Marine Guidance note</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MIN</td>
<td>Marine Information Note</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MMT</td>
<td>Marine Management Team</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MSCC</td>
<td>Manchester Ship Canal Company</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MSI</td>
<td>Marine Safety Issue</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MSMS</td>
<td>Marine Safety Management System</td>
<td></td>
<td></td>
</tr>
<tr>
<td>MSN</td>
<td>Marine Safety Notice</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OCSA</td>
<td>Organisational Change Safety Assessment</td>
<td></td>
<td></td>
</tr>
<tr>
<td>OPRC</td>
<td>Oil Pollution Response Convention</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
CONTENTS

1.0 Introduction

STANDARD SYSTEM PROCEDURES

SSP 000 Key Performance

SSP 001 Document Control

SSP 002 Marine Safety Issues

SSP 003 Training

SSP 004 Emergency Preparedness

SSP 005 Monitoring & Measurement

SSP 006 Internal Audits

SSP 007 Risk Assessment

SSP 008 Marine Investigation

SSP 009 Change Management
1.0 ACCEPTABLE LEVEL OF SAFETY

1.1 The acceptable level of safety expresses the safety goals of the organisation and is the overarching concept for the safety objectives of the organisation.

1.2 This is defined in terms of probability of a marine accident occurring and defined individually on the basis of target levels of safety.

1.3 The term “acceptable risk” describes an event with a probability of occurrence and consequences which are ‘as low as reasonably practicable’.

2.0 KEY PERFORMANCE TARGETS - KPT

2.1 KPTs define the target level of safety performance of a functional or operational system.

2.2 A KPT comprises one or more key performance indicators together with the desired outcomes expressed in terms of the indicators.

2.3 KPTs are the quantified objectives pertinent to the acceptable level of safety.

3.0 KEY PERFORMANCE INDICATORS - KPI
3.1 KPIs are linked to KPTs and are the measures/metrics used to determine if the targets, and therefore the acceptable level of safety, have been achieved.

4.0 PEEL PORTS KEY PERFORMANCE TARGETS

4.1 The Peel Ports Key Performance Targets (outcome measures) are defined as:

- To achieve three or less Very Serious / Serious Casualties at Peel Ports - Clydeport in a year**. Based on an average of 14,000 commercial vessel movements per year;

- To achieve two or less Very Serious / Serious Casualties at Peel Ports – Great Yarmouth in a year**. Based on an average of 5,000 commercial vessel movements per year;

- To achieve two or less Very Serious / Serious Casualties at Peel Ports - Ardrossan in a year**. Based on an average of 5,000 commercial vessel movements per year;

- To achieve two or less Very Serious / Serious Casualties at Peel Ports - Heysham in a year**. Based on an average of 5,000 vessel commercial movements per year;

- To achieve three or less Very Serious / Serious Casualties at Peel Ports - Liverpool in a year**. Based on an average of 14,000 vessel commercial movements per year;

- To achieve two or less Very Serious / Serious Casualties at Peel Ports - Manchester in a year**. Based on an average of 3,000 vessel commercial movements per year;

- To achieve three or less Very Serious / Serious Casualties at Peel Ports - Medway in a year**. Based on an average of 13,000 vessel movements per year;

** In the context of KPT’s, a year is defined as a rolling period of 12 months.
5.0 PEEL PORTS KEY PERFORMANCE INDICATORS

5.1 To measure, record and investigate the following:

- Accident ratio to number of commercial vessel moves;
- Aids to Navigation availability above the GLA thresholds;
- Full completion of the monthly Accident Reports by the 5th of the following month;
- To complete the following Safety Management processes within the stated timescales;
  - Conduct all marine staff annual assessments;
  - Conduct all Marine Investigations and close all actions within the target dates;
  - Close all MSMS and PMSC non-conformances by the target dates;
- To achieve 100% completion of all necessary risk assessments reviews as determined by the MSMS process.

6.0 DEFINITIONS

6.1 A ‘maritime accident’ is defined as any maritime casualty or any maritime incident. An accident also includes serious injuries.

A ‘maritime incident’ is an event or sequence of events which has occurred directly in connection with the operation of a ship that endangered, or if not corrected would endanger the safety of a ship, its occupants or any other person or the environment. ‘Near misses’ are maritime incidents.

6.2 Accident Classification Table
6.3 MAIB Reporting Requirements.

This SSP applies to marine accidents occurring within the statutory waters of our ports. Wider reporting requirements are stipulated within MGN 458 as published by the MCA.

6.4 Information Source

Following clarification with the MAIB, this SSP draws on the requirements of MGN 458 with additional clarification details including:

1. Aligning the scale of pollution to the MarPol 3 Tier system for clarity of reporting. This is based upon the IMO definition that Severe Pollution is a case of pollution which, as evaluated by the
coastal State(s) affected or the flag Administration, as appropriate, produces a major deleterious effect upon the environment, or which would have produced such an effect without preventive action. I.E. that national resources are used.

2. Addition of descriptors for a Less Serious Marine Casualty and Marine Incident. These have been added in order to provide increased clarity of reporting and analysis.

3. Addition of a non reportable event definition to cover those instances whereby a report is submitted in good faith but upon analysis presented no danger to people, vessel or infrastructure.

6.5 Reporting Requirement

All marine accidents and incidents, including near misses, occurring within our port’s statutory waters should be reported to the MAIB with the following exclusions:

1. Commercial Diving Incidents: Reportable to the HSE under RIDDOR.

2. Leisure diving incidents: Reportable to BSAC

3. Incidents involving pleasure craft as defined in the Merchant Shipping (Vessels in Commercial use for sport or pleasure) regulations 1998.

4. Incidents involving recreational craft hired on a bareboat basis unless the accident involves explosion, fire, death, serious injury, capsize of a power driven craft or boat, severe pollution.
5. Incidents involving any other craft or boat, other than one carrying passengers, which is in commercial use and is less than 8m in length, unless the accident involves explosion, fire, death, serious injury, capsize of a power driven craft or boat, severe pollution.

6. Any marine accident or incident, including near misses resultant of a deliberate act or omission with the intention to cause harm to the safety of a ship, an individual or the environment.

