MARINE SAFETY MANAGEMENT SYSTEMS MANUAL

Number: ML 02.07
Issue: 24
Date: 27/03/2019
Owner: HM (SMS & VTS)

AUTHOR: Deputy Harbour Master (SMS) 
OWNER: Harbour Master (SMS & VTS)
### MARINE SAFETY MANAGEMENT SYSTEMS MANUAL

**Number:** ML 02.07  
**Issue:** 24  
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Overview of Marine SMS components.
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### ANNEX A PLA NAVIGATIONAL SAFETY POLICY

PORT OF LONDON AUTHORITY

### ANNEX B OTHER PLA POLICIES

### ANNEX C TERMS OF REFERENCE

- **NB ToR for all meetings are reviewed by MMM**
  - as circumstances require, but the review process is usually every three years

**MARINE MANAGEMENT TEAM MEETING**

**PILOTAGE TRAINING PANEL**

**BERTHING OPERATIONS WORKING GROUP**

**PLA HARBOURMASTER’S RECREATIONAL NAVIGATION GROUP (UPPER)**

**EMERGENCY PLANNING TEAM**

**LARGE VESSEL WORKING GROUP**

### ANNEX D MARINE DELEGATION OF AUTHORITY
0.0 MARINE SAFETY MANAGEMENT SYSTEM PRINCIPLES

The Port of London Authority (PLA) Marine Safety Management System (Marine SMS) is designed to deliver the relevant requirements of the Port Marine Safety Code (PMSC) and is also based on principles embodied in guidance published by the Health and Safety Executive (HS(G)65).

The PLA’s Navigational Safety Policy define the organisation and arrangements that the PLA has established to monitor, promote and proactively manage the conduct of navigation and associated marine activities so that safety is enhanced.

Figure 2 shows the links between Policy, the organisational structure and the administration of the Marine Safety Management System.

Figure 2
1.0 INTRODUCTION

The provisions of the Port of London’s Marine SMS are set out in this Manual. The purpose of this document is to describe, at a high level, the overall framework for the management and co-ordination of marine activities necessary for the effective facilitation of navigational safety. Based on the PLA’s Navigational Safety Policy, the Manual describes primary accountability and procedures, communication and monitoring regimes. The Marine SMS arrangements referred to in this Manual comply with the requirements of the Port Marine Safety Code.

The Marine Management Team (MMT) is responsible for maintaining the design, the overall content, approval and subsequent management of the Marine SMS. See Section 3.2.4.

1.1 Scope of the Marine Safety Management System

The port's Marine SMS, as administered and managed by the PLA, applies to marine operations and activities within the PLA's area of jurisdiction in the Port of London. The scope of the SMS includes all:

- commercial shipping operations in the port, with the exception of operations that are solely the responsibility of the berth or facility and with no implications for navigational safety;
- marine leisure and sports navigational activities; and
- marine operations undertaken by any support or service organisation; including ship and craft towage, pilot boarding and landing, mooring and line handling, dredging and other marine services, and the navigational activities of other regulators, the Emergency Services, Government Agencies and voluntary organisations.
1.2 Port Marine Safety Code Requirements

Marine SMS procedures and guidelines fulfil the requirements of the Port Marine Safety Code including but not limited to, the following:

- Making risk assessment and risk control the basis of all marine activities, procedures and regulations applied to or required of port users.
- Using risk assessment to identify the requirement for aids to navigation.
- Applying risk assessment to all harbour works.
- Subjecting wrecks to risk assessment and programming periodic review.
- Periodically reviewing the provision of safe anchorages.
- Maintaining systems to implement the findings of risk assessments.
- Identifying and designating safe pilot boarding and landing areas.
- Applying and adhering to current pilot transfer arrangement regulations.
- Reporting deficiencies on visiting vessels.
- Providing procedural advice for giving Directions in relation to dangerous vessels or substances.
- Regulating the use of harbour craft and ensuring powers are sufficient to govern the mooring of vessels.
- Maintaining and developing a competence based training scheme to support delivery of all marine functions. This includes cross-training with tug crews.
- Maintaining appropriate plans and procedures for emergency response and associated training/exercises.
- Using verification/audit systems.

1.3 System Components

The Port of London’s Marine SMS focuses on the operational and administrative output of the following marine departments:

- Harbour Master Lower;
- Harbour Master Upper;
- Pilotage;
- Vessel Traffic Services;
- Hydrographic including marine conservancy; and
- Marine Services.

It includes the following components:

- Navigational Safety Policy (as well as the PLA’s Environment Policy and other policies as appropriate)
- Marine Management Team
- Marine Conservancy Team
- Marine SMS Manual
- Risk Assessment and Risk Control Measures
- Pilotage Training Panel
- Hazard Management Database
- Incident Database
- Marine Outstanding Action Plan
- Staff Involvement and Consultation
- Navigation Risk Assessment Working Groups (as required)
- Pilotage Management Committee
- River User Consultative Forums (RUCF)
• PLA Harbour Masters' Recreational Navigation Group (PHRNG)
• Records and Controls
• Audit and Review

Risk Control Measures fall into two broad categories:

**Documentary**
- Regulatory Framework
- Accurate Charts and other Navigational Information
- Operational Manuals & Guidelines
- Operating Procedures
- Emergency Plans and Procedures
- Notices to Mariners
- Ship Information System – POLARIS
- Formalised Training and Assessment

**Hardware**
- Radars
- VHF Communication
- VTS System
- Tide Gauges
- Aids to Navigation
- Moorings/Anchorages
- Harbour Service Craft

1.4 **Applicable National and Local Legislation**
The following is a list of the main National and Local legislation applicable to the PLA’s Management of Marine Activities:

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<td>Marine Navigation Act 2013</td>
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<td>Dangerous Vessels Act 1985</td>
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<td>Response and Co-operation Convention) Regulations 1998</td>
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<td>The Merchant Shipping (Alcohol) (Prescribed Limits Amendment) Regulations 2015</td>
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<td>The Port Marine Safety Code</td>
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2.0 POLICY

The Navigational Safety Policy sets out the PLA's intentions and commitment to safety. It also describes the organisational responsibilities and arrangements established to ensure that the Policy is implemented. The Policy contributes to operational objectives and states the PLA's commitment to meet its legislative responsibilities. The fundamental objective of the Marine SMS is to demonstrate the consistent application of this Policy.

The Navigational Safety Policy is attached at Annex A.

Other PLA Policies which influence the management of marine safety are also identified in Annex B.

2.1 Policy Development and Communication

The Navigational Safety Policy was developed by the Marine Management Team (MMT) and subsequently approved by the PLA Board. Consultation is included within this Policy, the application of which further aids the development of the Marine SMS, ensures the involvement of all port users and stakeholders, and contributes to compliance with the Port Marine Safety Code (PMSC). This policy is attached at Annex A.

The Navigational Safety Policy has been communicated to PLA staff, port users and interested parties through the PLA website and Staff Intranet. Copies of the Policy are freely available and there is a continuing process of briefing and updating information with regard to marine safety.

2.2 Purpose and Use of the Policy

The primary purpose of the Navigational Safety Policy is to provide an overall standard for marine operations throughout the Port of London. It also provides a reference point for a variety of operational decisions including the selection of resources, the design and implementation of safe working practices.

2.3 Commitment Statement

The PLA Board, as “Duty Holder” under the PMSC and the body with ultimate responsibility, has committed itself to comply with the requirements of the PMSC furthermore; it is committed to ensuring that adequate resources are available to discharge its navigational safety obligations.

One purpose of this document is to show a link between the policies set by the Board and the management arrangements, controls and provisions that discharge those policies.

The Board (as Duty Holder) has confirmed and continues to confirm, as required, to the Maritime & Coastguard Agency, compliance with the requirements of the PMSC.
2.4 Policy Review
The Marine Management Team (MMT) undertakes a formal review of the Navigational Safety Policy on a 3-yearly basis or more frequently as circumstances dictate.
3.0 ORGANISATION

3.1 Functional Structure for the Management of Marine Safety

Figure 3
3.2 Responsibilities

3.2.1 The Board

In respect of Marine Safety, the PLA Board:

- Discharges the duties and exercises the powers given to it, both directly and by delegation, as its considers appropriate as permitted by the Port of London Act 1968 (as amended);
- Discharges the function of "Duty Holder" as defined in the PMSC, for which they are collectively and individually responsible, by ensuring compliance with the PMSC, and the safe management of navigation;
- Approves the strategy, policies, plans and budgets of the PLA together with its strategic objectives; and
- Reviews the performance of the PLA against its strategic and operational objectives, plans and budgets.

Accountability for compliance with the Code cannot be delegated on the grounds they do not have particular skills.

Note: Delegation by the PLA Board is addressed in the Delegation of Authority document maintained by the Secretary to the Board (See Annex D).

3.2.2 Executive Committee (ExCo)

For the purpose of the Marine SMS, ExCo is responsible for co-ordinating cross-departmental projects, which may include or bear upon marine safety. It is also responsible for budget preparation and resource planning. The Terms of Reference for ExCo are:

- To provide a forum for discussion of cross-departmental issues so as to provide advice to the Chief Executive and to take decisions as appropriate.
- To set the scope and general principles in respect of cross-departmental projects and subsequently to monitor and co-ordinate their implementation.
- To evaluate and develop draft strategies, policies, plans, objectives and budgets, and where appropriate, recommend them to the PLA Board for approval.
- To monitor PLA performance against its strategic and operational plans, budgets, objectives, and the achievement of the PLA’s performance measures, and to co-ordinate such actions as may be necessary from time to time to ensure the achievement of these plans, budgets and objectives.

Note: To contact the Board or ExCo, email ExcoSecretaries@pla.co.uk

3.2.3 Chief Harbour Master

The Chief Harbour Master is appointed by the PLA Board to discharge the statutory role of harbour master in accordance with the PMSC. He is responsible for delivering the Navigational Safety Policy, authorising the initiation of prosecutions and keeping the Chief Executive advised and informed.

This role is key to ensuring that the Marine SMS fulfils the marine aspects of the PLA’s statutory duties and relevant non-statutory obligations.
3.2.4 **Marine Management Team (MMT)**

The MMT Terms of Reference are included at Annex C:

The Marine Management Team comprises:
- Chief Harbour Master
- Harbour Master (Lower)
- Harbour Master (Upper)
- Harbour Master (Thames Tideway Tunnel)
- Harbour Master (SMS & VTS)
- Port Hydrographer
- Director of Marine Operations
- Marine Services Manager
- Pilotage Operations Manager
- Marine Pilotage Manager

MMT members are individually responsible for the management and function of their respective departments. The statutory and regulatory marine responsibilities delegated to MMT members and others by the PLA Board are contained in the Marine Delegation of Authority document – see Appendix D.

Other responsibilities and duties are contained within individual Job Descriptions, which are signed as an acceptance and undertaking of those responsibilities, by the individuals concerned.

**Note:** To contact the CHM or MMT, email MarineManagementTeam@pla.co.uk

3.2.5 **Designated Person (DP)**

In meeting its obligations under the PMSC, the PLA Board has appointed a ‘Designated Person’, who maintains a right of direct access to the Board.

The role of the ‘Designated Person’ is to:

- Provide independent assurance to the PLA Board that the PLA has an effective and appropriate Safety Management System.
- Provide the PLA Board with independent and professional advice regarding the PLA’s overall compliance with the requirements of the Port Marine Safety Code.

The Designated Person for the PLA is Ray Blair MNI, of Marico Marine.

Ray Blair MNI  
Principal Consultant  
Marico House  
Bramshaw  
Southampton  
SO43 7JB  

Tel: 02380 811 133  
Mob: 07436 803 674  
Ray.blair@marico.co.uk
3.2.6 Harbour Master (SMS & VTS)

The Harbour Master (SMS & VTS) maintains an overview of the Marine SMS and is responsible for the effective functioning of the SMS as a whole. He is also responsible for the overall distribution and dissemination of this Marine SMS Manual to PLA staff and external bodies/port users. The provision of both of these functions are supported by the Deputy Harbour Master (SMS).

The Harbour Master (SMS & VTS) is also responsible for the management and provision of the Vessel Traffic Service, supported by the VTS Operations Manager.

Note: To contact the Harbour Master (SMS & VTS), email VTSenquiry@pla.co.uk

3.2.7 District Harbour Masters

District Harbour Masters are responsible for the safety of navigation in their district and are supported by Deputy Harbour Masters.

They are responsible for the management of activities on the river, the removal of hazards to navigation, enforcement and regulating the movement of dangerous vessels.

They carry out investigations of all reported marine incidents within their respective district (HM Lower - from Outer Estuary to Crossness and HM Upper - from Crossness to Teddington) in compliance with the Navigational Incident Investigation Procedure.

