



# **MARINE SAFETY MANAGEMENT SYSTEMS MANUAL**

| DOCUMENT RECORD |        |  |    |     | APPROVAL     |                         |
|-----------------|--------|--|----|-----|--------------|-------------------------|
| VERSION         | DATE   | DESCRIPTION  | BY | CHK | HM VTS / SMS | Marine Managers Meeting |
| 26.1            |        | <ul style="list-style-type: none"> <li>Update to MMM and Hazard Review Panel ToR</li> </ul>  | PE |     |              |                         |
| 26              |        | <ul style="list-style-type: none"> <li>-1.4 Regulatory references divided into tabulated groups and HRO revisions added.</li> <li>-5.1 – Explanation on Risks, Hazards and All Vessels Risk Type.</li> <li>-6.1.8 SOSREP details added</li> <li>6.1.3 minor change to extent of VTS service area</li> <li>-7.1.4 – Added requirement for monitoring changes during hazard review process, including the download and save of modified assessments.</li> <li>-7.3.3 – Added Dynamic Risk Assessment</li> <li>-8.1 Redraft to include new Controlled Document Library</li> <li>-10.4.1 Incidents involving death or crime – section added</li> </ul> | PE |     |              |                         |
| 25              | Feb 20 | <ul style="list-style-type: none"> <li>- New Scoring Matrices for Hazard Database</li> <li>- Added Moderate and Severe to incident severity levels</li> <li>- Update to Hazard Review Panel ToR to reflect resolver processes</li> <li>- Update to reflect MMM ToR reviewed July 2019- Update of Incident Reporting Processes</li> <li>- Removal of Navigational Safety Policy to sit as independent document</li> <li>- Other minor editorial amendments</li> </ul>   | PE |     |              |                         |
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| DOCUMENT RECORD |      |             |    |     | APPROVAL |                         |
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# Components of the Marine Safety Management System

Figure 1  
Overview of Marine SMS components.



# CONTENTS

## Contents

|            |   |           |
|------------|---|-----------|
| <b>0.0</b> | <b>MARINE SAFETY MANAGEMENT SYSTEM PRINCIPLES</b>         | <b>8</b>  |
| <b>1.0</b> | <b>INTRODUCTION</b>                                       | <b>9</b>  |
| 1.1        | Scope of the Marine Safety Management System              | 9         |
| 1.2        | Port Marine Safety Code Requirements                      | 9         |
| 1.3        | System Components   | 10        |
| 1.4        | Applicable National and Local Legislation                 | 10        |
| <b>2.0</b> | <b>POLICY</b>   | <b>12</b> |
| 2.1        | Policy Development and Communication                      | 12        |
| 2.2        | Purpose and Use of the Policy                             | 12        |
| 2.3        | Commitment Statement                                      | 12        |
| 2.4        | Policy Review   | 12        |
| <b>3.0</b> | <b>ORGANISATION</b>                                       | <b>13</b> |
| 3.1        | Functional Structure for the Management of Marine Safety  | 13        |
| <b>3.2</b> | <b>Responsibilities</b>                                   | <b>13</b> |
| 3.2.1      | The Board   | 13        |
| 3.2.2      | Executive Committee (ExCo)                                | 14        |
| 3.2.3      | Chief Harbour Master                                      | 14        |
| 3.2.4      | Marine Management Team (MMT)                              | 14        |
| 3.2.5      | Designated Person (DP)                                    | 15        |
| 3.2.6      | Harbour Master (SMS & VTS)                                | 15        |
| 3.2.7      | District Harbour Masters                                  | 15        |
| 3.2.8      | Harbour Master – Thames Tideway Tunnel                    | 16        |
| 3.2.9      | Departmental Managers                                     | 16        |
| 3.2.10     | Navigational Safety System Coordinator                    | 16        |
| <b>3.3</b> | <b>External Involvement and Responsibilities</b>          | <b>16</b> |
| 3.3.1      | Navigational Risk Assessment Working Group                | 16        |
| 3.3.2      | Berthing Operations Working Group                         | 17        |
| 3.3.3      | River Users Consultative Forums                           | 17        |
| 3.3.4      | PLA Harbourmaster’s Recreational Navigation Group (PHRNG) | 17        |
| <b>4.0</b> | <b>IMPLEMENTATION</b>                                     | <b>18</b> |
| 4.1        | Marine Safety Objectives                                  | 18        |
| 4.2        | Initial Risk Assessment and Outstanding Action Plan       | 18        |
| <b>5.0</b> | <b>MARINE SMS DATA</b>                                    | <b>19</b> |
| 5.1        | PLA Hazard Management Database                            | 19        |