6.6 Material Damage (As referred to in Accident Classification Table)

‘Material damage’ is defined by the IMO as damage that significantly affects the structural integrity, performance or operational characteristics of marine infrastructure or a ship; and requires major repair or replacement of a major component or components; or destruction of the marine infrastructure or ship.
1.0 SCOPE

1.1 This document applies to all persons (staff and contractors) involved in the Peel Ports Marine Safety Management System. This document control defines the principles and processes to be adopted to control the MSMS documentation.

1.2 The document sets out the framework for document control and is derived from and consistent with the Peel Ports MSMS Manual and the Peel Ports MSMS Policy. A simplified overview of the document control key components is set out in the diagram below:

- **Group Harbour Master** maintains editorial rights
- **Group Harbour Master** approves MSMS documents
- **Marine Management Team** review all amendments and communicate to all staff
2.0 INTRODUCTION

2.1 Management System Documentation relevant to Peel Ports Marine Departments are controlled and maintained by the Marine Management Team in accordance with this Document Control Procedure. These documents include:

- Policy Statements
- MSMS Manual
- Standard System / Operating Procedures
- Standard Forms
- Records / Registers

3.0 REQUIREMENTS

3.1 Control of the MSMS

3.1.1 MSMS documentation is periodically reviewed as part of the internal audit process, following accident investigations and during risk assessment review.

3.1.2 The GHM approves MSMS documents with the master MSMS documentation held on PPL Group / Marine Library SharePoint, accessible by all members of the MMT.

3.1.3 Editorial rights are maintained by the GHM for document security.
3.1.4 MSMS documents are available to marine staff on the Company SharePoint site.

3.2 Amendments to the MSMS
3.2.1 The MMT will review and highlight amendments to the MSMS Documentation. It is the responsibility of the MMT to ensure amendments or the additions of new documents are communicated to all staff.

3.3 Publications
3.3.1 The following publications are held in the respective ports as controlled documents and are updated on an automatic subscription basis:
   - Code of Safe Working Practices for Merchant Seamen (latest edition);
   - SI’s (Statutory Instruments) applicable to Merchant Shipping;
   - MSNs (Merchant Shipping Notices);
   - MGNs (Marine Guidance Notes);
   - MINs (Marine Information Notes);
   - Local Notices to Mariners;
   - Appropriate Chart Folio and corrections;
   - Tidal data.

3.3.2 All other publications held in the respective Ports are retained for general reference and information purposes only; they are indexed, filed and marked to indicate they are not controlled.

4.0 APPENDICES
4.1 There are no appendices to this SSP.
1.0 SCOPE
1.1 A Marine Safety Issue (MSI) is defined as an event involving a marine related system, procedure or item of equipment which in any way, has, or if not rectified could have an impact on the safety of marine operations.

1.2 The procedures for the reporting, recording and dissemination of information relating to MSIs are defined in the following paragraphs.

2.0 INTRODUCTION

2.1 Any event falling into the above category shall be reported to the SMMO or Marine Manager on duty at the time in the respective Ports, via the VTS / LPS Centre, using the methods described in the following paragraphs.

3.0 REQUIREMENTS

3.1 Reporting of a Marine Safety Issue

3.1.1 MSIs may be identified by the audit programme, through communication with marine staff, or from accident investigations.

3.1.2 The SMMO shall evaluate the MSI and if deemed a non-conformance or contains important safety information, report in writing to the GHM with a probable corrective action.

3.1.3 If the GHM decides the case is valid, he will agree on a plan and time scale for its rectification.

3.1.4 The GHM shall initiate corrective action of the MSMS and publish an amendment.

3.2 Monitoring of Safety Standards
3.2.1 MSI report records shall be held by the GHM and shall be numbered sequentially on a yearly basis. Records shall continue to be reviewed at each Marine Management Team meeting until they are no longer considered to be relevant safety issues.

3.2.2 As part of the monitoring and review carried out by the MMT during Marine Management Team meetings, it will be decided whether any amendments are required to the MSMS.

3.3 Dissemination of Information

3.3.1 Following the initial notification of any MSI, the SMMO will decided whether immediate dissemination of the lessons learned from the event is required. If immediate notification is required at this stage the most appropriate method of notification shall be decided upon.

3.3.2 Where immediate notification is not required but the event has learning value to Marine staff, this information shall be issued by the SharePoint intranet.

3.3.3 All Level 4 (major) MSI reports will be disseminated to the group Ports as defined within the following table:

<table>
<thead>
<tr>
<th>Level 0 (Insignificant)</th>
<th>A marine related event which has no impacts on the safety of vessel, persons, environment or port facilities; all systems and procedures worked correctly</th>
</tr>
</thead>
<tbody>
<tr>
<td>Level 1 (Minor)</td>
<td>A marine related event that causes (or could have caused) minor damage to a vessel, persons, environment or port facilities; and/or involving minor injury.</td>
</tr>
<tr>
<td>Level 2 (Moderate)</td>
<td>An marine related event that causes (or could have caused) the safety of a vessel to be compromised, having led to a near collision between vessels, with the infrastructure or obstacles; and/or involving injury.</td>
</tr>
</tbody>
</table>
### Marine Safety Issues

<table>
<thead>
<tr>
<th>Level 3</th>
<th>An marine related event that causes (or could have caused) an incident involving circumstances where an accident nearly occurred; and/or:</th>
</tr>
</thead>
<tbody>
<tr>
<td>(Serious)</td>
<td>Involving serious injury.</td>
</tr>
<tr>
<td></td>
<td>Damage to the environment or port facilities.</td>
</tr>
<tr>
<td>Level 4</td>
<td>An marine related event that causes (or could have caused) an vessel accident; and/or:</td>
</tr>
<tr>
<td>(Major)</td>
<td>Involving very serious, life threatening or fatal injury.</td>
</tr>
<tr>
<td></td>
<td>Substantial damage to the environment or port facilities.</td>
</tr>
</tbody>
</table>

3.3.4 Additionally, SMMO will identify and disseminate any MSIs and safety information which may be of interest to the other Ports. MSIs and safety information received from other Ports will be an agenda item at Marine Safety Meetings.