3.2.8 Harbour Master – Thames Tideway Tunnel

The Harbour Master (Thames Tideway Tunnel) looks after the major infrastructure project that is Thames Tideway Tunnel, which involves numerous construction sites in the river, and reports directly to the Chief Harbour Master.

His responsibilities include the review and assessment of the project’s River Works Licence applications and Marine Operations, including non-routine tows, as well as being the point of contact for navigational matters concerning the project.

The Harbour Master (Thames Tideway Tunnel) works closely with the Harbour Master (Upper), liaising on the project’s progress and potential cumulative impact of the project with other activities on the river.

The District harbour Master maintains overall responsibility for the safety of navigation.

3.2.9 Departmental Managers

Departmental Managers, including the Marine Services Manager, are responsible for the development and implementation of appropriate procedures and guidelines to contribute to the delivery of the Marine SMS and other supporting policies within their operational area. In all cases, relevant staff and junior managers should be fully involved and be able to contribute to such development.

In particular, within this overall remit, they are responsible for:

- Identifying and proposing solutions/risk control measures to mitigate any hazard to safe navigation;
• Appropriate training of assigned personnel; and
• Maintaining overall navigational safety awareness.

3.2.10 Navigational Safety System Coordinator
The NSSC is responsible for the maintenance and administration of the Hazard Management database - the navigation hazard and risk control management system, and the Navigational Incident database.

Note: To contact the Navigational Safety System Coordinator or the SMS Team, email safetymanagement@pla.co.uk

3.3 External Involvement and Responsibilities

3.3.1 Navigational Risk Assessment Working Group
Navigational Risk Assessment Working Groups (NRAWG) consist of appropriate PLA marine staff, and other relevant interested parties practising mariners whose knowledge and experience is pertinent to the nature of any particular hazard, risk control measure or new circumstance which such a panel is convened to consider. Following any incident or change in circumstances the district Harbour Master or MMT will consider the need to establish a NRAWG.

The Harbour Master will normally request the involvement of a range of practitioners, river users and specialists, relevant to the matter to be considered. The Group may meet only once, or more times as may be required to meet its Terms of Reference.

NRAWG Terms of Reference will be set by the PLA’s Marine Management Team (MMT) and each NRAWG will be asked to submit its recommendation to the MMT for consideration by the PLA and thence to the Hazard Review Panel if appropriate.

NRAWGs have been held to consider a wide range of issues including:
• Post incident investigation
• Un-scheduled review of navigational hazards
• Development of codes of practice or operational guidance
• Other specific matters such as the review of the impact of navigational safety of a new trade or issues surrounding navigation in a particular area, such as through bridges or the transit of large vessels through the Thames Barrier.

3.3.2 Large Vessel Working Group
Following previous Containership Risk Assessment Working Groups to risk assess Ultra Large Container Ships to the London Gateway the Large Vessel Working Group was established in order to annually review the PLA’s operational experience of large vessels navigating in the Port.

The utility, application and effectiveness of the joint Pilotage/VTS ULCS operational procedures are reviewed on a regular basis.
Risk Assessments for ULCS are carried out annually in conjunction with London Gateway Port.

3.3.3 Berthing Operations Working Group
The Berthing Operations Working Group regularly reviews all existing, relevant marine operational procedures and practices, proposing improvements and refinements as required.

The group contributes to the formal three-yearly review of the PLA Codes of Practice for the Safe Mooring of Vessels on the Thames and Ship Towage Operations on the Thames. It also reviews berthing operations incidents as requested, making recommendations as necessary.

3.3.4 River Users Consultative Forums
The PLA has a long established liaison with port users. The two River Users Consultative Forums (Upper and Lower/Estuary) play an important role in monitoring the performance of the Marine SMS and in reviewing relevant SMS issues.

The Forums have the following Terms of Reference, acting as:

- A forum for raising and discussing issues, including safety, relating to the tidal Thames, relevant to the PLA;
- A vehicle for consultation with the PLA, which contributes to meeting the requirements of the Port Marine Safety Code and the supporting Guide to Good Practice;
- A sub-committee of the South East District Marine Safety Committee, in continuation of the role of the former River User Liaison Groups.

Each Forum normally meets on a six-monthly basis, but additional meetings may be called as circumstances dictate. The Harbour Master (Upper) chairs the Upper Forum; the Harbour Master (Lower) chairs the Lower/Estuary Forum.

3.3.5 PLA Harbourmaster's Recreational Navigation Group (PHRNG)
- The PLA has a long established liaison with Recreational river users. The PLA Harbourmaster's Recreational Navigation Group (PHRNG) provides recreational river users with a forum to discuss matters concerning recreational safety on the tidal Thames to the west of Crossness.

The PHRNG normally meets at least twice in any calendar year (usually Spring and Autumn), but additional meetings may be called as circumstances dictate and is chaired by Harbour Master (Upper).

3.3.6 EMERGENCY PLANNING TEAM
Refer to Annex C
4.0 IMPLEMENTATION

4.1 Marine Safety Objectives
As part of its duties and responsibilities the PLA annually reviews its Strategic Objectives. To support those Strategic Objectives, the MMT also sets individual Departmental Objectives, which include the ongoing maintenance and development of the Marine SMS. In general these objectives seek to:

- Reduce risks to as low as is reasonably practicable.
- Ensure all reasonably practicable steps are taken to identify the hazards and risks arising from operational activities on the Thames.
- Ensure conformance with our navigational safety and marine policies, associated operating controls and applicable port and marine legislation and non-statutory obligations.
- Periodically review data gathered from audits, inspections, incidents and any concerns raised to evaluate and determine where improvements and changes need to be made.
- Implement employee competence training and Marine SMS awareness programmes.
- Encourage employees to become more involved and participate in continually improving our overall marine safety performance.
- Facilitate port user involvement in the maintenance of the Marine SMS and the overall improvement in the provision of marine safety.
- Communicate PLA’s ongoing efforts and achievements in facilitating navigational safety on the Thames to all stakeholders.
- Review the effectiveness of and continually improve the PLA Marine SMS.

4.2 Initial Risk Assessment and Outstanding Action Plan
The report of the PLA’s initial PMSC risk assessment, undertaken between October 1999 and May 2001, provided recommendations which, together with subsequent recommendations arising from both proactive and reactive reviews of hazards and risk control measures, formed the initial Outstanding Action Plan.

Section 4.1 lists the generic marine safety objectives on which the plan is based. The Outstanding Action Plan reflects these objectives and incorporates the outcome of subsequent risk assessments, reviews, NRAWG recommendations and safety associated recommendations, as approved by the MMT.

The overall purpose of the Action Plan is to collate all actions requiring to be implemented, to identify the person responsible, and to set target completion dates. The Plan also includes those departmental managers’ targets affecting safety and arising from the annual review process.

The Outstanding Action Plan provides a tool for the continuous monitoring by management of all objectives and recommendations requiring implementation.
Summary
In summary, the primary objective of PLA’s Marine SMS is the implementation of the Navigational Safety Policy. This is achieved by:

- Providing the organisation, arrangements and resources to manage marine activities safely;
- Recognising that people are PLA’s most important asset; and
- Ensuring that due importance and priority are accorded to navigational safety issues.
5.0  MARINE SMS DATA

5.1  PLA Hazard Management Database

The Hazard Management database contains comprehensive details of all identified navigational hazards, together with the associated risk control measures employed to mitigate those hazards. All hazards are maintained within the system in ranked order, based on the outcome of the risk assessment process. This ranking structure will change with time as the hazards and risk controls continue to be reviewed, reassessed and rescored.

The archive also includes an audit record, which documents the outcome of the scheduled proactive annual hazard review process, any incident review, and the addition of any new risk and its associated assessment. Recommendations or actions from the reviews are fed into the Outstanding Action Plan via the MMT.

The database is structured into 4 registers; Estuary, Lower District, Middle District and Upper District. This is largely due to the differing types of traffic in these areas, as well as the difference in consequences of certain incidents.

5.2  PLA Navigational Incident Database

The Navigational Incident database holds the details of all reported marine safety incidents and other occurrences having significance to the maintenance of navigational safety. The inputs are provided by the relevant district Harbour Master.

The day to day administration of both the Hazard Management and Incident databases is the responsibility of the NSSC. In particular, the job-holder:

- Maintains, administers and interprets the Hazard Management database to ensure effective support to the marine departments;
- Maintains, administers and interprets the Navigational Incident database to ensure the effective recording, availability and archiving of marine incident information; and
- Constructs and presents Hazard Management and Navigational Incident information in reports as required and in an effective and appropriate format, such that the overall navigational safety performance of the port may be reviewed and assessed.

Once a record has been initiated, additional information is included in respect of the outcome of the Harbour Master’s initial investigation, and subsequently details of any follow-up disciplinary action and/or prosecution. The Harbour Master’s findings and recommendations (if any) of his navigational safety investigation are also recorded in respect of the incident’s impact on the Marine SMS.

Navigational Incident records also allow effective cross-referencing to the Hazard Management database, thereby prompting and recording an assessment of the hazard(s) and associated risk control measures relevant to a particular incident.
6.0  RISK CONTROL MEASURES

The generic risk control measures employed by the PLA can be categorised as follows:

6.1  Documentary Risk Controls

- Regulatory Framework – Includes the Port of London Act, Byelaws & Directions.
- The provision and promulgation of accurate charts, tidal and other navigational information, navigation warnings and weather advice.
- Departmental Operational Manuals & Guidelines – See section 7.3.
- Process or task specific Operating Procedures – See section 7.3.
- Emergency Plans and Procedures - See section 6.3.7
- Notices to Mariners – General navigational and safety guidance and advice.
- Ship Information System – POLARIS. The PLA’s main record of ship and cargo movements in the port.
- Formalised Training and Assessment – See Section 8 and the various departmental operational manuals.

6.2  Hardware Risk Controls

- AIS – Automatic Identification System: A transponder system through which commercial traffic movements are monitored throughout the port.
- Radars – A comprehensive network of interlinked radars providing effective coverage of tidal waters from the outer limits to Greenwich.
- VHF Communication – A marine radio network covering in whole of the tidal Thames, providing effective port communications for shipping, VTS, PLA and other regulatory craft and all river users.
- VTS System – PC based integrated traffic display system operated at the London VTS Centres at Gravesend and Woolwich.
- Tide Gauges – A system of tide gauges located throughout the port providing live tidal information in support of the POLATIDE system.
- Aids to Navigation – Buoys, marks and lights etc. Those to the east of Sea Reach No. 1 maintained by Trinity House, those to the west by PLA Marine Services or other undertakers.
- Moorings/Anchorages – Short and long term anchorages and moorings located throughout the port. The continued relevance and utility of which are subject to ongoing review and assessment.

6.3  Departmental Risk Control Functions

6.3.1  Marine Conservancy

The Port Hydrographer has established an effective hydrographic survey programme for the tidal Thames to establish and confirm the depths of channels and fairways, and to inform the appropriate Harbour Master and port users of any shoaling, obstructions and/or new wrecks identified during survey work. A risk assessment is carried out on those new or repositioned wrecks, which pose a new or changed hazard. A procedure exists for acting on the findings of the wreck risk assessment.

Tide gauges are maintained throughout the Port to provide real time observations for safety of navigation and records on which to base predictions.
All hydrographic operations are managed through guidance contained in the Hydrographic Manual and international best practice.

6.3.2 **Pilotage**
Pilotage matters are the responsibility of the Chief Harbour Master, who shall determine, by a continual process of risk assessment, the identification of safe boarding and landing areas and the safe transfer of pilots as required by the appropriate current regulations. The pilotage service provided is administered through best demonstrated practice and associated operational instructions and guidelines.

The Chief Harbour Master, through the Marine SMS, (risk assessment) determines the compulsory pilotage requirement in the Port.

6.3.3 **Vessel Traffic Services**
Vessel Traffic Services (VTS) are provided throughout the PLA port limits. London VTS, through the Port Control Centre (PCC), Gravesend and the Thames Barrier Navigational Centre (TBNC), Woolwich monitors and manages vessel traffic within two separate areas of responsibility. These are:

- PCC Outer limits to Crayfordness
- TBNC Crayfordness to Teddington

The Harbour Master (SMS & VTS) is responsible for the effective management of PCC and TBNC.

Guidance and instruction for operational and maintenance aspects of VTS, and the training and authorisation of VTS staff to internationally recognised standards, are addressed in the VTS Manual.

6.3.4 **Harbour Patrol**
A regular harbour patrol is maintained throughout the port to the west of Southend with supporting administrative and regulatory functions, to assist in the effective regulation and enforcement of the Navigational Safety Policy.

6.3.5 **Harbour Master (SMS & VTS)**
This central support function includes the maintenance of an appropriate regulatory framework, including the revision of byelaws, directions; and the publication and promulgation of navigational information and advice e.g. Notices to Mariners etc.