|            |   |           |
|------------|---|-----------|
| 5.2        | All Vessels Risk Type                     | 19        |
| 5.3        | PLA Navigational Incident Database        | 19        |
| <b>6.0</b> | <b>RISK CONTROL MEASURES</b>              | <b>21</b> |
| 6.1        | Departmental Risk Control Functions       | 21        |
| 6.1.1      | Marine Conservancy                        | 21        |
| 6.1.2      | Pilotage                                  | 21        |
| 6.1.3      | Vessel Traffic Services                   | 21        |
| 6.1.4      | Harbour Patrol                            | 22        |
| 6.1.5      | Safety Management Systems                 | 22        |
| 6.1.6      | Marine Services                           | 22        |
| 6.1.7      | Emergency Preparedness and Response       | 22        |
| 6.2        | SOSREP                                    | 23        |
| 6.3        | Environmental Management                  | 23        |
| 6.4        | Vessel Operational Standards              | 24        |
| <b>7.0</b> | <b>SYSTEM OPERATION AND CONTROL</b>       | <b>25</b> |
| 7.1        | Marine SMS Review Processes               | 25        |
| 7.1.1      | Periodic Reviews – Proactive              | 26        |
| 7.1.2      | Post-Incident Reviews – Reactive          | 26        |
| 7.1.3      | New Risk Assessments                      | 26        |
| 7.1.4      | Monitoring                                | 26        |
| 7.2        | Marine SMS Recommendations                | 27        |
| 7.3        | Risk Assessment Standards                 | 27        |
| 7.3.1      | Methodology                               | 27        |
| 7.3.2      | Risk Level Criteria                       | 27        |
| 7.3.3      | Dynamic Risk Assessment                   | 29        |
| 7.3.4      | Hazard Review Panel                       | 30        |
| <b>8.0</b> | <b>Document Control</b>                   | <b>31</b> |
| 8.1        | Document Control Processes                | 31        |
| 8.2        | Review process and approval workflows     | 31        |
| 8.3        | Manuals, Forms and Operational Procedures | 31        |
| 8.4        | Consultation and Communication            | 33        |
| 8.4.1      | Public Consultation                       | 33        |
| <b>9.0</b> | <b>TRAINING</b>                           | <b>34</b> |
| 9.1        | Competence Assurance                      | 34        |
| 9.2        | Marine Training                           | 34        |
| 9.3        | Safety Management Training                | 35        |
| 9.4        | Task Changes                              | 35        |
| 9.5        | Refresher Training                        | 35        |
| 9.6        | Training and Competence Records           | 35        |

|                |   |           |
|----------------|---|-----------|
| 9.7            | Exercising  | 36        |
| <b>10.0</b>    | <b>INCIDENT INVESTIGATION</b>                             | <b>37</b> |
| 10.1           | Incident Reporting  | 37        |
| 10.2           | Investigation   | 38        |
| 10.3           | Agreed Actions  | 38        |
| 10.4           | Enforcement Action  | 39        |
| 10.4.1         | Incidents involving death or crime.                       | 39        |
| 10.5           | Promulgation of Lessons Identified                        | 40        |
| 10.6           | Incident Investigation Targets / KPIs                     | 40        |
| 10.6.1         | Minor/Moderate Incidents                                  | 40        |
| 10.6.2         | Serious, Very Serious and Severe Incidents                | 40        |
| 10.7           | Incidents afloat involving PLA craft or staff             | 40        |
| <b>11.0</b>    | <b>PERFORMANCE MONITORING</b>                             | <b>42</b> |
| 11.1           | Performance Measures                                      | 42        |
| 11.2           | Compliance Monitoring                                     | 42        |
| 11.3           | Records and Record Management                             | 42        |
| <b>12.0</b>    | <b>AUDIT AND REVIEW</b>                                   | <b>44</b> |
| 12.1           | Audit   | 44        |
| 12.1.1         | Objectives  | 44        |
| 12.1.2         | Independent Audits/Reviews by the Designated Person       | 44        |
| 12.1.3         | External Audits   | 44        |
| 12.1.4         | Internal Audits   | 45        |
| 12.2           | Ongoing Internal Reviews                                  | 45        |
| 12.2.1         | Review of relevant external information                   | 46        |
| <b>ANNEX A</b> | <b>PLA POLICIES</b>                                       | <b>48</b> |
| <b>ANNEX B</b> | <b>TERMS OF REFERENCE</b>                                 | <b>50</b> |
|                | MARINE MANAGEMENT TEAM MEETING                            | 51        |
|                | PILOTAGE TRAINING PANEL                                   | 53        |
|                | BERTHING OPERATIONS WORKING GROUP                         | 56        |
|                | PLA HARBOURMASTER'S RECREATIONAL NAVIGATION GROUP (UPPER) | 57        |
|                | EMERGENCY PLANNING TEAM                                   | 60        |
| <b>ANNEX C</b> | <b>MARINE DELEGATION OF AUTHORITY</b>                     | <b>62</b> |