3.3.5 The original MSI report may include some sensitive information e.g. staff names, etc.; these should be redacted before passing the report on to other Ports. This may involve transferring the details of the MSI, without the sensitive information, to another (copy) Report Form.

3.4 MSI Closure

4.4.1 GHM will decide when an MSI can be closed, i.e. when all corrective actions and recommendations have been completed/are in place.
3.5 Process Flow Chart

Marine Safety Issue

Following

SMMO

Non conformance with MSMS Corrective Action / Recommendation

Disseminates lessons learnt

Group Ports

GHM

MMT Agree Changes Supplementary

GHM Agrees Corrective Action

SharePoint Records

5.0 REFERENCES

5.1 SharePoint-Intranet
1.0 SCOPE
1.1 The Annual Safety Management Awareness and Training (ASMAT) is designed to ensure that each member of the Marine staff completes a minimum requirement of Safety Management training each year.

2.0 INTRODUCTION
2.1 Each member of staff will have their own individual training ASMAT detailed in the ASMAT Matrix. ASMAT will be delivered by e-learning through the Peel Ports, Port Marine Safety Code Training Course.

2.2 All details of ASMAT training will be recorded on the individual’s ASMAT record retained in the Peel Ports Learning Management System (LMS).

2.3 The SMMO’s have overall responsibility for ensuring the delivery of the ASMAT each year for each port. The TCAS will inform and advise the SMMO’s.

2.4 Line Managers are responsible for ensuring that all staff members have completed the minimum ASMAT requirement.

2.5 Line Managers are responsible for ensuring that all relevant records are completed.

2.6 It is also very important that any Safety Improvement Suggestions are captured. These can come from organised sessions, arranged by teams or individual suggestions.

3.0 REQUIREMENTS
3.1 Training Competency and Standards (TCAS) Working Group
3.1.1 GHM will nominate appropriate members of the Marine teams to form the Training Competency and Standards Working Group. The Working Group will meet at least every 6 months; the venue will be shared between the Ports.

3.1.2 The members will be drawn from each Port and other members of Marine staff as appropriate. The meetings will normally be chaired by the GMSM.

3.1.3 Meeting notes will be taken and distributed to all members (and absent members) after each meeting; the notes will be in the form of a summary of the issues discussed at the meetings, including any actions agreed, the person(s) nominated to carry out the actions and target dates if applicable.

3.1.4 Each meeting will concentrate on either strategic issues or on-going work-streams/projects, as required. The Chair will provide post-meeting feedback to the GHM.

3.1.5 The TCAS Working Group will report directly to GHM. Following each meeting, the chairman will brief the GHM on the issues discussed and outcomes of the meeting. Working Group information, recommendations, etc. will be progressed to MMT where projects will be defined and allocated to appropriate staff.

3.1.6 The aim is to ensure that training, competency and standards within Marine are maintained and improved in order to remain fit for purpose in support of the provision of Marine services.

3.1.7 The objective is to ensure that training, competency and standards within Marine Operations are afforded the highest priority.

3.2 Terms of Reference.
4.2.1 The TCAS Working Group will:

- Take strategic direction from MMT and the Marine Management Team Meetings process;

- Monitor the training plan to ensure its effectiveness and that training, competency and standards are being appropriately assessed, controlled (mitigated) and managed;

- Maintain the marine standards matrix;

- Review and propose amendments and improvements to the training records system;

- Consider when training information, available courses, etc., can be shared with other Ports/Departments, both Peel and non-Peel, in order to generate mutual benefits;

- Review all communication channels between Ports and ensure relevant information concerning training, competency and standards is disseminated;

- Ensure consistency in the application of the Training across the Ports;

- Review and assist in the development of new and existing operational training systems, policies, procedures and safe systems of work;

- Undertake training, competency and standards work and projects as directed by GHM.

5.0 APPENDICES

5.1 ASMAT Matrix

5.2 Marine Training and Standards Matrix

5.3 Marine Training Records System
1.0 SCOPE

1.1 To ensure Peel Ports Group Limited has preparations for emergencies which have been identified from a Formal Risk Assessment.

2.0 INTRODUCTION

2.1 The primary objective is to ensure the safety of:

- People;
- Environment;
- Assets;
- Reputation.

2.2 The Peel Ports Group Marine Emergency Policy (GMEP) sets out the action to be taken and individual ports in the event of a Serious Marine Emergency occurring within any of our group ports. Responsibility for the production of the Policy has been undertaken by the GHM.

The Policy focuses on various types of emergencies and the provision of an appropriate response. If the incident involves oil pollution, then ports Oil Spill Contingency Plans will be invoked.

2.3 Each port or organisation involved in a Peel Ports Group Serious Marine Emergency, will be responsible for implementing their local plans and procedures.

2.4 Any event requiring the partial or total shut-down of a Port, e.g. bomb warning, fire alarm evacuation, etc., will be managed in accordance with instructions contained in the local ports emergency procedures.
3.0 REQUIREMENTS

3.1 Contingency Facilities

3.1.1 Group Ports do not have access to purpose built contingency facilities, such as a stand-by/emergency Port Control, which would allow port operations to continue in the event of an evacuation of the Port Control building(s). Consequently, Marine contingency plans shall include the possibility of the managed shut-down of some or all of Marine Operations.

3.2 Partial Evacuations

3.2.1 Partial evacuations may involve deployment of staff to a non-evacuated area in order to continue the provision of Marine Operations, usually at a reduced level. Specific procedures include:

- Informing GHM, adjacent Ports, Cargo Ops, etc.;
- Vessels established in approach channel;
- Vessel cleared/about to Depart;
- Use of portable VHF radio equipment;
- VHF Radio broadcasts.

3.3 Resumption of Marine Operations

3.3.1 Procedures for the resumption of Marine Operations are also defined in the specific Ports Emergency Procedures.
3.4 Testing and Review of Contingency Arrangements

3.4.1 It is not possible to practice complete or partial evacuations of Port Control involving the partial or total shut-down of Marine services. Consequently, testing and review of contingency arrangements and emergency actions will be ‘simulated’ as follows:

- In accordance with a local Fire Management Plan which requires the regular testing of Port Control building(s) evacuation procedures, where such a Plan exists.
- And / or evacuation procedures will form part of routine training by inclusion in, training, safety surveys, etc.