6.3.6 **Marine Services**
The Marine Services Manager is responsible for the provision and maintenance of navigational buoys and lighthouses between Sea Reach No.1 and Teddington.

**Note:** Maintenance of other aids to navigation, including lights on berths is the responsibility of other undertakers. PLA monitors the reliability and availability of all such aids to navigation as the local lighthouse authority. Trinity House is responsible for the maintenance of aids to navigation within port limits to the east of Sea Reach No.1.
Marine Services additionally provide the district Harbour Masters with a limited capability to remove wrecks and obstructions and oil spill clearance. Such operations are managed through guidance contained in the Marine Service Manual, Oil Spill Contingency Plan and associated procedures.

6.3.7 Emergency Preparedness and Response
The PLA has established emergency response plans and procedures to address specific marine emergency incidents. Training exercises and seminars are programmed on an annual basis to familiarise and update staff on these emergency procedures and to exercise individual response actions. Appropriate Staff training and emergency exercise records are maintained.

The PLA’s statutory responsibilities and functions with regard to contingency management and emergency planning will be undertaken by the combined efforts of the marine departments, through a collective Emergency Planning Team, which meets periodically or as required.

The Deputy Harbour Master (Lower) holds the nominated PLA Emergency Planning Officer post, and leads on the management and administration of PLA Emergency Planning functions.

The provision of a central business continuity oversight capability and business continuity management is delegated to individual departmental managers.

The PLA is a Category 2 Responder under the Civil Contingencies Act 2004 and has statutory obligations under various legislation for the development and maintenance of emergency plans and procedures.

6.3.8 Environmental Management
PLA maintains an Environmental Policy, together with effective procedures and control measures designed to ensure that the potential impact on the environment is fully considered when planning or approving commercial and recreational activities within the port.

The PLA’s Environmental Policy can be found on the PLA Website.

In addition to its general environmental responsibilities, the PLA has duties to conserve and enhance biodiversity within the Port of London under several pieces of legislation.

The relationship between safety of navigation, port development and nature conservation must be managed with care to allow the delivery of potentially conflicting objectives and to ensure compliance with the PLA's statutory duties and environmental responsibilities.

Building upon existing policies and initiatives, the PLA’s Conservation Management Framework (CMF) is intended to facilitate this aim. It reviews the legislative and policy background to nature conservation within the Port of London, describes the main biodiversity resources and sets out actions and recommendations for reconciling potential conflicts during the operation of the port in normal and emergency conditions.
The CMF has been developed under a partnership with the Royal Society for the Protection of Birds. The PLA and the RSPB entered into a partnership agreement on 1 April 2008, with a view to working together to share expertise and understanding, to resolve potential conflicts and to maximise opportunities for enhancing nature conservation in the Port of London. A member of the RSPB's South East England Regional Management Team was seconded for fifty days to work with the PLA's River Regime and Environment section, and the CMF is a key product of that secondment.

The PLA’s Conservation Management Framework is available to view online: http://www.pla.co.uk/Environment/Conservation-Management-Framework

6.3.9 Vessel Operational Standards

Introduction

The PMSC requires the PLA to manage marine operations and regulate navigation within the port so as to reduce the risk of marine accidents and incidents to a level where the risks are as low as reasonably practicable (ALARP). There are many component parts to this process, including the risk assessment process itself, which identifies active risk control measures such as the provision of Pilots, VTS services and up to date hydrographic information.

An important component part of this system is that vessels navigating the port, whether subject to pilotage or not, are maintained to appropriate standards, and operated in a competent manner commensurate with the relevant national and international legislation. Unfortunately, this is not always the case.

Thus it is incumbent on the PLA to put in place checks that vessels are compliant with (for example) the ISM Code, and that their method of operation, state of equipment or manning competencies does not compromise the ALARP levels already arrived at by risk assessment. This is also something that has been promoted by the MAIB in accident reports.

There is no guarantee that a compliancy system can be 100% effective, however we need to take every reasonable step to try and reduce the chances of a sub-standard ship increasing the level of navigation risk.

Compliance Measures

The PLA has therefore put in place a series of checks, triggers and reports, which attempt to confirm, as far as possible, the compliance of vessels entering or leaving the port limits.

These measures include:

- Project PISCES an ‘end to end’ port services system – one benefit of which is to improve accuracy of Agent’s reported information.
- The compliance statement required by General Directions – vessels are asked to confirm a number of things, including:
  1. Charts and Navigational publications up to date;
  2. A Port Passage Plan prepared;
3. The vessel is compliant with ISM code or, no deficiencies/defects in respect of crew, navigational equipment, propulsion and manoeuvring machinery;
4. Arrangements have been made to provide appropriate mooring assistance at the intended berth.
   - VTS monitoring of ship passages – particularly self takers.
   - Effective bridge resource management and appropriate support for the embarked pilot.
   - Harbour Master, Vessel Licensing or Marine River Inspector inspection.
   - Referral for MCA or Flag Port State Control inspection.
   - Compliance with relevant port security requirements (in conjunction with individual port facilities).

This vessel compliance initiative is integral to and supports the PLA's Enforcement and Prosecution Policy. The measures adopted are subject to regular review and revision in the light of experience.
7.0 SYSTEM OPERATION AND CONTROL

7.1 Marine SMS Review Processes
The identification and assessment of navigational hazards is central to the effective maintenance of the Marine SMS. The PLA uses a Hazard Management database as the basis for its continuing review of both new and existing hazards and their preventative control measures.

In reviewing identified hazards and risk control measures PLA management will involve PLA marine staff and practising port users as appropriate. It may also, on occasion, involve external specialist consultants.

The review of hazards and control measures are prompted by three circumstances:
- Planned, periodic, formal review of established hazards and risk controls, initiated by the Hazard Management software;
- Review of hazards and associated risk controls following an incident; and
- The identification and assessment of any potential hazards arising from changes to circumstances including the introduction of a new, or change to a trade and/or marine operation.

The process used to implement, modify or develop the Marine SMS is shown in Figure 4 overleaf.
Figure 4
Marine SMS Review Process

Note: Shaded boxes = External Organisation(s)
7.1.1 Periodic Reviews - Proactive
The NSSC schedules, in accordance with agreed criteria, annual reviews of the individual hazards and their associated risk control measures.

Scheduled and un-scheduled reviews are undertaken by the Hazard Review Panel, comprising Marine Managers and a Sea and River Pilot, via email. This schedule ensures that all currently identified hazards are reviewed annually.

The Harbour Master will undertake each review in consultation with staff members and other river users as appropriate, in advance of the review.

An annual Hazard Review Panel meeting takes place to assess those hazards that have had serious/very serious incidents during the year, analyse trends, scrutinize the top 5 hazards and assess the progress of SMS recommendations and actions in the previous year, in relation to the hazard database. Changes to controls are identified in order to support the hazard review process in the following year.

7.1.2 Post-Incident Reviews - Reactive
Following a marine incident, the district Harbour Master will undertake an initial investigation. For more significant incidents a structured investigation process has been agreed to identify the contributing causal factors. This will establish whether there has been a failure to comply with PLA regulations or internal procedures, and whether further regulatory action is warranted. The Harbour Master will also investigate the circumstances of the incident from a Marine SMS perspective and establish whether there is a need to review the relevant hazard and its associated control measures. This review may involve appropriate staff and practising river users and, dependent upon the nature and outcome of the incident, the Harbour Master may convene a Navigational Risk Assessment Working Group.

Where a Navigational Risk Assessment Working Groups (NRAWGs) identifies a change to a hazard in the PLA Hazard Management Database, that hazard is reviewed, supported and directed by the final NRAWG report and recommendations.

7.1.3 New Risk Assessments
Whenever circumstances change to introduce activities into the port or to develop existing activities, which are outside the existing scope of the Marine SMS, the district Harbour Master will, in full collaboration with the relevant stakeholders, undertake a risk assessment of the intended operation. This process is likely to include the activation of a Navigational Risk Assessment Working Group – the outcome of which is fed into the Hazard Review Panel and associated hazard review process.

7.2 Marine SMS Recommendations
Any recommendations arising from the deliberations of the Harbour Master and his staff or a Navigational Risk Assessment Working Group will be passed to the MMT for consideration and approval. Following such approval, the pertinent hazards will be prioritised for review by the Hazard Review Panel (as identified by the NRAWG itself) and any new or revised operational guidance will be put in place, accompanied
by training as necessary. Planned implementation will be recorded in the Outstanding Action Plan.

ExCo will be informed, as appropriate, of plans to develop or introduce new risk controls, together with any budgetary implications. Where appropriate, approval for change will be underpinned by a PLA Board debate and decision.

7.3 Documentary Control

The Safety Management System documentation is controlled centrally by the HM (SMS & VTS) and document owners (i.e. department heads) are prompted to review documentation annually, in accordance with the requirements of the PLA’s Quality Management System.

All documents within the Marine SMS are reviewed and approved, as appropriate, by the relevant Senior Manager(s) and the respective Line Manager prior to update or issue. Prior to approval the aforementioned shall ensure that:

- The correct issues of relevant documentation are available, where needed, by approved personnel.
- Obsolete copies have been removed.
- Changes and amendments to documents are reviewed and approved by the same personnel or department that carried out the original review and approval unless specifically designated otherwise.

The Deputy Harbour Master (SMS) and NSSC will carry out the requirements of the PLA’s Quality Management System and the document control procedure such as correct formatting, headers and footers and maintain the review schedule. Documents subjected to minor change and amendments are reissued after a practical number of changes have occurred.

7.3.1 Manuals, Procedures and Operational Guidance

The cornerstones of the PLA’s Marine SMS are the knowledge, skills and competence, underpinned by appropriate training, of individuals within the system. Operating controls in the form of departmental manuals, operating procedures and/or guidance notes reinforce this.

Departmental manuals provide direction and guidance on the core functions of the department. They also provide an overview of recruitment, training and, as appropriate, authorisation procedures and standards.

Operating Procedures and/or Guidance Notes are produced by function, as deemed necessary, to describe the activities to be carried out for each operational process or task, including any precautionary measures that need to be observed.

Operating Procedures and Guidance Notes may provide, where appropriate, the step-by-step instructions for all or any of the following:

- What activities are to be done;
- In what sequence;
- By whom;
- When;
- On what frequency; and
- What records and paperwork to prepare and/or retain.

Figure 5 below describes the departmental operational manual structure relevant to the Marine SMS.

Figure 5
Marine Safety Management System Manuals
7.4 Consultation and Communication

Feedback from both PLA staff and other river users provides a vital Marine SMS component. All are actively encouraged to be involved in the management of marine safety. This includes input into the development and implementation of the Marine SMS and its operational risk management controls.

Examples of consultation, involvement and communication employed by the PLA in the maintenance of the Marine SMS include:

- Navigational Risk Assessment Working Groups
- River User Consultative Forums
- PLA Harbour Master Recreational Navigation Groups
- Consultation Notices
- Pilotage Navigation Risk Advisory Group
- Pilot/VTS Working Group
- Byelaws and Directions consultation processes

7.4.1 Public Consultation

All the PLA's local rules, codes of practice and guidance are reviewed on a rolling three-year cycle. This helps to ensure that the regulatory framework remains current, fit for purpose and relevant to port operations and the trades and vessels using the port.

After approval from the Marine Management Team, it will seek the views of port users through a Safety of Navigation Consultation Notice. These notices provide details of the reasons for the proposed changes, identify the change and any impact they may bring.

Where general guidance or a code of practice is subject to review, we may simply ask for views as to whether the code content remains current and appropriate, and seek suggestions for amendments and/or enhancements. Most consultation periods normally run for at least 6 weeks and details are sent direct to appropriate practitioners and users via email and posted on the PLA website. When PLA byelaws are being reviewed, this informal consultation will always be followed by the statutory formal public consultation administered by the Department for Transport.

The PLA will review the comments and suggestions and consider what changes are appropriate to be made to the draft proposals, producing a feedback matrix which is placed on the PLA website.

All new/changed regulations – byelaws and directions are also approved by the PLA Board.
7.5 Risk Assessment Standards

7.5.1 Methodology
The general risk assessment process used is based on that adopted by the International Maritime Organisation (IMO). This formal approach involves the following five sequential assessment stages, applied in appropriate depth:

- **Data gathering and familiarisation**
  Review of the existing management structure, risk control arrangements, policies, procedures and operational functions.

- **Hazard Identification**
  Identification of potential hazards and mapping of existing control measures.

- **Risk Analysis**
  Consideration of the likelihood of identified hazardous incidents and their associated potential causes and consequences, including prioritising of their risk factors.

- **Risk Assessment**
  Comparison of risk factors with effectiveness of existing risk control arrangements, and subsequent determination of additional control measures.

- **Risk Control**
  Judgement and endorsement of specific control measures to be implemented and managed through the Marine SMS.