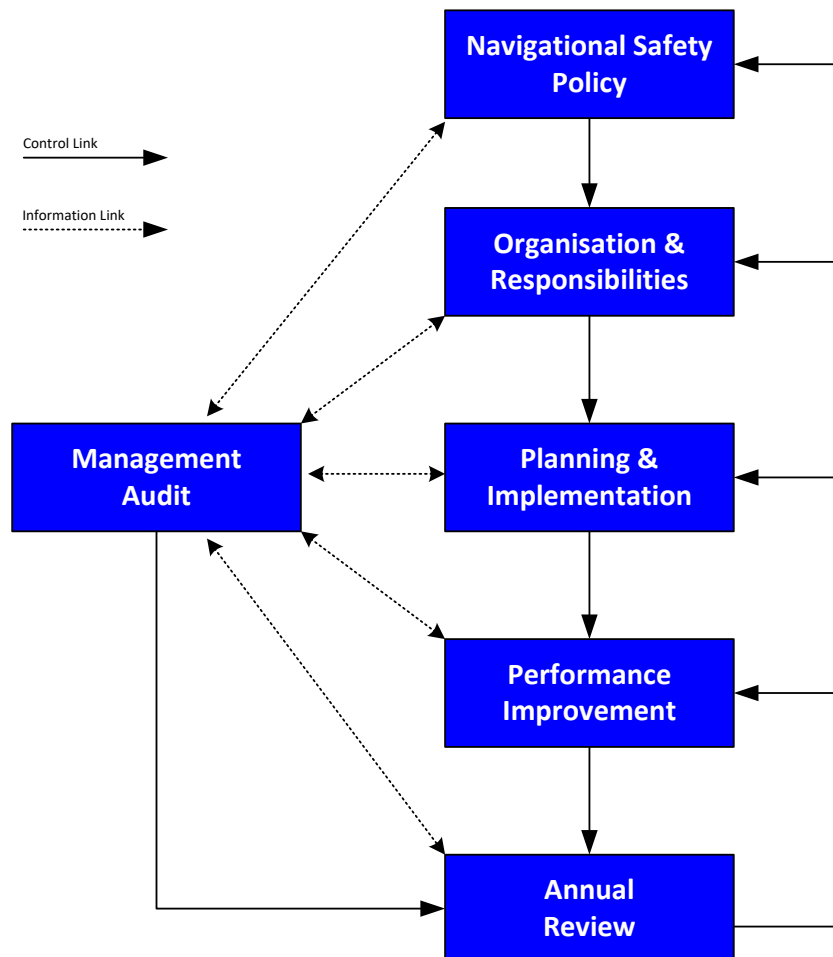
## 0.0 MARINE SAFETY MANAGEMENT SYSTEM PRINCIPLES

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 defines 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 Masters
- 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 are broad in nature, allowing for departmental ownership and effective analysis. This is designed to allow easy identification of any failure points and a clear route to correction, starting with departmental representation at reviews on an as required basis.

### 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:

|   |
|---|
| <b>National Legislation</b>   |
| <a href="#"><u>Harbours Act 1964</u></a>                            |
| <a href="#"><u>Harbours, Docks and Piers Clauses Act 1847</u></a>   |
| <a href="#"><u>Merchant Shipping Act 1995</u></a>                   |
| <a href="#"><u>Marine Safety Act 2003</u></a>                       |
| <a href="#"><u>Marine Navigation Act 2013</u></a>                   |
| <a href="#"><u>Dangerous Vessels Act 1985</u></a>                   |
| <a href="#"><u>Pilotage Act 1987</u></a>                            |
| <a href="#"><u>Aviation &amp; Maritime Security Act 1990</u></a>    |
| <a href="#"><u>Railways and Transport Safety Act 2003</u></a>       |
| <a href="#"><u>Health and Safety at Work Act 1974</u></a>           |
| <a href="#"><u>Civil Contingencies Act 2004</u></a>                 |
| <a href="#"><u>Manslaughter and Corporate Homicide Act 2007</u></a> |
| <a href="#"><u>Town and Country Planning Act 1990</u></a>           |