3.4.2 All Marine staff will take part in an evacuation simulation at least once per year; e.g. practice evacuation could be carried out during training days, and could be combined with a fire alarm test. The SMMO must record and retain full details of all simulated and practice evacuations (complete or partial) of Port Control buildings.

4.0 APPENDICES

4.1 There are no Appendices to this SSP.
1.0 SCOPE

1.1 The provision of appropriate active monitoring and measuring of the MSMS performance to ensure it is functioning correctly.

2.0 INTRODUCTION

2.1 Overall Safety Performance, including Key Performance Targets and Key Performance Indicators, will be reviewed; the review results shall be published in the Annual MSMS Report provided by GHM.

2.2 MSMS Polices will be reviewed at least every 3 years to ensure they remain relevant and responsive to organisational need.

The Group Marine Navigational Safety Policy is reviewed monthly at the MMT meeting.

3.0 REQUIREMENTS

3.1 The Marine Management Team

3.1.1 The Marine Management Team comprising the Senior Manager – Marine Operations (Clydeport), Senior Manager – Marine Operations (Great Yarmouth), Senior Manager – Marine Operations (Medway), Senior Manager – Marine Operations (Mersey) will demonstrate commitment to safety by providing the necessary resources, through their Port Directors, to develop, operate and maintain an effective MSMS. Marine Operations will be conducted in line with this MSMS.

3.2 MSMS Management Review

3.2.1 The MSMS will be reviewed monthly at the MMT meeting and annually in a report by the GHM.
3.2.2 A monthly / annual Safety Performance Review from the port SMMO will be an agenda item for the MMT Meetings.

3.3 Functions and Responsibilities

3.3.1 To monitor the overall effectiveness of the MSMS and give strategic direction in Continuous Improvement.

3.4 Organisational Structure

3.4.1 Review post holder accountabilities and responsibilities and charts to ensure that they remain relevant and responsive to the organisational need.

3.4.2 Review manning levels, competences and skills to ensure that they precisely match the organisational need and that any corrective actions have been completed within satisfactory timescales.

3.5 Safety Achievement

3.5.1 Review the results of all safety monitoring undertaken including internal audits, safety performance review reports and Annual Analysis to ensure that safety levels are being achieved or exceeded.

3.6 Safety Assurance
3.6.1 Review safety records to assure that risks are being managed properly and that remedial measures are being put in place to counter any actual or potential degradation in the safety risks. E.g. Internal Audit Reports, Risk Register, Safety Performance Review Report, etc.

3.7 Safety Promotion

3.7.1 Review methods of safety promotion to ensure there is education and encouragement to everyone to foster an open safety culture.

3.7.2 Consider improvements to the MSMS for safety awareness, lesson dissemination and safety improvement suggestions.

3.8 Risk Assessment and Mitigation Process

3.8.1 Review change management and risk assessment processes to ensure that performance and improvement opportunities are understood and acted upon.

3.9 Contingency Arrangement

3.9.1 Review the measures in place to cope with significant degradation or interruption of services.

3.10 Independent DP Audit Report

3.10.1 Review the findings of the audit and recommend actions to the Port Director.
3.11 Annual Report

3.11.1 To provide a report to be distributed to stakeholders.

3.12 Safety Oversight

3.12.1 Safety oversight of Peel Ports MSMS, as defined in the MSMS Manual, is achieved as follows:

- Internal Audit (see SSP 006). Audits of each Port will be facilitated by members of the Marine Management Team and will focus on the operational compliance with the MSMS.

- Independent DP Audit. Independent safety oversight of the MSMS will be achieved by a three yearly audit. The audit will be an audit of the operational compliance with the MSMS and additionally will take the form of a ‘gap analysis’ of the compliance of the MSMS with the current PMSC. The Independent DP Audit will be conducted by Peel Ports appointed DP. The DP will produce an audit report identifying any shortfalls and/or deficiencies in the MSMS. Copies of the Audit Report will be provided to:
  - COO
  - GHM
  - Port Director
  - SMMO

4.0 APPENDICES

3.1 There are no Appendices to this SSP.
1.0 SCOPE

1.1 Internal Audits, part of safety assurance, will provide Peel Ports Group Limited management with assurances that the MSMS is working effectively and that marine operations and support activities conform to the safety commitment defined in the PMSC.

2.0 INTRODUCTION

2.1 An Internal Audit is a means of exposing an established procedure, operation or piece of equipment to a high level review, thereby to ensure that the particular port is complying with the MSMS policies and procedures. The Internal Audit is not an in depth survey and is not as detailed as the external Designated Person audits. The internal audits are designed to provoke review and discussion between the audited port and the auditor to assist the port in identifying and recording any areas for improvement. It shall provide the Port with a good indication of how well they are managing to implement the MSMS. It shall also highlight to the Port and the GHM any areas of the MSMS which require updating or further clarity.

3.0 REQUIREMENTS

3.1 Internal Audits

3.1.1 Four Internal Audits will be conducted in each Port each year, 1 per calendar quarter; the areas of the MSMS to be audited each quarter will be determined by the GHM in conjunction with the GMSM. However the entire MSMS shall be audited over a three year period. They shall also pay due regard to specific high risk activities or subjects requiring further attention resulting from incidents or previous audits.

3.1.2 Each Internal Audit will be conducted by an auditor(s) nominated by each of the SMMOs from their Marine Operations teams. Auditors shall not audit their own ports, but shall audit other ports within the Group to provide a degree of independence but also to promote the sharing of ideas and methods across the Group.

3.1.3 The GHM in conjunction with the GMSM shall:
Internal Audit

- define an annual Internal Audit Schedule which is published on the SharePoint Marine Library at PPL Group / Marine Library / Audit / Group Internal Audit Schedule.

- Being mindful of the opportunities for staff development and engagement, appoint an auditor(s) from all of the SMMO’s teams to audit each other’s ports across the Group.

- Agree audit dates with ports and record these on the Internal Audit Schedule on SharePoint.