7.5.2 Risk Level Criteria
The resulting risk level from each identified hazard is determined by numerically comparing the potential severity of the consequences (against life, the environment, property and the Port) and the likelihood of that hazard occurring. This is carried out for both the most likely and worst credible outcomes.

Hazards are then ranked according to their numerically scored risk level. It is the principle aim of the ongoing hazard review process to actively manage the risk control measures associated with each hazard and attempt to reduce the level of risk, and therefore the ranked score, at each review.

The ALARP criteria is as follows:

<table>
<thead>
<tr>
<th>From Score</th>
<th>To Score</th>
<th>Category</th>
<th>Action</th>
</tr>
</thead>
<tbody>
<tr>
<td>0</td>
<td>2</td>
<td>Negligible Risk</td>
<td>Periodic review</td>
</tr>
<tr>
<td>2</td>
<td>4</td>
<td>Low Risk</td>
<td>Periodic Review</td>
</tr>
<tr>
<td>4</td>
<td>6</td>
<td>ALARP</td>
<td>Review risk control options and monitor.</td>
</tr>
<tr>
<td>6</td>
<td>8</td>
<td>Significant Risk</td>
<td>Identify additional mitigation measures.</td>
</tr>
<tr>
<td>8</td>
<td>10</td>
<td>High Risk</td>
<td>Immediate mitigation required.</td>
</tr>
</tbody>
</table>
### Frequency

<table>
<thead>
<tr>
<th>Description</th>
<th>Definition</th>
<th>Operational Interpretation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1 Extremely Unlikely</td>
<td>An event occurring less than once in every 500 years</td>
<td>Less than once every 500 years</td>
</tr>
<tr>
<td>2 Very Unlikely</td>
<td>An event occurring in the range of once in every 50 years to once in every 500 years.</td>
<td>More than once every 500 years</td>
</tr>
<tr>
<td>3 Remote/Possible</td>
<td>An event occurring in the range of once in every 10 years to once in every 50 years.</td>
<td>More than once every 50 years</td>
</tr>
<tr>
<td>4 Reasonably Probable</td>
<td>An event occurring in the range of once a year to once every 10 years.</td>
<td>More than once every 10 years</td>
</tr>
<tr>
<td>5 Frequent</td>
<td>An event occurring in the range of once a week to once a year.</td>
<td>More than once a year</td>
</tr>
<tr>
<td>Consequence</td>
<td>Environment</td>
<td>People</td>
</tr>
<tr>
<td>-------------</td>
<td>-------------</td>
<td>--------</td>
</tr>
<tr>
<td>1</td>
<td>Negligible (&lt; £2000)</td>
<td>None</td>
</tr>
<tr>
<td>2</td>
<td>Minor (Tier 1 - Small Operational)</td>
<td>Minor (Slight Injury)</td>
</tr>
<tr>
<td>3</td>
<td>Moderate (Tier 2)</td>
<td>Significant (Multiple Moderate or single Major)</td>
</tr>
<tr>
<td>4</td>
<td>Serious (Tier 2)</td>
<td>Serious (Major injuries or Single Fatality)</td>
</tr>
<tr>
<td>5</td>
<td>Major Tier 3 - National Assistance</td>
<td>Major (Multiple Fatalities)</td>
</tr>
</tbody>
</table>
7.5.3 Hazard Review Panel

HAZARD REVIEW PANEL

Terms of Reference

Purpose of the Hazard Review Panel

Within the scope of the Port’s marine Safety Management System, the Hazard Review Panel is established to provide expertise and advice in ensuring a robust review is conducted of all hazards and controls that are identified within the Port’s Hazard Database, on behalf of the Duty Holder (the Board) of the Port of London Authority.

The Port is divided into four distinct areas to enable the panels to conduct a detail review of the hazards within each. Those areas are as follows:

<table>
<thead>
<tr>
<th>Harbour Master District &amp; Hazard Review Panels</th>
<th>Hazard Registers</th>
<th>Area Limits</th>
</tr>
</thead>
<tbody>
<tr>
<td>Upper District</td>
<td>Upper</td>
<td>Teddington Lock to Putney Bridge</td>
</tr>
<tr>
<td></td>
<td>Middle</td>
<td>Putney Bridge to Crossness</td>
</tr>
<tr>
<td>Lower District</td>
<td>Lower</td>
<td>Crossness to Sea Reach No.1</td>
</tr>
<tr>
<td></td>
<td>Estuary</td>
<td>Sea Reach No. 1 to Outer Port Limits</td>
</tr>
</tbody>
</table>

In particular the Review Panels will:
- Ensure that robust reviews of the hazards are conducted within each of the four Hazard Registers annually.
- Assess whether existing hazards are ‘fit for purpose’ and if not, amend, delete or establish new hazards.
- Ensure that the control measures are reviewed annually and assess whether they are ‘fit for purpose’ and if not, amend, delete or establish new control measures.
- Ensure that hazards, or changes to the hazards and control measures identified outside of the Hazard Reviews are fed into the review process in a timely manner.

Frequency of Hazard Reviews

The NSSC will coordinate with the district Harbour Masters to ensure Hazard Review panels are convened periodically in order to ensure that each hazard within their respective registers is reviewed annually.
- Hazards can be prioritised for review, as advised by a Harbour Master’s Incident investigation or Marine Managers Meeting (MMM), for a routine or detailed review which may result in an ‘extraordinary’ meeting being convened.
- After a Navigational Risk Assessment Working Group (NRAWG), any impact to any associated hazards will be identified by the NRAWG itself. These hazards will then be prioritised for the next routine review. These impacts will then be assessed by the Hazard Review Panel and the risk assessment updated accordingly, aided by the comments from the NRAWG.
At the end of the year, a Hazard Review Panel meeting (both an upper and a lower) will convene for an SMS overview of the previous year:

- Assess those hazards that have had serious/very serious incidents during the year
- A trend analysis carried out by the SMS team and presented for discussion.
- A detailed scrutiny of the top 5 hazards
- Review hazards which are relevant to NRAWG (or similar working groups) convened in the past year to update on any progress and to assess whether any other hazards require review, ensuring consistency across the hazard database.
- Assess any changes to the controls, for this to then assist the routine hazard reviews throughout the following year.

The meeting findings will form part of the SMS’s annual / end-of-year report.
8.0 TRAINING

8.1 Competence Assurance
The competence assurance process is linked directly to considered personnel selection and recruitment procedures, relevant job descriptions and appropriate predetermined recruitment selection criteria.

Typically, the process comprises four stages:

Stage 1: Pre-Job
A person shall not be permitted to undertake work until the entry-level criteria have been satisfied. Entry-level requirements are normally defined within the relevant job description and vacancy notice.

Stage 2: Induction Training
All new staff, including any temporary personnel, will receive appropriate induction training. This will take the form of general induction training common to all new staff, followed by departmental induction training and operational briefings as appropriate. Relevant departmental managers are required to record that induction training has been completed.

Stage 3: Supervision and On the Job Training (OJT)
Once a person has been identified as suitable to fulfil a specific job function, that person will be placed under the supervision of a competent person, who will recommend when the person is considered competent. Alternatively, in certain cases, this period of supervision may take the form of On the Job Training, following which a formal assessment of competence is conducted.

Stage 4: Competence
A person may be considered competent once he/she has completed all necessary induction training, and has been assessed either by his/her supervisor, or by formal assessment on completion of OJT.

The principles of competence assurance are followed when recommending authorisation of a Pilot Exemption Certificate.

8.2 Marine Training
Training is a key element within the Marine SMS. In order to ensure that personnel are properly trained, the principles of job analysis and training design are followed. In particular, the person responsible for marine training will:

- Identify operational and safety training needs;
- Establish a skills matrix of competency levels required for key tasks;
- Plan how training requirements are to be met and when; and
- Establish a process to appraise the effectiveness of training.

Training of Pilots
Responsibility for the development, provision and maintenance of the training of Authorised Pilots, Pilot Exemption Certificate Holders and Local Navigational
Certificate Holders has been delegated by the MMT to the Pilotage Training Panel. The Terms of Reference for the Pilotage Training Panel is included at Annex C.

8.3 Safety Management Training
It is PLA policy that all Board members, marine managers, senior managers and line-managers shall attend either a HR Induction Day or a one-on-one Marine SMS Briefing to ensure that they are fully aware of the provisions of the Marine SMS, and of specific roles and responsibilities assigned to them within this programme. They should also make themselves fully aware of the most current SMS Briefing on the PLA Intranet, which is updated annually. The topics covered in the SMS Briefing’s include:

- Overview of relevant PLA Byelaws, General and Pilotage Directions;
- Navigational Safety Policy;
- Outline of management and operating procedures, and their provisions;
- Principles of individual accountability and responsibilities;
- Formal and informal procedural controls in place; and
- Outline of response to emergencies and contingencies.

8.4 Task Changes
Changes to operational systems and/or safety critical tasks or activities will be considered when:

- Employees transfer to different operating functions, tasks or work locations, or where they are required to take on new responsibilities or to deputise for an employee performing a different activity.
- There is a significant change in the work equipment or risk management systems employed (this may also require a re-assessment of the risks).

8.5 Refresher Training
To ensure that staff remains abreast of developments and to prevent any decline in the level of competence and skills of either management or staff, relevant training and instruction shall be repeated periodically, as appropriate. This will ensure that continued competence and skill levels are maintained in accordance with required competence, pre-determined job requirements and/or risk control criteria.

8.6 Training and Competence Records
All training and instruction provided to employees will be duly recorded and kept in a secure file.
8.7 Exercising

The below table shows a sample of the exercises conducted by various Marine departments:

<table>
<thead>
<tr>
<th>Exercise</th>
<th>Frequency</th>
</tr>
</thead>
<tbody>
<tr>
<td>Major oil spill exercise – Full Deployment</td>
<td>3 Yearly</td>
</tr>
<tr>
<td>Oil Spill Notification Exercise</td>
<td>6 Monthly</td>
</tr>
<tr>
<td>Oil Spill Call out Exercise</td>
<td>6 Monthly</td>
</tr>
<tr>
<td>Tactical Silver (Lower District)</td>
<td>Annual</td>
</tr>
<tr>
<td>Tactical Silver (Upper District)</td>
<td>Annual</td>
</tr>
<tr>
<td>Tactical Gold</td>
<td>Annual</td>
</tr>
<tr>
<td>MOB Exercise - Pilot cutter</td>
<td>Monthly</td>
</tr>
<tr>
<td>MOB Exercise - Harbour Service Launch</td>
<td>6 Weekly</td>
</tr>
<tr>
<td>VTS Switch Over Exercise PCC to TBNC</td>
<td>Annual</td>
</tr>
<tr>
<td>VTS Switch Over Exercise TBNC to PCC</td>
<td>Annual</td>
</tr>
<tr>
<td>TBNC Fall Back Centre Test</td>
<td>Annual</td>
</tr>
<tr>
<td>MEC Test - Gravesend</td>
<td>6 Monthly</td>
</tr>
</tbody>
</table>

In addition, various Table Top Exercises are conducted throughout the year as required. De-briefs will typically follow major exercises so lessons learned can be shared and feedback received in order to better achieve the desire for continuous improvement. A full Exercise Plan is maintained by the Deputy Harbour Master, Lower District who is the appointed Emergency Planning Officer.

Harbour Masters will also attend exercises conducted by external bodies, such as Control of Major Accident Hazards (COMAH) exercises with ESSO, Britannia Metals, Shell Haven and other COMAH partners, each conducted every 3 years. Emergency exercises are conducted at Canary Wharf, London Heliport and Tideway as well as Security Exercises at ISPS sites, all conducted on an as required basis and at least annually.

These routines are subject to change as circumstances and requirements dictate.
9.0 INCIDENT INVESTIGATION

Our key objective under the Navigational Safety Policy is to investigate all navigational incidents and near misses to determine the cause in order to reduce the incidence and severity and inform the risk assessment processes; and to decide whether or not an offence has been committed.

In certain circumstances the Marine Accident Investigation Branch (MAIB) or Maritime and Coastguard Agency may become involved. In such cases, the PLA will take a provisional view of any failings of the Marine SMS and act upon them. A full appraisal of the final outcome of any external investigation (following the publication of any reports or the conclusion of any investigation, inquiry or prosecution) will subsequently be undertaken and any remaining issues considered at that time.

9.1 Incident Reporting

The PLA wishes to create an environment within which all marine incidents are reported. PLA Thames Byelaws require that a master provides a report to the Harbour Master should his vessel be involved in certain incidents. However, all are encouraged to report other incidents, for only by understanding the causes and avoidance measures adopted in all such circumstances can more serious incidents be avoided.

A dedicated Marine Incident / Near Miss report form has been made available for reporting incidents. The form can be downloaded from both the PLA intranet and website. All reports are acknowledged and an estimated timescale given to the reporter for completion of the investigation, after which the outcome of the investigation is conveyed.