|  |
|--|
| <a href="#"><u>Dangerous Goods in Harbour Areas Regulations 2016</u></a>   |
| <a href="#"><u>The Merchant Shipping (Vessel Traffic Monitoring and Reporting Requirements) Regulations 2004</u></a>         |
| <a href="#"><u>The Merchant Shipping (Accident Reporting and Investigation) Regulations 2012</u></a>                         |
| <a href="#"><u>Merchant Shipping (Oil Pollution Preparedness, Response and Co-operation Convention) Regulations 1998</u></a> |
| <a href="#"><u>The Merchant Shipping (Alcohol) (Prescribed Limits Amendment) Regulations 2015</u></a>                        |
| <a href="#"><u>The Port Security Regulations 2009</u></a>  |
| <a href="#"><u>The Ship and Port Facility (Security) Regulations 2004</u></a>  |
| <a href="#"><u>Conservation (Natural Habitats &amp;c) Regulations 1994</u></a>   |
| <b>Local Legislation</b>   |
| <a href="#"><u>Port of London Act 1968 (As amended)</u></a>  |
| <b>Codes</b>   |
| <a href="#"><u>The Port Marine Safety Code</u></a>   |
| <a href="#"><u>ISPS Code 2004</u></a>  |

Locations of all Harbour Revision Orders:

(Internal)

[Harbour Revision Orders](#) (link)

(External)

[Harbour Revision Orders](#) (link)

## 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.

PLA Policies which influence the management of marine safety are also identified in [Annex A](#)

### 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).

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.