- Ensure that any remedial and/or corrective actions are carried out, including any immediate actions, within defined target dates;

- Ensure PD and COO receive a copy of the Internal Audit Report.

3.1.4 The SMMO’s shall establish a follow-up Enhancement Plan through utilisation of the Group Enhancement Tracker;

3.1.5 Internal audits will be focused on the operational effectiveness of the MSMS

3.3 Internal Audit Report

3.3.1 Formal Internal audit reports will be prepared by the auditor using the Internal MSMS Audit Report template. Copies of the template are available on SharePoint at PPL Group / Marine Library / Audit / Group Internal Audit Schedule.

3.4 External audits

3.4.1 External audits shall be carried out at least every 3 years by the DP. The audit will be on the operational compliance with the MSMS but may additionally comment on the compliance of the MSMS with the current PMSC where the auditor sees an obvious deviation from the PMSC. Full gap
analyses of the MSMS content against the PMSC have already been completed by the DP and therefore the MSMS content already complies with PMSC. This process may be repeated if there is a significant change to either the MSMS or the PMSC. The aim of the External Audit is to provide the Duty Holder with confirmation that the Port is complying operationally with the MSMS so that they can submit their three yearly Compliance Exercise to the MCA with confidence.

5.0 APPENDICES

5.1 Internal Guidelines (SharePoint folder – PPL Group/Marine Library/Audit/Group Internal Audit)
1.0 SCOPE

1.1 The risk assessment process to be used within Peel Ports Group Limited marine operations can be summarised as follows:

- Systematically identify possible hazards to people, environment, assets and reputation.
- Evaluate the seriousness of the consequences of the hazard occurring;
- Consider the probability of it happening;
- Determine whether the consequent risk is acceptable. If not, take action to reduce the severity of the hazard or the probability of it arising to reduce the risk to as low as reasonably practicable (ALARP).

2.0 INTRODUCTION

2.1 All generic Risk Assessments are to be carried out using the Peel Ports PRIMS programme which forms a Risk Register. Specific Risk Assessments are to be carried out using the Peel Ports Marine Risk Assessment form, available on the HS&E SharePoint intranet.

2.2 Specific Risk assessments are to be linked to the corresponding PRIMS generic Risk Assessment within the Risk Register together with the applicable SOP. All generic and specific risk assessments together with their applicable SOP’s are grouped into PMSC GTGP headings under Principle Risk Groups.

3.0 REQUIREMENTS

3.1 Hazard Identification Guidance
3.1.1 A high level assessment of the reasonably foreseeable hazards should be carried out. The process is an integral part of the change management process, described at SSP 009.

3.1.2 A Hazard Identification Guide (HIG) is provided at Appendix 1. The HIG is in the form of a checklist of potential hazards which will require detailed evaluation as part of a Risk Assessment process. Each column of the table represents a specific hazard area; the Risk Assessment Team must determine which hazard areas are relevant and use the list of potential hazards accordingly.

3.1.3 N.B. The HIG is not an exhaustive list of all hazards to be considered during a Risk Assessment; it is intended to assist in the RA process and must not:

- Be the only source of hazard identification;
- Replace careful consideration of the hazards by the Risk Assessment Team.

3.2 Evaluate the Severity of the Hazard Occurring

3.2.1 The severity (consequence) of each individual hazard occurring shall be assessed for its effect on safety. An associated Severity Classification Table is included at para 3.6 Table 1, below. A selection should be made from the six categories to cover as a minimum, Public, crew, employee safety (people), pollution (environment), port and shipping infrastructure (Assets), port and port user operations (business, reputation etc.). An average, by dividing the sum of the values in the set by their number, should be taken to provide a single severity score.

3.3 Consider the Likelihood of it Happening

3.3.1 The likelihood of an occurrence will be defined in qualitative or quantitative terms;
3.3.2 Many of the hazards identified are acceptably mitigated by the application of existing standards, regulations, procedures or practices. This does not mean that the process need not identify other mitigating factors;

3.3.3 An associated Likelihood Classifications Table is at para 3.7 Table 2, below;

3.4 Determine Whether the Consequent Risk is ALARP

3.4.1 Once the consequence severity of a hazard has been assessed and the likelihood of it arising has been estimated, a judgment can be made on whether the risk is acceptable or not;

3.4.2 Common sense dictates that a major consequence of an undesired event with a high Likelihood of Occurrence is unacceptable; however it may be ALARP if the likelihood of occurrence is very low, although it may be undesirable;

3.4.3 The process of judging ALARP risks is presented in the Risk ALARP Matrix at para 3.8 Table 3, below;

3.5 Actions to Reduce the Severity of the Hazard or the Likelihood of it Arising to Reduce the Risk to ALARP (para 3.9 Table 4), below;

3.5.1 Where the table indicates that the risk is currently unacceptable, action must be taken to reduce the likelihood of occurrence and/or the consequence severity of the hazard;

3.5.2 If the residual risk remains at ‘High’ or ‘Very High’, then Endorsement is required, which can only be signed by the SMMO.
### 3.6 Table 1 - Severity level and example descriptors