Duty Officers and Duty Port Controllers have access to an incident reporting portal to submit notification of incidents, allowing automatic notification to the relevant parties.

Incident

In relation to the Marine SMS an incident is defined as:

‘Any unplanned event which causes, or is liable to cause, an undesirable outcome’.

The above definition encompasses:

- injury or death to one or more persons;
- damage to property (i.e. vessels, port infrastructure or aids to navigation);
- damage to the environment;
- damage to port business (i.e. financial loss or damage to the PLA’s or the Port’s reputation); or
- Non-compliance with a statute or regulation.

Near Miss

Note that the inclusion of ‘liable to cause’ brings Near Misses into the definition of incident.

Examples of those to be considered include:
• Situations where a vessel needs to take unconventional avoiding action.
• A vessel passing another so close as to create a risk of collision or interaction.
• A vessel passing so close to shoal water as to create a risk of grounding.
• A vessel passing so close to a structure as to create a risk of contact.

Deficiency

• Breakdowns which did not lead to an incident or near miss.

For Commercial Shipping, these are reported to the Maritime & Coastguard Agency (MCA) if they fail to comply with the requirements of international conventions (i.e. SOLAS, MARPOL, STCW, etc.) automatically when entered into the incident reporting system. Our POLARIS system is also updated to record the deficiency on the vessel and to notify the vessel’s agent.

9.2 Investigation

The district Harbour Master is responsible for the investigation of marine incidents in accordance with the Navigational Incident Investigation Procedure, both from the Marine SMS perspective (i.e. the cause/circumstance of the incident-) and in the regulatory sense (whether there has been a breach of PLA or other regulations - see Section 7.1.2.).

The requirements of the Marine SMS and enforcement investigations may conflict - the PLA Enforcement Manual addresses this issue in detail.

Timescale objectives for investigations are as follows:

- Minor incident investigations to be completed within 4 weeks
- Serious and very serious incident investigations to be completed, with the Harbour Master’s Incident Investigation Report submitted to MMT, within 6 weeks

See section 9.6 for the Investigation Timeline.

Upon completion, the reporter and/or the involved parties are notified of the findings of the Harbour Master’s investigation. Where Investigation Reports are produced for Serious and Very Serious incidents, these are provided to the persons involved, as well as disseminated as per section 9.5 ‘Promulgation of lessons Identified’ below.

9.3 SMS Action

The Harbour Master’s findings and recommendations (if any) of his navigational safety investigation are recorded in respect of the incident’s impact on the Marine SMS.

Recommendations could be directed at the company / vessel in question – such as a recommendation for the company to review their SMS or implement a particular control measure, or could be recommendations internally for the PLA or the Marine Safety Management System itself.

These may include:

• The initiation of a Navigational Risk Assessment Working Group to assess a particular hazard and identify additional risk control measures.
• Recommendation to the Hazard Review Panel to review the relevant hazard in the Port Wide Hazard Database PLA Hazard Management Database.
• The issue of a Safety Bulletin
• Promulgation of identified lessons (see below)

9.4 Enforcement Action
Any enforcement action is taken forward in accordance with the Navigational Safety Policy (see Annex A) and the Enforcement Manual. The various levels of enforcement are summarised below:

Education
Educational enforcement of the PLA’s regulations either verbally or in writing. Educational enforcement is used where a minor breach against a PLA regulation has occurred, which did not lead to a dangerous situation and the offender is unaware that they were in breach of a PLA regulation.

Informal Warning
A verbally given informal warning where a breach of PLA regulations has occurred that has lead or may have lead to a near miss or dangerous occurrence and a formal warning is deemed excessive.

Formal Warning
A written formal warning when there is a clear breach of the PLA’s regulations or the COLREGs, which has led or may have lead to a near miss or dangerous occurrence or incident and the attending PLA officer deems a Formal Warning to be appropriate.

A Formal Warning is held on PLA records for a period of 3 years.

Formal Reprimand
A formal reprimand when there is a serious breach of the PLA’s regulations, which has led to a dangerous occurrence or incident and the attending PLA officer deems a formal reprimand the appropriate level of enforcement.

Prosecution
Follows any action by an individual that has resulted in an offence being committed against PLA regulations; and where the district Harbour Master, supported by legal advice, has recommended to the Chief Harbour Master that a prosecution should be initiated.

A record of prosecutions is maintained within the Safety Management System as well as individual company or persons’ enforcement logged within the PLA’s Navigational Incident Database. Prosecutions are also published online on the PLA website.

9.5 Promulgation of Lessons Identified
Summaries of Incident investigations for serious and very serious incidents are placed on the PLA website and internal Intranet, as are periodic SMS reports which include trend analyses and incident statistics. Where investigations produce lessons for a particular industry, company or user group. The lessons are shared through regular liaison, River Users Consultative Forums or PLA Harbour Masters’ Recreational Navigation Groups.
Reports which identify lessons pertinent to Pilots and VTS Officers are placed onto the PLA’s River Information System to be viewed, which is used by Pilots and VTS Officers regularly. Additionally, minor reports and/or near misses are placed onto the PLA Intranet.

When a trend is identified, the PLA issues Safety Bulletins to bring these trends to light, as well as provide guidance to river users in order to reduce the likelihood of an incident reoccurring.
9.6 Incident Investigation Targets / KPIs

9.6.1 Minor Incidents

The target for completion of Minor incident investigations is 4 weeks from the date of the PLA being informed of the incident. The incident should be closed out within this time.

9.6.2 Serious or Very Serious Incidents

The target to complete a Harbour Master’s Incident Investigation Report for Serious or Very Serious incidents is 6 weeks from the date of the PLA being informed of the incident. Reports should be submitted to the Marine Managers Team (MMT) within this time, for discussion at the subsequent MMT meeting.

Serious or Very Serious incidents should be closed out within 10 weeks from the date of the PLA being informed of the incident.

An analysis and report of these KPIs is contained within the Quarterly and Annual SMS reports.

Note: Incidents which involve a prosecution will fall under the 10 week Serious or Very Serious Incident KPI, regardless of their allocated severity.

9.7 Incidents afloat involving PLA craft or staff

The following flow diagram clarifies the process of investigating and recording incidents and accidents involving PLA staff; including the identification of investigation leads for different incident types and severities, such as MAIB reportable / navigational incidents.
Notes:
1. If discussions between the Line Manager and the Harbour Master determine that the MAIB need to be informed, then this notification is made by the Harbour Master as soon as possible with input from the Line Manager / master of the vessel.
2. Where non-navigational incidents are reported to the MAIB by the Harbour Master, these are recorded in the Harbour Masters’ database, but it is usually the Line Manager of the affected department that leads on investigations, unless the specifics of the incident warrants a Harbour Master or another department to lead, and they may be assisted by, or seek input from other members of staff as necessary.
3. The Harbour Master records in their statistics all navigational occurrences as well as non-navigational occurrences reported to the MAIB (by the Harbour Master), for example incidents connected with the operation of the vessel and/or serious injuries on board, which include:
   - Person is 3 days out of work
   - any fracture, other than to a finger, thumb or toe;
   - any loss of a limb or part of a limb;
   - dislocation of the shoulder, hip, knee or spine;
   - loss of sight, whether temporary or permanent;
   - penetrating injury to the eye;
   - any other injury -
     - leading to hypothermia or unconsciousness,
     - requiring resuscitation,
     - requiring admittance to a hospital or other medical facility as an inpatient for more than 24 hours;
4. Health and Safety has an interest in any incidents occurring on board PLA vessels or facilities, involving PLA employees, or which are a direct result of PLA actions. However, navigational incidents or any incident reported to the MAIB are not recorded in the H&S Incident database.
5. For non-PLA staff / vessel incidents the Harbour Master is responsible for the investigation; including on board accidents involving confined spaces, personal injury, etc. based on the bullet points in Note 3 above.
6. For incidents involving gangways, including those on a marine facility or pontoon, the line between on-board and ashore varies depending on who provides the gangway:
   - On-board includes the gangway if it is provided by the vessel
   - On-board does not include the gangway if it is provided by the shore facility.
7. Permanently moored craft such as those used as restaurants / bars etc. are not vessels for the purposes of this procedure and responsibility falls to local authorities (or HSE depending on the nature of the work activity), but may involve the Harbour Master depending on the nature of the incident.
8. Board reports will contain an overall ‘Lost Time Accident’ count, and the SMS / Health and Safety reports will show their respective proportion of that figure.
10.0 PERFORMANCE MONITORING

The PLA performance-monitoring programme is designed to progressively improve marine safety. By measuring key indicators, which reflect both the performance of the PLA and that of port and river users, appropriate measures can be adopted and introduced which further improve marine safety.

10.1 Performance Measures

The following measures are used to monitor marine safety and PLA performance:

- Facilitating the safety of navigation within the tidal Thames
  1. Number of Maritime Safety Incidents.
  2. Availability of PLA navigation lights and buoys.
  3. Number of attributable ship delays.
  4. Number of complaints re: attributable ship delays.

- Respecting Environment of Tidal Thames
  1. Total number of reported pollution incidents.
  2. Number of attributable pollution incidents, including safety incidents.
  3. Number of prosecutions initiated.

ExCo reviews all PLA performance measures on a quarterly basis.

10.2 Compliance Monitoring

The day-to-day monitoring of marine safety management controls and provisions is measured and checked through departmental monitoring regimes using the criteria laid out in Section 4.

Evaluation of the level of compliance is achieved through:

- Proactive systems that monitor performance in relation to objectives and operating standards; and
- Reactive systems, which investigate incidents and unwanted events.

The responsibility for conducting compliance monitoring currently lies primarily with departmental managers (MMT) and the Marine Services Manager. However, these managers must ensure that all levels of management are involved in the monitoring regime.

10.3 Records and Record Management

The NSSC, in liaison with the appropriate Harbour Master and Information Systems support, is responsible for maintaining appropriate records in both the Hazard Management and Incident databases. Such records are to include a complete and accurate audit trail of the development and maintenance of the Marine SMS.

The Deputy Harbour Master (SMS), with the NSSC submits quarterly and annual reports to the Marine Management Team (MMT) in this respect and ensures that all such records are available for inspection, as and when required. These reports are considered by the MMT.
In addition, departmental managers are responsible for identifying any supplementary records they require to keep, and for establishing the necessary procedures and/or guidance notes for keeping and retrieving these records, as related to their areas of responsibility. All supplementary records kept shall also be made known to the NSSC for information and/or use if required.
11.0 AUDIT AND REVIEW

The auditing process of the Marine SMS requires an assessment of continuous development and improvement and its responsiveness to events and changing circumstances.

In order to comply with the requirements of the PMSC, the PLA will ensure appropriate internal and external audits of the Marine SMS are undertaken at appropriate periods. This will include audits or reviews undertaken by the appointed ‘Designated Person’.

11.1 Audit

11.1.1 Objectives

Audits are conducted to achieve the following objectives:

- To determine if the Marine SMS is being operated in accordance with the PLA’s Navigational Safety Policy and, the provisions of the PMSC.
- To monitor the overall effectiveness of the system.
- To identify and implement ways of improving overall performance.
- To confirm that relevant procedures are understood and being actioned by those involved.

The overall objective is to implement systematic, independent, audits to support the continuous improvement in marine safety performance.

11.1.2 Independent Audits/Reviews by the Designated Person

The ‘Designated Person’ shall undertake periodic audits/reviews of the Marine SMS for the purpose of assessing the following:

- The continued provision of an appropriate and effective Marine SMS.
- The PLA’s ongoing, overall compliance with the requirements of the Port Marine Safety Code.

11.1.3 External Audits

The overall PLA management system is subject to and has been certified to ISO standards. Accordingly, the PLA processes which contribute to the management of navigation are subject to internal and external (LRQA) ISO audit in order to confirm they continue to comply with the ISO standard. Further external audits of the system by third parties will also be undertaken in order to inform the Duty Holder’s periodic statement of PMSC compliance to the Maritime & Coastguard Agency (see 10.2).
11.1.4 Internal Audits

A system of internal ‘Healthchecking’ has been established to monitor the operational aspects of the PLA’s Navigational Safety remit.

This process is to ensure specific departmental functions’ compliance with PLA procedures, policies, Safety Management System (SMS) and in turn, compliance with the Port Marine Safety Code. This system will provide added assurance that the plans, policies and procedures the PLA have in place are sufficient and are being followed.

The intention of the audits is to ensure a high level of proficiency and effectiveness of the various functions which fulfil the requirements of the SMS. Where appropriate, ways in which the Port can enhance the way it carries out its duties may be identify and any best practice can be shared across departments.

The scope of this audit system includes the areas which fall under the remit of the Chief Harbour Master, as well as the Chief Executive:

- Chief Executive
- Chief Harbour Master
- Upper and Lower Harbour Master Districts
- VTS
- Pilotage
- Safety Management Systems
- Harbour Patrols
- Pilot Cutter

These audits are in addition to any LRQA or ISO audits applied to the PLA in general.