<table>
<thead>
<tr>
<th>Consequence</th>
<th>1 Negligible</th>
<th>2 Minor</th>
<th>3 Moderate</th>
<th>4 Major</th>
<th>5 Catastrophic</th>
</tr>
</thead>
<tbody>
<tr>
<td>Injury to persons or person</td>
<td>Person receives first aid</td>
<td>Person visits doctor for treatment(not in an ambulance)</td>
<td>Fracture of digits. Person taken to A&amp;E but not kept in or injury not major results in 3 consecutive days incapacity</td>
<td>Major injury (MAIB): fracture, loss of limb, loss of sight, penetrating eye injury, 24hrs hospitalisation</td>
<td>Loss of life(IMO)</td>
</tr>
<tr>
<td>Damage to Port Structure</td>
<td>Cosmetic damage</td>
<td>Loss of timbers from fendering. Bent ladders, coping stones cracked</td>
<td>Bollards broken, berth used with care. Mooring lines part. Tow lines part</td>
<td>Fender system compromised &amp; requires repair before use. Pipeline damage</td>
<td>Berth closed for rebuild, pipeline breach</td>
</tr>
<tr>
<td>Damage to the environment, release of hazardous substance to water column or air</td>
<td>Small area of sheen&lt;10msq, Small gas release, No clean up required, No action by workforce</td>
<td>Area of metallic appearance &lt;50msq, Tier 2 called out no action, Terminal workforce in containment area onsite</td>
<td>Discontinuous true colour &gt;50msq,Tier 2 called out, up to one day clean up. Terminal workforce in containment area onsite</td>
<td>Serious pollution (IMO), Tier 2 called out up to 3 days clean up, Local evacuation</td>
<td>Severe pollution (IMO), Tier 3 called out, Up to 7 days clean up, Large scale evacuation</td>
</tr>
<tr>
<td>Disruption to business continuity</td>
<td>Accident closes port for up to 1hour. Vessel(s) delayed for a period up to 6hrs</td>
<td>Accident closes port for up to 3 hours. Vessel(s) delayed for a period up to 18hrs</td>
<td>Accident closes port for up to 6 hours. Vessel (s) delayed for a period up to 36hrs</td>
<td>Accident closes port for up to 24hrs</td>
<td>Accident closes port for more than 24hrs</td>
</tr>
<tr>
<td>Accident to ship (PMSC) one or more of the IMO categories which result in the following</td>
<td>Cosmetic damage, Vessel drags anchor but is under control, Vessel sustains major system failure (engines etc.)</td>
<td>Bent rails, Vessel anchors against advice, Denting to hull</td>
<td>Vessel grounds, in collision, or floods. Actual damage to hull, cargo gear or accommodation, Vessel fails to respond to VTS instructions</td>
<td>Structural damage rendering ship unseaworthy (IMO). Break-down requires towage. V/l drags anchor over pipeline</td>
<td>Total loss of vessel (IMO)</td>
</tr>
</tbody>
</table>
Risk Assessment

<table>
<thead>
<tr>
<th>Effect of negative publicity on the company</th>
<th>Accident results in small item on local news</th>
<th>Regional news with press statement required</th>
<th>National news Journalist attend Interviews required</th>
<th>National and International media attend. Management of media required. 24hr response may be required</th>
<th>World agencies require 24hr information for a prolonged period</th>
</tr>
</thead>
<tbody>
<tr>
<td>Financial impact to Port Business model</td>
<td>&lt;£2000</td>
<td>&gt;£2000</td>
<td>&gt;£20000</td>
<td>&gt;£200,000</td>
<td>&gt;£2,000,000</td>
</tr>
</tbody>
</table>

3.7 Table 2 - Likelihood scores and descriptors

<table>
<thead>
<tr>
<th>Likelihood</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>Rare</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Unlikely</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Possible</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Likely</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Almost Certain</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

<table>
<thead>
<tr>
<th>How often it might / or does happen</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
</tr>
</thead>
<tbody>
<tr>
<td>This will probably never happen/recur</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
</tr>
<tr>
<td>Do not expect it to happen/recur but it is possible it may do so</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Might happen or recur occasionally</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Will probably happen/recur but it is not a persisting issue</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Will undoubtedly happen/recur, possibly frequently</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>
3.8 **Table 3 – Risk ALARP Matrix**

<table>
<thead>
<tr>
<th>Consequence</th>
<th>Likelihood</th>
<th>1 Negligible</th>
<th>2 Minor</th>
<th>3 Moderate</th>
<th>4 Major</th>
<th>5 Catastrophic</th>
</tr>
</thead>
<tbody>
<tr>
<td>5 Almost Certain</td>
<td>5</td>
<td>10</td>
<td>15</td>
<td>20</td>
<td>25</td>
<td></td>
</tr>
<tr>
<td>4 Likely</td>
<td>4</td>
<td>8</td>
<td>12</td>
<td>16</td>
<td>20</td>
<td></td>
</tr>
<tr>
<td>3 Possible</td>
<td>3</td>
<td>6</td>
<td>9</td>
<td>12</td>
<td>15</td>
<td></td>
</tr>
<tr>
<td>2 Unlikely</td>
<td>2</td>
<td>4</td>
<td>6</td>
<td>8</td>
<td>10</td>
<td></td>
</tr>
<tr>
<td>1 Rare</td>
<td>1</td>
<td>2</td>
<td>3</td>
<td>4</td>
<td>5</td>
<td></td>
</tr>
</tbody>
</table>

4.9 **Table 4 - Actions to mitigate risks are determined based on the risk score**

<table>
<thead>
<tr>
<th>Risk Score</th>
<th>Actions to Mitigate Risk</th>
</tr>
</thead>
<tbody>
<tr>
<td>1-3 Very Low</td>
<td>Review through internal audit</td>
</tr>
<tr>
<td>4-9 Low (ALARP)</td>
<td>Assessed as ALARP. Manage and review in 12 months</td>
</tr>
<tr>
<td>10-19 High</td>
<td>Additional Controls required</td>
</tr>
<tr>
<td>20-25 Very High</td>
<td>Intolerable. Immediate action to be taken</td>
</tr>
</tbody>
</table>

3.10 **Table 5 – Consequence Categories**

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Owner: GHM

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MSMS/SSP/007

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<table>
<thead>
<tr>
<th>Consequence Category</th>
<th>Treatment</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Inadequate</td>
<td>Controls do not treat the risk as intended</td>
</tr>
<tr>
<td>2 Adequate</td>
<td>Control shortfall which do not affect the level of residual risk</td>
</tr>
<tr>
<td>3 Optimal</td>
<td>Controls work as intended</td>
</tr>
<tr>
<td>4 Excessive</td>
<td>Control exceed the level required</td>
</tr>
</tbody>
</table>

### 3.11 Review of Risk Assessments

#### 3.11.1 Risk Assessments relating to new procedures and equipment and/or a change to procedures/equipment will be subjected to review 12 months after issue.

#### 3.11.2 If this review identifies any improvement(s) to either the procedure/equipment or to the Risk Assessment itself, then these changes are to be made and the RA submitted to review after a further 12 months.