11.2 Ongoing Internal Reviews

Reviews of SMS performance are carried out by the MMT as follows:

- **Monthly** - to review individual marine incidents and any developments to the SMS arising from such incidents, and an appraisal of progress in implementing the rolling Outstanding Action Plan;
- **Quarterly** – Receives and reviews a period report on SMS activity and trends in marine incidents.
- **Annual SMS Performance Review** – to review PLA performance against the three-yearly Marine Safety Plan.
- **Periodic External Audit** – to submit to an external audit of the SMS and compliance with PMSC every three to five years;
11.2.1 Review of relevant external information

1. Sunk Area
Details of navigational incidents in the Sunk Area will be passed to the PLA by Harwich Haven Authority VTS and/or Sunk VTS on behalf of the MCA. These incidents will be reviewed approximately 6 monthly by the Sunk VTS Working Group and issues will be passed to MMT as appropriate to determine any relevance for the PLA SMS, and in particular for pilotage and VTS procedures.

2. MAIB Safety Digest, Incident Reports and other international reports
The PLA receives copies of each published MAIB Safety Digest. The Deputy Harbour Master (SMS) and Pilotage Operations Manager review each issue to identify any reported incidents, which impact or have the potential to impact upon the PLA’s Marine SMS. All such incident summaries are then circulated to all marine managers for information/action, and where appropriate, considered formally by the MMT with a view to taking any necessary action, including the promulgation of any lessons learned.

In addition, the Deputy Harbour Master (SMS) assesses all published MAIB Incident Investigation Reports, as well as other international reports relevant to the Marine SMS. The Reports, including lessons learned and/or consequences are reviewed formally by MMT and/or promulgated to relevant marine staff, including pilots.

3. Other Publications and Incident Reports
The same process is applied to any other relevant publications and reports, of which the PLA becomes aware.

4. Internal consultation
Where the PLA is required or wishes to make a representation on an external consultation or amendment to legislation, this is shared internally with appropriate heads of department and a PLA response coordinated by the Deputy Harbour Master (SMS).
ANNEX A

PLA NAVIGATIONAL SAFETY POLICY
NAVIGATIONAL SAFETY POLICY

Through the Port of London Act 1968 (as amended), the Port of London Authority (PLA) has the primary responsibility of maintaining safe access and managing and supporting the safety of vessels, the general public and all users of, the tidal River Thames, together with a duty to improve and conserve the river and its environment.

Additionally, the PLA is committed to complying fully with the standards laid down in the Port Marine Safety Code (PMSC) and the management of navigation shall be in accordance with those standards. The Board of the PLA, as the Duty Holder, are collectively and individually accountable for the management of marine safety under the Code.

To this end, navigational safety will be managed according to the following objectives:

Safety Management System
- Maintain an effective marine Safety Management System (SMS) and Regulatory Framework, which meets the requirements of the PMSC and the Port’s legal responsibilities, based on formal assessment and mitigation of risk, ensuring this is monitored, reviewed and audited.
- Publish a Marine Safety Plan every 3 years and report performance against the plan annually.

Pilotage
- Ensure that the operation of the Pilotage Service and PEC system is compliant with the Pilotage Act 1987, national regulations, guidelines and competency standards and that the Pilotage Service is able to respond to all properly notified pilotage requirements.

Vessel Traffic Service
- Operate the London Vessel Traffic Service (VTS) to IMO, IALA and national standards to manage the safety and efficiency of navigation, safety of life at sea and the protection of the marine environment and/or the adjacent shore area, worksites and offshore installations from the possible adverse effects of maritime traffic.

Hydrography
- Undertake such hydrographic surveys as are necessary for safe and efficient navigation within port limits through a managed survey programme of the bed of the Thames and to provide this information to river users.

Vessel Licensing
- Verify the fitness for purpose of licensed inland waterways commercial vessels by inspection, ensure effective supporting operational safety management systems and where appropriate, define and enforce minimum crew competencies.

Management of River Activities and Works
- Ensure, through an appropriate level of risk assessment that the approval of river activities and river works takes due regard of the safety of navigation and in particular:
  - The Authorised Channel should not be obstructed by any permanent works, and temporary obstruction or closure of the Authorised Channel for sporting or cultural
events may be permitted only in exceptional circumstances or for significant public events.
  o Temporary obstruction or closure of bridge arches will only be permitted when necessary, such as to facilitate maintenance, and two-way traffic should be maintained whenever possible.
  o The PLA will endeavour to maintain a 15 metre channel either side of the Authorised Channel to enable vessels manoeuvring onto or off berths and recreational vessels to remain clear of traffic navigating in the Authorised Channel.
  o Where significant recreational activity takes place such as above Putney Bridge, the safety of navigation will be managed appropriately to account for this factor.

Emergency Preparedness and Response
- Ensure that appropriately detailed emergency plans are prepared in conjunction with other relevant authorities, and that such plans are published and periodically exercised.

Enforcement and Prosecution
- Develop and maintain effective investigation and enforcement procedures that comply with national requirements and best practice, identifying, promulgating and making good use of any 'lessons identified'.
- Effectively promulgate, apply and enforce byelaws, directions and procedures, responding to breaches or criminal offences, and where necessary initiating a prosecution, whilst observing the Code for Crown Prosecutors.

Consultation
- Consult as early as is practicable, and encourage comment and contribution from, users, stakeholders and beneficiaries, for assessment of risk, when changes to PLA legislation, policy and navigational markings are being considered, and to publish the feedback.

Marine Training
- Ensure that all marine personnel are competent to perform the duties allocated to them through the adoption of the levels of knowledge and skill associated with relevant international, national and local standards.

Environment
- Comply with the PLA’s responsibilities to the natural, human and built environment and ensure procedures and measures are in place to minimise environmental impacts arising from its activities.

BOARD APPROVED
29.09.2017

PLEASE NOTE THIS IS DUE FOR REVIEW IN SEPTEMBER 2020.
ANNEX B

OTHER PLA POLICIES
OTHER PLA POLICIES

Other PLA policies influencing the management of marine safety:

<table>
<thead>
<tr>
<th>POLICY</th>
<th>OWNERSHIP</th>
<th>INFLUENCE ON MARINE SAFETY</th>
</tr>
</thead>
<tbody>
<tr>
<td>Quality Policy</td>
<td>Management Systems</td>
<td>Supplements the internal healthcheck system (see section 11.1.4) Review of strategy and business plans</td>
</tr>
<tr>
<td>Environmental Policy</td>
<td>Environment</td>
<td>Commitment to the sustainable development of the river and estuary in accordance with the Marine Policies.</td>
</tr>
<tr>
<td>Drug &amp; Alcohol Policy</td>
<td>Human Resources</td>
<td>The enforcement of The Merchant Shipping (Alcohol) (Prescribed Limits Amendment) Regulations 2015 and Railways and Transport Safety Act on Marine Staff.</td>
</tr>
<tr>
<td>Port Security Policy</td>
<td>Port Security Officer</td>
<td>Summarises the PLA’s responsibilities in respect of security matters in the wider port environment and the PLA’s internal security culture and arrangements.</td>
</tr>
<tr>
<td>PLA’s Whistle Blowing Policy</td>
<td>Human Resources</td>
<td>Encourages employees to report malpractice in areas such as Marine Safety, health and safety or fraudulent, discriminatory or dishonest practice, outlining procedures and protections in place to do so.</td>
</tr>
<tr>
<td>Retention Policy</td>
<td>Legal</td>
<td>The retaining of documents for 7 years (except those specifically required to be maintained for longer as a matter of law.) Assists with recording and reference of decisions made.</td>
</tr>
<tr>
<td>Delegation of Authority</td>
<td>Secretary to the Board</td>
<td>To discharge the duties and exercise the powers given to the PLA by Parliament in the Act and otherwise, both directly and by delegation as the Authority considers appropriate. (See Annex D)</td>
</tr>
</tbody>
</table>
ANNEX C

TERMS OF REFERENCE

NB ToR for all meetings are reviewed by MMM as circumstances require, but the review process is usually every three years
MARINE MANAGEMENT TEAM MEETING
(Formerly Navigational Management Team)

Terms of Reference

Introduction

The Port of London Authority (PLA), as statutory Harbour Authority, is responsible for the management of navigational safety in the Port of London. It is obliged, under the requirements of the Port Marine Safety Code to maintain a navigational safety management system (SMS) based on formal risk assessment.

Whilst the PLA involves port users and practitioners in continuing to develop and maintain the SMS, it is the PLA Board (as Duty Holder) above which, who are responsible for navigational safety in the port.

The PLA Board delegates responsibility for day to day navigational management decisions to the Chief Harbour Master, who in turn is supported by five specialist marine departments:

- Pilotage
- Vessel Traffic Services
- Harbour Masters Hydrographic Services
- Marine Services

These departmental managers, together with the Chief Harbour Master form the PLA’s Marine Management Team (MMT).

MMT has a broad remit in respect of the management of marine operations. Its Terms of Reference are laid out below.

Terms of Reference

The MMT members and their reports collectively form the Chief Harbour Masters (CHM) department. The collective department’s roles and responsibilities are to:

1. Manage marine operations and implement conservancy measures in accordance with PLA policies as approved by the Board, and the guidance contained in the MMT Management Guidelines.

2. Review and take appropriate action in respect of:
   - all safety incidents and navigational occurrences, and the associated recommendations of the investigating Harbourmaster and/or the subsequent Navigational Risk Assessment Working Group;
   - any identified trends in the nature or frequency of safety incidents and navigational occurrences;
   - the programmed assessment of hazards and associated risk control measures; and
• the outcomes of any navigational, environmental or marine operations risk assessments.

3. Develop for approval by the Board where appropriate, draft strategy, policies, plans and budgets in respect of navigational and conservancy issues and marine operations.

4. Oversee the regular review of PLA’s marine regulatory and enforcement framework in order to ensure its continuing fitness for purpose.

5. Monitor the development of operational procedures, guidelines, recommendations or "lessons learned" arising from (local or national) incident investigations and programmed reviews of hazards and risk control measures.


7. Continue to develop and expand the PLA’s understanding of the river and estuarine environment and use this knowledge to manage marine operations in accordance with best environmental practice.

8. Contribute, as appropriate, to the PLA’s strategic planning and monitor progress in completing the relevant objectives as identified in the Annual Strategic/Operating Plans.

9. Keep under review best national practice as prescribed in the (PMSC) Guide to Good Practice and to ensure compliance within the PLA where appropriate.

10. Consider recommendations for unbudgeted capital and revenue expenditure arising from an identified need to enhance navigational safety.

11. Co-ordinate the activities of the CHM departments.

Practical examples of its day-to-day work includes the regular review of navigational incidents and trends, and the development of terms of reference for Navigational Risk Assessment Working Groups (NRAWGs). It will also review NRAWG reports and consider any associated recommendations.

Membership

The Marine Management Team Meeting (MMM) comprises:
• Chief Harbour Master (chair)
• Harbour Master (Lower)
• Harbour Master (Upper)
• Harbour Master (Thames Tideway Tunnel)
• Harbour Master (SMS & VTS)
• Port Hydrographer
• Director of Marine Operations
• Pilotage Operations Manager
• Marine Services Manager

MMM members are individually responsible for the management and function of their respective departments. The statutory and regulatory marine responsibilities delegated to MMM members and others by the PLA Board are contained in the Marine Delegation of Authority document, and are attached at Annex D.

Other responsibilities and duties are contained within individual Job Descriptions, which are signed as an acceptance and undertaking of those responsibilities, by the individuals concerned.
Administration

The PA to the Chief Harbour Master will provide the secretariat and administrative support for the Group.

Records

Minutes of all meetings, including any ad-hoc working groups and correspondence will be kept to provide a robust record of proceedings and the factors affecting decisions made.

Period of Review

These Terms of Reference will be included in the Marine SMS Manual and will be reviewed by MMT as circumstance require, but on at least a three-yearly basis.
PILOTAGE TRAINING PANEL

Terms of Reference

Introduction

Within the scope of the port’s navigational Safety Management System (SMS) the following Pilotage Policy applies.

Pilotage Policy

The Port of London Authority (PLA) is a Competent Harbour Authority (CHA) within the meaning of the Pilotage Act 1987 and publishes Pilotage Directions. The Port of London Pilotage Directions defines the London Pilotage District and the requirements for compulsory pilotage within it. They also lay down regulations under which Pilotage Exemption Certificates (PECs) are issued and administered in that District.

PLA Board policy in respect to pilotage is to:

- Ensure that the operation of the pilotage service is compliant with national regulations, guidelines and competency standards;
- Keep under review its Pilotage Directions to ensure that they based on formal risk assessment and are fully in accord with the current navigational safety management system;
- Maintain a competent and authorised pilotage force;
- Maintain a fully supported Pilotage Service, able to respond to all 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.

In order to support and achieve, where appropriate, the requirements of this policy, the Pilotage Department has established a Pilotage Training Panel (PTP), which reports, through the Chief Harbour Master, to the PLA’s Marine Management Team (MMT). The Terms of Reference of the PTP are approved (and reviewed on a regular basis) by MMT and are laid out below.

Terms of Reference

The PTP is responsible to the Marine Management Team for ensuring that the PLA maintains and delivers an appropriate, effective and robust system of training of Authorised Pilots, Pilotage Exemption Certificate Holders and Local Navigation Certificate Holders.

In order to meet its remit, the PTP will establish and undertake the following:

Authorised Pilots

In respect of the training regime for Trainee and Authorised Pilots:

- Keep under review the UK Pilots National Occupational Standards and training requirements;
• Utilising the National Occupational Standards as necessary, formulate, adopt and maintain an appropriate training syllabus for PLA Authorised Pilots (at all grades from Trainee Pilot to Class 1 Unrestricted);

• Formulate, adopt and maintain appropriate training syllabi for PLA Authorised Pilots undertaking specific pilotage duties i.e. Haven Pilot (tankers and container vessels), River Pilot, Pilot Examiners and Pilotage Simulator Trainers; and

• Establish and maintain effective and robust examination and assessment regime for Authorised Pilots.

The training regime will include both in-house training and external courses as the PTP deems necessary to achieve its aims.

**Pilgrimage Exemption Certificate (PEC) Holders**

PEC training requirements are as set out in the current PLA Pilotage Directions and as referenced in the Port Marine Safety Code and its associated Guide to Good Practice. In respect of the training regime for PEC Applicants and Holders:

• Formulate, implement and maintain additional training and certification requirements for PEC Holders for vessels greater than 145m loa; and

• Establish and maintain effective and robust examination and assessment regime for PEC Applicants and Holders; and

• Keep the rules and regulations for the administration and use of PECs under regular review, ensuring that they remain current and relevant to, as appropriate, the Authorised Pilot training syllabus and regime.

**Local Navigation Certificate (LNC) Holders**

In respect of the training and assessment regime for LNC Holders and Applicants:

• Keep the rules and regulations for the administration and use of Local Navigation Certificates under regular review, ensuring that they remain current and relevant to, as appropriate, the Authorised Pilot and PEC training syllabus and regimes.

The PTP will also:

• Advise MMT of any changes made to the standard training, examination and assessment syllabi and regimes;

• Seek MMT endorsement of any significant changes to the standard training, examination and assessment syllabi and regimes;

• Design individual, competence based, “fast track” training packages for trainees who have previously worked as authorised pilots for other authorities or with other appropriate experience.

• Establish and maintain an appropriate and effective ongoing schedule of Pilot, PEC Holder and LNC Holder training, examination and assessment in order to meet operational and river users needs;

• Ensure that appropriate training, examination and assessment records are maintained for all areas under its remit;

• Submit a regular report to MMT, providing a summary of all training, examination and assessment updates, as appropriate; to include relevant information MMT may require keeping up-to-date with training requirement, pilotage advancement and progression.
• Oversee all aspects of Pilotage Simulator training; including trainee reviews, assessments, tripping administration and monitoring conducted by assessing pilots and examiners;

• Establish and maintain procedures to facilitate the periodic re-validation of Pilots' Authorisations, and PEC and LNC renewals;

• Contribute to the maintenance of the PLA’s regulatory framework by the periodic review of PLA Pilotage Directions and Regulations, and General Directions as they apply to provision of pilotage and local navigation services and associated training, and submit any proposals for change to MMT.

• Produce proper records of meetings and maintain a robust audit trail of decisions.

The PTP will comprise the following members:

• Pilotage Resources Manager (Chairman);
• Chief Harbour Master
• 2 x Simulator Instructors; and
• 1 x Pilot Examiner.
• Representative from pilots currently progressing through the class structure (i.e. a class 2, 3 or 4 pilot).

The Simulator Instructors and Pilot Examiners will be Class 1 Unrestricted Pilots. Additional members may be invited onto the Panel on a temporary basis, as necessary, in order to assist with specialist advice and support.

MMT APPROVED
22/10/12
Reviewed with no changes - 14/11/16
BERTHING OPERATIONS WORKING GROUP

Terms of Reference

Introduction

The Port Marine Safety Code requires that a port’s safety management system should provide, wherever possible, for (ship towage) tug crews to train with pilots and other port marine personnel involved in mooring and mooring vessels.

Previously the PLA had established two groups a Pilotage/Ship Towage/VTS Training and Liaison Group and Safe Mooring Group looking at issues around ship towage, safe mooring and unmooring operations to facilitate and enhance co-operation and training. The PLA in consultation with members of the two groups has decided to merge the two groups into one, which would be called the Berthing Operations Working Group to better facilitate cooperation and training.

The following amalgamated Terms of Reference are therefore proposed, and, following consideration by the new Berthing Operations Working Group, will be submitted to the PLA’s Marine Management Team for approval.

The Berthing Operations Working Group will undertake the following functions, making any associated recommendations for change and development to the PLA’s Marine Management Team for endorsement, as required:

1. Review, on a regular basis, all existing, relevant marine operational procedures, and propose improvements and refinements, as required;

2. Promote and improve safe mooring practices on the River from a practical and group / individual health and safety perspective;

3. Monitor and review, on a regular basis, the associated berthing operations training/liaison programmes, including, cross-discipline training and liaison, to ensure the various elements remain current, necessary and appropriate; and to identify any gaps and/or areas for improvement;

4. Keep under regular review, and contribute to the formal three-yearly review of the PLA Codes of Practice for the Safe Mooring of Vessels on the Thames and Ship Towage Operations on the Thames;

5. Undertake reviews of berthing operations incidents as requested, making recommendations as necessary.

Administration

The Harbour Master (Lower District) will normally chair the group and will provide the secretariat and administrative support for the Group. In his absence, the Deputy Harbour Master (Lower District) will normally take the chair.

The Team Support Officer will act as Secretary for the Group; arranging venue, agendas and taking the meeting notes. The meeting notes will be distributed as soon as possible after the meeting, for agreement.
Frequency of Meetings

The Group will meet at least twice in any calendar year (usually winter and summer) with any business in the intervening period being conducted by electronic correspondence or within smaller working groups.

Records

Minutes of all meetings, including any ad-hoc working groups and correspondence will be kept to provide a robust record of proceedings and the factors affecting decisions made. Previous agendas and minutes will be publically available on the PLA’s websites.

Period of Review

These Terms of Reference will be included in the Marine Safety Management System Manual and will be reviewed by MMT as circumstance require, but on at least a three-yearly basis.

Membership

Ship Towage companies
Practising Watermen and Linesmen
Pilots (sea and river)
PLA Harbour Masters
HM (SMS & VTS) Manager / Deputy
PLA Health & Safety
Tilbury Harbour Master
London Gateway Port Harbour Master

MMT APPROVED
15.03.2017
PLA HARBOURMASTER’S RECREATIONAL NAVIGATION GROUP (UPPER) (PHRNG (U))

Terms of Reference

Purpose of the Group

Within the scope of the port’s Marine Safety Management System, the Port of London Authority has established the PLA Harbourmaster’s Recreational Navigation Group (Upper) (PHRNG(U)) to provide recreational river users with a forum to discuss matters concerning recreational safety on the tidal Thames to the west of Crossness.

In particular, the PHRNG (U) will:

- Review recreational navigational incidents, consider trend analysis, highlight safety issues and identify additional control measures for consideration and implementation;
- Review upcoming river works and events, which may impact on the safety of navigation in the Upper District;
- Review and undertake navigational risk assessments on a regular and, as necessarily by incidents, events, developments and trends within the Upper District or as required by the PLA’s Marine Managers Meeting (MMT); and
- Where appropriate, review and consider changes or proposals for recreational guidance and publications, including the recreational users website and TTNC (Tidal Thames Navigator’s Club).

Frequency of Meetings

The PHRNG (U) will meet at least twice in any calendar year (usually Spring and Autumn) with any business in the intervening period being conducted by electronic correspondence or within smaller working groups.

Membership

The current membership comprises the following:

<table>
<thead>
<tr>
<th>Role</th>
<th>Name</th>
</tr>
</thead>
<tbody>
<tr>
<td>Harbour Master (Upper) – <em>Chairman</em></td>
<td></td>
</tr>
<tr>
<td>Deputy Harbour Master (SMS)</td>
<td></td>
</tr>
<tr>
<td>TRRC/PLA Liaison Officer</td>
<td></td>
</tr>
<tr>
<td>Poplar, Blackwall and District Rowing Club (PBDRC) and rep for Globe &amp; Curlew Rowing Clubs</td>
<td></td>
</tr>
<tr>
<td>Association of Thames Motor Yacht Clubs (ATYC)</td>
<td></td>
</tr>
<tr>
<td>Royal Borough of Kensington and Chelsea (RBKC) river provision and kayaking in the middle district</td>
<td></td>
</tr>
<tr>
<td>Dragon Boat Representation</td>
<td></td>
</tr>
<tr>
<td>Stand Up Paddle-boarding (SUP) Representative</td>
<td></td>
</tr>
<tr>
<td>Assistant Harbour Master Recreation - <em>Secretary</em></td>
<td></td>
</tr>
<tr>
<td>Thames Regional Rowing Council (TRRC) Regional Water Safety Advisor</td>
<td></td>
</tr>
<tr>
<td>British Canoeing</td>
<td></td>
</tr>
<tr>
<td>Royal Yachting Association (RYA) Thames Valley and London</td>
<td></td>
</tr>
<tr>
<td>Chairman of the Inland Waterways Association (IWA) London Region and member of St. Pancras Cruising Club</td>
<td></td>
</tr>
<tr>
<td>Richmond Canoe Club and kayaking in the upper district</td>
<td></td>
</tr>
<tr>
<td>Shadwell Basin Activity Centre</td>
<td></td>
</tr>
<tr>
<td>The Barge Association</td>
<td></td>
</tr>
</tbody>
</table>
Membership will be reviewed on a three-yearly basis, to ensure that the group remains appropriate and current.

Administration

The Harbour Master (Upper) department will provide the secretariat and administrative support for the Group. In addition Harbour Master (Upper) will normally chair the PHRNG (U). In his absence, the Deputy Harbour Master (Upper) will take the chair.

Assistant Harbour Master Recreation, will act as Secretary for the Group; arranging venue, agendas and taking the meeting notes. The meeting notes will be distributed as soon as possible after the meeting, for agreement.

Records

Minute of all meetings, including any ad-hoc working groups and correspondence will be kept to provide a robust record of proceedings and the factors affecting decisions made. Previous agendas and minutes will be publically available on the PLA’s websites.

Period of Review

These Terms of Reference will be included in the Marine SMS Manual and will be reviewed by MMT as circumstance require, but on at least a three-yearly basis.

MMT APPROVED
13.01.15

* Editorial amendments to the title of the NMT meetings to MMT and attendees 01.06.2016
EMERGENCY PLANNING TEAM

Terms of Reference

Background

Following the disbandment of the Port of London Authority’s (PLA) dedicated Emergency & Contingency Management Team on 31st December 2012, the Chief Harbour Master and NMT agreed that the PLA’s continuing statutory responsibilities and functions with regard to contingency management and emergency planning will be undertaken by the combined efforts of the marine departments, through a collective Emergency Planning Team, which meets periodically or as required.

The Deputy Harbour Master (Lower) chairs the Emergency Planning Team and retains responsibility for the overall coordination and delivery of the PLA’s emergency planning provisions.

The Deputy Harbour Master (Lower) holds the nominated PLA Emergency Planning Officer post, and leads on the management and administration of PLA Emergency Planning functions.

The provision of a central business continuity oversight capability was discontinued at the end of 2012, and business continuity management is delegated to individual departmental managers.

Terms of Reference

The PLA is a Category 2 Responder under the Civil Contingencies Act 2004. In addition to supporting Category 1 Responders, the PLA co-operates with other relevant partner organisations in the planning, response and recovery for marine emergencies. The Emergency Planning Team (EPT) supports the Emergency Planning Officer in meeting our responsibilities as a Category 2 Responder.

The PLA also has emergency planning and contingency management responsibilities under the requirements of the Port Marine Safety Code. In order to meet both its statutory and non-statutory duties in this respect, the EPT will:

- Provide dedicated liaison officers for the various Local Resilience Forums (LRF) and their supporting committees and groups within the PLA area of jurisdiction.
- Review, develop and maintain the PLA’s annual Training & Exercise Plans and Schedule in order to meet the PLA’s associated training and exercise requirements; including assisting with plans for exercises and ensuring that the PLA conforms to the MCA’s 2012 Guidance to Port’s (Annex J) for training & exercises in particular.
- In support of the DHM(SM), review as required the currency of the PLA’s Emergency Manual and Oil Spill Contingency Plan, to ensure that they remain relevant and fit for purpose.
- In addition:
Each officer will review the relevant agendas and attend their respective forums/committees, as directed by the LRF agendas where possible, and as a minimum at least once per year.