#### 3.11.3 Risk Assessments will also be reviewed following an accident, following a Marine Safety Issue or hazard observation.

#### 3.11.4 If a review reveals no issues or concerns associated with the procedure, equipment or RA, then subsequent review will be in accordance with the requirement for Internal Audits i.e. there is no requirement for any further 12 months review.

### 3.12 PRIMS Marine Risk Register
3.12.1 PRIMS Marine Risk Register has a traffic light rating system in place for indicating the date of review status for all marine risk assessments using the red, amber, or green of traffic lights.

Marine risk assessment review statuses will be highlighted as follows:

Marine risk assessments within 30 days of the date of review, and requiring immediate attention, will be highlighted in **Red**.

Marine risk assessments within 90 days (but exceeding 30 days) of the date of review will be highlighted in **Amber**.

Marine risk assessments outside of 90 days will be highlighted in **Green**.

3.13 Dynamic Risk Assessments

3.13.1 Nothing in the preceding paragraphs will prevent a member of the Marine staff from carrying out, in exceptional circumstances, a dynamic risk assessment in order to facilitate short notice, out-of-hours or urgent operations. They are to be used to assess a situation as it unfolds and to continuously assess the circumstances and adjust the response to meet the risk presented.

3.13.2 Examples of using a DRA to deal with the unexpected might include:

- When handling a major incident;
- If an obstruction occurs in a navigation channel;
- Navigation of vessels in particular poor visibility;
- Equipment failure (either onboard or ashore).

3.13.3 Generic risk assessments for any project must describe clearly who is responsible for any subsequent DRA.
3.13.4 DRA’s do not normally need to be formally recorded.

3.13.5 Following a DRA, the full Risk Assessment procedure will be completed, as soon as possible, in the PRIMS programme or SharePoint Marine Risk Assessment Form. The SMMO shall review the associated full RAs to determine subsequent corrective actions and define target dates.

3.14 Cost benefit Assessment

We will ensure, so far as reasonably practicable, the health and safety of employees and other people affected by our work.

We aim to protect people, environment, assets and reputation by the use of our MSMS to ensure risks are dealt with sensibly, responsibly and proportionately.

This means balancing the level of risk against the measures needed to control the real risk in terms of money, time or trouble. We will, without question, introduce measures that are reasonably practically, however, we would carry out a cost benefit assessment should we believe controls to be grossly disproportionate to the level of risk.

4.0 APPENDICES

Appendix 1: Hazard Identification Guide – HIG

N.B. The HIG is not an exhaustive list of all hazards to be considered during a Risk Assessment; it is intended to assist in the RA process and must not:

- Be the only source of hazard identification.
- Replace careful consideration of the hazards by the Risk Assessment team

<table>
<thead>
<tr>
<th>Hazard Area</th>
<th>Port Approaches</th>
<th>Approach Channel &amp; River</th>
<th>Services</th>
<th>Locks and Docks</th>
<th>Bridges and Passageways</th>
<th>Berths</th>
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<td>Wind farms</td>
<td>External Providers</td>
<td>Road Traffic</td>
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<td>Lack of Water Depth</td>
<td>Reduced Redundancy</td>
<td>Lack of Water Depth</td>
<td>Lack of Water Depth</td>
<td>Lack of Water Depth</td>
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<tr>
<td></td>
<td>Passage Plan</td>
<td>Passage Plan</td>
<td>External Services</td>
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<td>Obstructions</td>
<td>Obstructions</td>
<td>Power Service (HV, UPS)</td>
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<td></td>
<td>Vessel Defects</td>
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</tbody>
</table>
1.0 SCOPE
1.1 To define the actions to be taken following a marine accident, which includes a marine incident or dangerous occurrence?

2.0 INTRODUCTION
2.1 All Accident Reports will be reviewed initially by:

- Shift Manager at Group Port Control;

- Appropriate Marine Managers.

2.2 To ensure that all necessary detail and necessary immediate corrective actions are taken and recorded. The report is then placed on PRIMS (personnel accidents on HSE SharePoint) for authorisation and action.

3.0 REQUIREMENTS
3.1 The initial investigation of all reported accidents shall be started by the respective Marine Manager and/or SMMO (as appropriate) within 48 hours of the report being received. Reported events which relate directly to or involve equipment / infrastructure / facilities will be referred to the appropriate Engineering Manager for further investigation.

3.2 When the accident requires further investigation by another department e.g. Engineering, Cargo Ops, QSSHE, etc., reports from these departments will be sought to supplement the investigation report.
3.3 When the initial investigation has been completed the details of the event will be verified by the investigator(s). Any corrective actions and recommendations, together with appropriate timescales, will be agreed at this stage.

All events will be subject to final review by the SMMO or nominated Deputy. The SMMO or nominated Deputy will decide whether an event can be closed or further corrective action is required before closure can take place.

3.4 The focus of the MMT when considering accident investigation reports will be:

- To consider and discuss the findings and conclusions of the initial investigation including root cause;
- To consider and discuss the corrective actions and recommendations of the initial report;
- If necessary, add to or amend the initial corrective actions and recommendations;
- Consider any relevant failures of the MSMS;
- To set timescales for follow up actions;
- To determine the accident level, Level 0 to 4, in accordance with the following definitions. The accident level will be recorded on the Accident Form as the Accident Classification.
## Marine Investigations

<table>
<thead>
<tr>
<th>Level</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Level 0</strong>&lt;br&gt; (Non Reportable)</td>
<td>A marine related event that falls within the definition of an accident, which upon investigation is identified as having no potential for injury, damage or pollution.</td>
</tr>
<tr>
<td><strong>Level 1</strong>&lt;br&gt; Marine Incident (including Near miss)</td>
<td>A marine related event that causes non material damage or less severe pollution or could have caused material damage to a vessel or infrastructure or serious injury to persons.</td>
</tr>
<tr>
<td><strong>Level 2</strong>&lt;br&gt; (Less Serious)</td>
<td>A marine related event that causes material damage to a vessel or infrastructure or serious injury to persons or less serious pollution</td>
</tr>
<tr>
<td><strong>Level 3</strong>&lt;br&gt; (Serious Marine Casualty)</td>
<td>A marine related event that occurs directly by or in connection with the operation of a vessel and involves fire, explosion, collision, grounding, contact, heavy weather damage, ice damage or hull defect.</td>
</tr>
<tr>
<td><strong>Level 4</strong>&lt;br&gt; (Very Serious Marine Casualty)</td>
<td>A marine related event that causes loss of life, total loss of the vessel or severe pollution.</td>
</tr>
</tbody>
</table>

### Levels 4

### Level 4 - ALL Level 4 accidents must be disseminated to ALL Ports

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3.5 When the report is considered by the MMT, any additional follow up actions and time scales for such actions will be agreed upon at the time of the meeting; details shall be recorded on the Accident Report Form (found within PRIMS).