Each officer is responsible for keeping meeting notes and sharing those with the rest of EPT Group, via email, as soon as practicable after each meeting. In addition, all papers (agenda, minutes, other papers of relevance) associated with each LRF are to be saved in the appropriate emergency planning folders on the G drive.

**Frequency of Meetings**

The Emergency Planning Team (EPT) will meet once every two months or at least six times in any calendar year with any business in the intervening period being conducted by electronic correspondence or within smaller working groups as required.

**Membership**

The current membership comprises the following:

<table>
<thead>
<tr>
<th>Position</th>
<th>Name</th>
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</thead>
<tbody>
<tr>
<td>Harbour Master (Lower) – Chairman</td>
<td>Team Support Officer – Secretary</td>
</tr>
<tr>
<td>Harbour Master (Upper)</td>
<td>Harbour Master (Thames Tideway Tunnel)</td>
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<tr>
<td>Harbour Master (Lower)</td>
<td>Deputy Harbour Master (Upper) 1</td>
</tr>
<tr>
<td>Assistant Harbour Master (Recreational)</td>
<td>Deputy Harbour Master (Upper) 2</td>
</tr>
<tr>
<td>Marine Services Manager</td>
<td>Harbour Master (SMS &amp; VTS)</td>
</tr>
<tr>
<td>Environment Manager</td>
<td>Deputy VTS Manager</td>
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</tbody>
</table>

Members will attend as operational priorities and the agenda dictate, but managers will seek to ensure that each department has at least one representative at each meeting.

**Administration**

The Team Support Officer will act as Secretary for the Group; arranging venue, agendas and taking the meeting notes. The meeting notes will be distributed as soon as possible after the meeting, for agreement.

**Records**

Minutes of all meetings, including any ad-hoc working groups and correspondence will be produced and kept on the G Drive to provide a robust record of proceedings and the factors affecting decisions made.

**Period of Review**

These Terms of Reference will be included in the PLA Emergency Manual and will be reviewed by NMT as circumstance require, but on at least a three-yearly basis.

NMT APPROVED
15.06.15

* Editorial amendment to reflect revised job titles 14.03.2017
LARGE VESSEL WORKING GROUP

Terms of Reference

Under development. ULCS procedures and risk assessment undergoing review as of March 2017 where these Terms of Reference will be developed.
MARINE DELEGATION OF AUTHORITY

The PLA is a Statutory Harbour Authority under the Harbours Act 1964 and a Competent Harbour Authority under the Pilotage Act 1987. Certain powers are also granted to the Authority under the Merchant Shipping Act 1995 and other legislation. The PLA is subject to the requirements of the Port Marine Safety Code.

The Port Marine Safety Code identifies the PLA Board, collectively, as the ‘duty holder’ and as such members are collectively and individually accountable, and therefore responsible for ensuring that marine operations within the port are managed safely and efficiently. The Board fulfils these requirements by ensuring that all statutory and operational responsibilities for marine safety are clearly assigned and has delegated statutory and operational responsibilities. Where appropriate, responsible officers have further delegated responsibilities to deputies and/or assistants. Individual responsibilities in respect of marine operations have been formally acknowledged in writing through the acceptance and signature of specific job descriptions.

Officers to whom those responsibilities are entrusted are accountable for their performance.
## STATUTORY AND REGULATORY DELEGATIONS

<table>
<thead>
<tr>
<th>POST</th>
<th>DELEGATED RESPONSIBILITY/ FUNCTION</th>
<th>OVERVIEW OF POWERS AND/OR DUTIES</th>
<th>RELEVANT LEGISLATION/CODES</th>
<th>MARINE AUTHORISATION / LEVEL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Chief Harbour Master</td>
<td>Harbourmaster</td>
<td>Appointed Harbourmaster by the Port Authority. Authority Initiation of prosecutionProsecution under the Pilotage ActDecision to initiate maintenance dredging</td>
<td>PL Act - s 5</td>
<td>YES</td>
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<td></td>
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<td></td>
<td>Pilotage Act 1987</td>
<td>1, 2 and 3</td>
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<td>Pilotage Act 1987</td>
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<td>PL Act - s 60</td>
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<td>POST</td>
<td>DELEGATED RESPONSIBILITY/ FUNCTION</td>
<td>OVERVIEW OF POWERS AND/OR DUTIES</td>
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<td>MARINE AUTHORISATION / LEVEL</td>
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<tr>
<td>Harbour Master (Lower) &amp; Designated Deputies</td>
<td>District Harbormaster</td>
<td>Appointed District Harbour Master</td>
<td>PL Act - s 5</td>
<td>YES</td>
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<tr>
<td></td>
<td></td>
<td>Power to give special directions</td>
<td>PL Act - s 112</td>
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<td></td>
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<td>Restricting public use of the Thames</td>
<td>PL Act - s 91</td>
<td></td>
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<td></td>
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<td>Removal of wrecks</td>
<td>Merchant Shipping Act 1995 - s 252</td>
<td></td>
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<td></td>
<td></td>
<td>Raise and remove sunken vessels</td>
<td>PL Act - s 120</td>
<td></td>
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<td></td>
<td></td>
<td>Removal of obstructions</td>
<td>PL Act - s 121</td>
<td></td>
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<td></td>
<td>Removal of projections</td>
<td>PL Act - s 122</td>
<td></td>
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<td></td>
<td>Repair of landing places/embankments</td>
<td>PL Act - s 123</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Identity of vessel Master</td>
<td>PL Act - s 138</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Power as a Local Lighthouse Authority</td>
<td>Merchant Shipping Act 1995 - s 201</td>
<td></td>
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<tr>
<td></td>
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<td>Surrender of local lighthouses</td>
<td>Merchant Shipping Act 1995 - s 204</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Lights detrimental to navigation</td>
<td>PL Act - s 133</td>
<td>1, 2 and 3</td>
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<tr>
<td></td>
<td></td>
<td>Refuse/revoke craft registration</td>
<td>PL Act - s 128</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td>Removal of vehicles</td>
<td>PL Act - s 177</td>
<td></td>
</tr>
<tr>
<td>POST</td>
<td>DELEGATED RESPONSIBILITY/ FUNCTION</td>
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<tr>
<td>Explosives Security Officer</td>
<td></td>
<td>Restrictions on transfer of oil at night</td>
<td>Merchant Shipping Act 1995 - s 135</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Power to prosecute for oil pollution offences</td>
<td>Merchant Shipping Act 1995 - s 143</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Power to detain for oil pollution offences</td>
<td>Merchant Shipping Act 1995 - s 144</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Control of Dangerous Vessels</td>
<td>Dangerous Vessels Act 1985</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Control of the movement of dangerous substances</td>
<td>Dangerous Goods in Harbour Areas 2016.</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Control of the movement of explosives</td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
<td>ISPS Code 2004</td>
<td></td>
</tr>
<tr>
<td>Harbour Master (Upper) &amp; Designated Deputies</td>
<td>District Harbourmaster</td>
<td>As for HML – see above</td>
<td>*Except control of the movement of dangerous goods, explosives and port security</td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td>Work sluices at Richmond Lock</td>
<td>PL Act - s 88</td>
<td>YES</td>
</tr>
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</tr>
<tr>
<td>POST</td>
<td>DELEGATED RESPONSIBILITY/FUNCTION</td>
<td>OVERVIEW OF POWERS AND/OR DUTIES</td>
<td>RELEVANT LEGISLATION/CODES</td>
<td>MARINE AUTHORISATION / LEVEL</td>
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</tr>
<tr>
<td>HM (TTT)</td>
<td>Harbour Master – (Thames Tideway Tunnel)</td>
<td>Provision of major infrastructure project - Thames Tideway Tunnel</td>
<td></td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>HM (VTS &amp; SMS)</td>
<td>Harbour Master (VTS &amp; SMS)</td>
<td>Provision of vessel traffic service systems</td>
<td></td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>Marine Pilotage Manager</td>
<td>Marine Pilotage Manager</td>
<td>Provision of Pilotage services</td>
<td>Provision of pilotage services Pilotage Act 1987</td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>Port Hydrographer, Designated Deputies &amp; Surveyors</td>
<td>Port Hydrographer</td>
<td>Provision of hydrographic surveys</td>
<td>PL Act - s 7</td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>Designated Person</td>
<td>Designated Person</td>
<td>Act as ‘Designated Person’</td>
<td>Port Marine Safety Code</td>
<td>NO</td>
</tr>
<tr>
<td>Marine Surveyor &amp; Designated Deputies</td>
<td>Marine Surveyor</td>
<td>Inspection and licensing of vessels</td>
<td>PL Act - s 124 &amp; 126</td>
<td>YES</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Replacement of inaccurate and lost certificates</td>
<td>PL Act - s 130</td>
<td>1, 2 and 3</td>
</tr>
<tr>
<td>An ‘Officer’ of the Authority (i.e. Marine River Inspector)</td>
<td>‘Officer’ of the Authority</td>
<td>Power to board a vessel</td>
<td>PL Act - s 137</td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>Licensing Officer</td>
<td>Licensing Officer</td>
<td>Issue of licences for river works including maintenance dredging.</td>
<td>PL Act - s 66</td>
<td>YES 2 and 3</td>
</tr>
<tr>
<td>Estates &amp; Facilities</td>
<td>Estates &amp; Facilities</td>
<td>Maintenance of PLA premises</td>
<td>PL Act – s90</td>
<td>YES 2 and 3</td>
</tr>
</tbody>
</table>

Note: YES indicates the level of authorisation.
<table>
<thead>
<tr>
<th>POST</th>
<th>DELEGATED RESPONSIBILITY/ FUNCTION</th>
<th>OVERVIEW OF POWERS AND/OR DUTIES</th>
<th>RELEVANT LEGISLATION/CODES</th>
<th>MARINE AUTHORISATION / LEVEL</th>
</tr>
</thead>
<tbody>
<tr>
<td>Marine Services Manager &amp; Designated Deputies</td>
<td>Marine Services Manager</td>
<td>Raise and remove sunken vessels (not to declare obstruction). Removal of obstructions Removal of projections Removal of vehicles</td>
<td>PL Act - s 120 PL Act - s 121 PL Act - s 122 PL Act - s 177</td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>Civil Engineer</td>
<td>Chief Engineer</td>
<td>Repair of landing places/embankments</td>
<td>PL Act - s 123</td>
<td>YES 2 and 3</td>
</tr>
<tr>
<td>POST</td>
<td>DELEGATED RESPONSIBILITY/ FUNCTION</td>
<td>OVERVIEW OF POWERS AND/OR DUTIES</td>
<td>RELEVANT LEGISLATION/CODES</td>
<td>MARINE AUTHORISATION</td>
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<tr>
<td>Licensing Committee</td>
<td>Licensing of River Works</td>
<td>Granting river works licences</td>
<td>PL Act - s 66</td>
<td>NO</td>
</tr>
<tr>
<td></td>
<td>Pilotage</td>
<td>Land Use Planning</td>
<td>Full scope of legislation to be identified.</td>
<td>NO</td>
</tr>
<tr>
<td>Board/Licensing Committee</td>
<td>Capital Dredging</td>
<td>Decision to undertake capital dredging</td>
<td>PLA Act – s 112</td>
<td>YES 1, 2 and 3</td>
</tr>
<tr>
<td>Marine Policing Unit Officers (Met Police)</td>
<td>Delegation of Authority</td>
<td>Power to issue a Special Direction Power to Board a vessel</td>
<td>PLA Act – s 137</td>
<td></td>
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</tbody>
</table>
Authorisation Levels
1 - To perform the functions of the Harbourmaster
2 - To Enter and Inspect vessels on the Thames
3 - For Entry on Land to Survey and Inspect

Levels 1, 2 and 3
The holder is a Port of London Authority harbourmaster and has power to give directions to vessels on the tidal Thames and in the docks and enter to inspect the vessels or to prevent or extinguish fires and to enter on land adjoining the Thames to survey and inspect works, landing places and embankments, in accordance with the provisions of the Port of London Act 1968 and Thames Byelaws and Directions made under that Act.

Levels 2 and 3
The holder has been appointed by the Port of London Authority and has power to enter on land adjoining the Thames to survey and inspect works, landing places and embankments, in accordance with the provisions of the Port of London Act 1968 and Thames Byelaws and Directions made under that Act.

Notes: 1. * Presently lies with CHM.
       2. The Marine Services Manager is the Nominated Person for the storage of petroleum at Denton Wharf (local authority requirement)