3.6 Monitoring of Safety Standards

3.6.1 Accident report records shall be held by PRIMS and shall be numbered sequentially. Records shall continue to be reviewed at each MMT meeting until they are no longer considered to be relevant safety issues.

3.6.2 As part of the monitoring and review carried out by the MMT, it will be decided whether any amendments are required to Port specific documentation (safety assurance).

3.7 Dissemination of Information

3.7.1 Following the initial investigation of any accident, the GHM will decide whether immediate dissemination of the lessons learned from the event is required. If immediate notification is required at this stage the most appropriate method of notification shall be decided upon. This may take the form of:

- Information notified on the Port Control Hand Over Log;

- The issue of a Notice to Mariners;

- General memo;

- Individual notification.
3.7.2 Where immediate notification is not required but the event has learning value to marine staff, this information shall be issued by the SMMO as part of the regular Staff briefings.

3.7.3 All Level 4 (major) accident reports will be disseminated to the group ports.

3.7.4 Additionally, the GHM will identify and disseminate any accident and safety information which may be of interest to the other Ports. Accident, and safety information received from other Ports will be an agenda item at MMT Meetings.

3.7.5 The same principles as described above, shall be applied to any information received from other Peel departments, adjacent Ports or any other external source, where it is identified that lessons may be learned from an accident.

3.8 Accident Closure

3.8.1 The SMMO will decide when an accident can be closed, i.e. when all corrective actions and recommendations have been completed/are in place.

3.8.2 To ensure that the lessons learned from all accidents remain in the long-term memory of the organisation, all accidents will be retained within PRIMS. This information will be reviewed annually for relevance by the MMT.

3.9 Safety Data and Trends Analysis

3.9.1 Marine accident data will be collated and analysed in the form of a Group Accident Tracker and Safety Performance Dashboard to:

- Provide safety assurance, to Port Management (local and Group);
- Identify trends which may have adverse impacts on safety performance;
- Assist in the formulation of corrective actions to arrest any trends.
## 3.10 Procedure

**3.10.1** Each Port will input marine accident data into the Group Marine Accident Tracker and Safety Performance Dashboard which produces a continuous record of accident reports.

## 3.11 Analysis of Accidents

**3.11.1** The Marine Accident Tracker and Safety Performance Dashboard accident data analysis will be provided in the format in Annex 1 and Annex 2:

## 5.0 APPENDICES

<table>
<thead>
<tr>
<th>Section</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>5.1</td>
<td>Group PRIMS SOP</td>
</tr>
<tr>
<td>5.2</td>
<td>Merchant Shipping Act 1995</td>
</tr>
<tr>
<td></td>
<td>The Merchant Shipping (Accident Reporting and Investigation) Regulations 2012</td>
</tr>
<tr>
<td>5.3</td>
<td>MAIB Incident / Accident Report</td>
</tr>
</tbody>
</table>

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## Marine Investigations

### Annex 1: Group Accident Tracker

<table>
<thead>
<tr>
<th>Date</th>
<th>Port</th>
<th>Location</th>
<th>Incident Type</th>
<th>Type</th>
<th>Factor</th>
<th>Details</th>
<th>Actions</th>
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</thead>
<tbody>
<tr>
<td>26 Apr 15</td>
<td>Liverpool</td>
<td></td>
<td>Marine Incident</td>
<td>Contact - Any Fixed Object</td>
<td>Poor Internal Bridge Communications</td>
<td>Vessel hit by an unknown structure which caused damage to vessel. Crew were not informed of damage.</td>
<td>Close</td>
</tr>
<tr>
<td>1 Jul 18</td>
<td>Aberdeen</td>
<td></td>
<td>Marine Incident</td>
<td>Other</td>
<td>Other</td>
<td>Crude oil spillage occurred near the harbour.</td>
<td></td>
</tr>
<tr>
<td>3 Sep 18</td>
<td>Liverpool</td>
<td></td>
<td>Marine Incident</td>
<td>Machinery Failure</td>
<td>Machinery Failure</td>
<td>Vessel lost control due to mechanical failure.</td>
<td></td>
</tr>
<tr>
<td>8 Sep 18</td>
<td>Liverpool</td>
<td></td>
<td>Marine Incident</td>
<td>Other Incident</td>
<td>Other Incident</td>
<td>Vessel lost control due to mechanical failure.</td>
<td></td>
</tr>
<tr>
<td>24 Sep 18</td>
<td>Liverpool</td>
<td></td>
<td>Marine Incident</td>
<td>Sea Accident</td>
<td>Sea Accident</td>
<td>Vessel hit by an unknown structure which caused damage to vessel. Crew were not informed of damage.</td>
<td>Close</td>
</tr>
<tr>
<td>25 Sep 18</td>
<td>Liverpool</td>
<td></td>
<td>Marine Incident</td>
<td>Other Incident</td>
<td>Other Incident</td>
<td>Vessel lost control due to mechanical failure.</td>
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<tr>
<td>26 Sep 18</td>
<td>Liverpool</td>
<td></td>
<td>Marine Incident</td>
<td>Other Incident</td>
<td>Other Incident</td>
<td>Vessel lost control due to mechanical failure.</td>
<td></td>
</tr>
</tbody>
</table>

**Actions:**
- C: Close
- R: Review with Stakeholder
- O: Open

**Site Close:**
- Open
- Close

**Status:**
- Open
- Close
Marine Investigations

Annex 2: Group Marine Safety Performance Dashboard