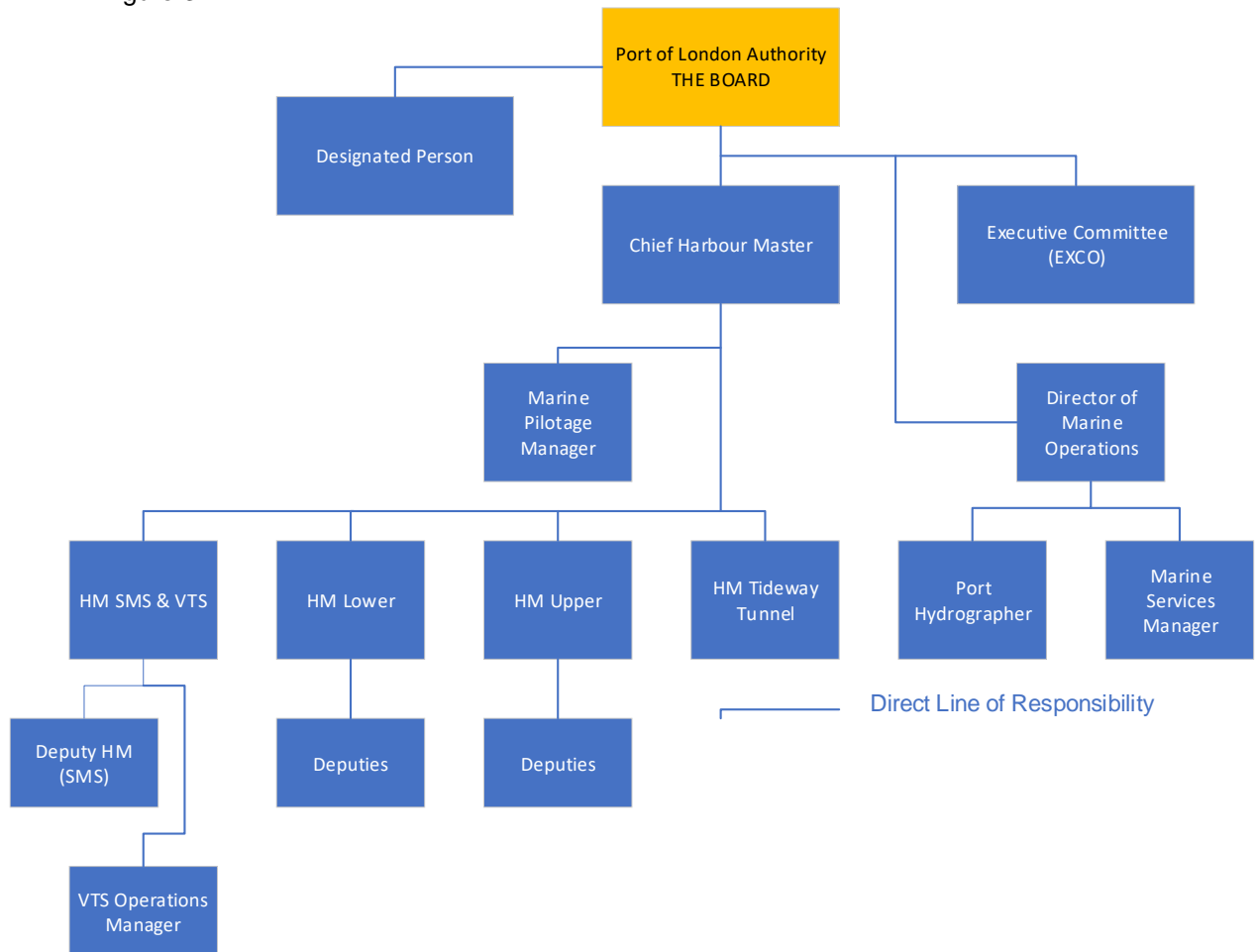
### 2.4 Policy Review

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 it 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 C](#)).

### 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](mailto: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 B](#):

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 AppendixC.

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.

### 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 can be contacted as below:

DP.London@abpmer.co.uk - 023 8071 1892 or 023 8071 1889

Designated Person (PMSC) 'Port of London Authority'

ABPmer

Quayside Suite | Medina Chambers | Town Quay | Southampton | SO14 2AQ

Web: [www.abpmer.co.uk](http://www.abpmer.co.uk) | [www.portriskmanagement.com](http://www.portriskmanagement.com)

### 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 Marine Compliance Manager

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](mailto: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](mailto: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 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.

### **3.3.3 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.

### **3.3.4 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 B

## 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, hazard review panel recommendations and safety associated recommendations, as approved by the MMT.

The overall purpose of the Action Plan is to collate all actions requiring implementation, 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. This provides a tool for continuous monitoring by management of all objectives and recommendations requiring implementation.

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 and are scored based on the outcome of the risk assessment process. These scores will change with time as the hazards and risk controls continue to be reviewed and reassessed.

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 risk assessments; 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.

Each Risk Assessment contains a list of Hazard Assessments. These are created by combining risks and hazards. Risks are identified by the differing vessel types operating on or visiting the river. Hazards are identified by the different potential incident types these vessel types are susceptible to. For example, one Hazard assessment may be entitled 'Passenger Class V – Contact'.

This structure also allows for greater correlation between the Risk and Incident Management databases.

### **5.2 All Vessels Risk Type**

Multiple vessels can often be exposed to the same hazards, with the same or similar potential causes and consequences. For this reason, each Risk Assessment in the database will contain Hazard Assessments using the Risk/Vessel Type 'All Vessels'. This assessment will cover off the hazards applicable to all vessels irrespective of type/class when its deemed the causes and potential consequences are also comparable. Vessels presenting unique hazards, or which due to unique circumstances would present significantly different consequences when exposed to a hazard, are assessed individually.

### **5.3 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 maintenance 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.

The Navigational Incident Database and Hazard Management Database are both contained within the same platform. This allows effective cross-referencing of the two systems, linking hazards to incident reports and vice-versa.

This means when hazards are reviewed, a full history of incident records inform the review process, allowing for better assessment of likelihood and impact.

## 6.0 RISK CONTROL MEASURES

Control Measures within the Risk platform are pre-defined and are broadly generic. An approval process has been established for adding to the controls library.

This set up allows for better analysis of control measures in order to identify where they may be failing.

Control measures are owned by departments rather than individuals. This is so that where control measures are identified to be failing, department representatives can be invited to a review panel meeting to establish measures to enhance the control measure or establish additional controls to mitigate the failures.

### 6.1 Departmental Risk Control Functions

The following is a brief overview of the risk control aspects of departmental functions. This is intended and an overview only and is not limiting or exhaustive

#### 6.1.1 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.

#### 6.1.2 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.

#### 6.1.3 Vessel Traffic Services

Vessel Traffic Services (VTS) are provided throughout and beyond 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. Certain hardware assets owned by the VTS function may be listed as separate controls where deemed appropriate,

#### **6.1.4 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.

#### **6.1.5 Safety Management Systems**

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.

#### **6.1.6 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.

#### **6.1.7 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.

## 6.2 **SOSREP**

SOSREP is the Secretary of State's Representative for Maritime Salvage and Intervention, who is appointed under UK legislation to take control at salvage incidents where there is a threat of significant pollution of UK waters.

During such an incident SOSREP has powers to give statutory directions to the shipowner, master, pilot, salvor or harbour master. SOSREP is attached to the MCA, but during an incident will usually be based near the scene so that he can liaise with all the representatives of the concerned parties.

## 6.3 **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>

## 6.4 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 do 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 compliance 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:

- 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.

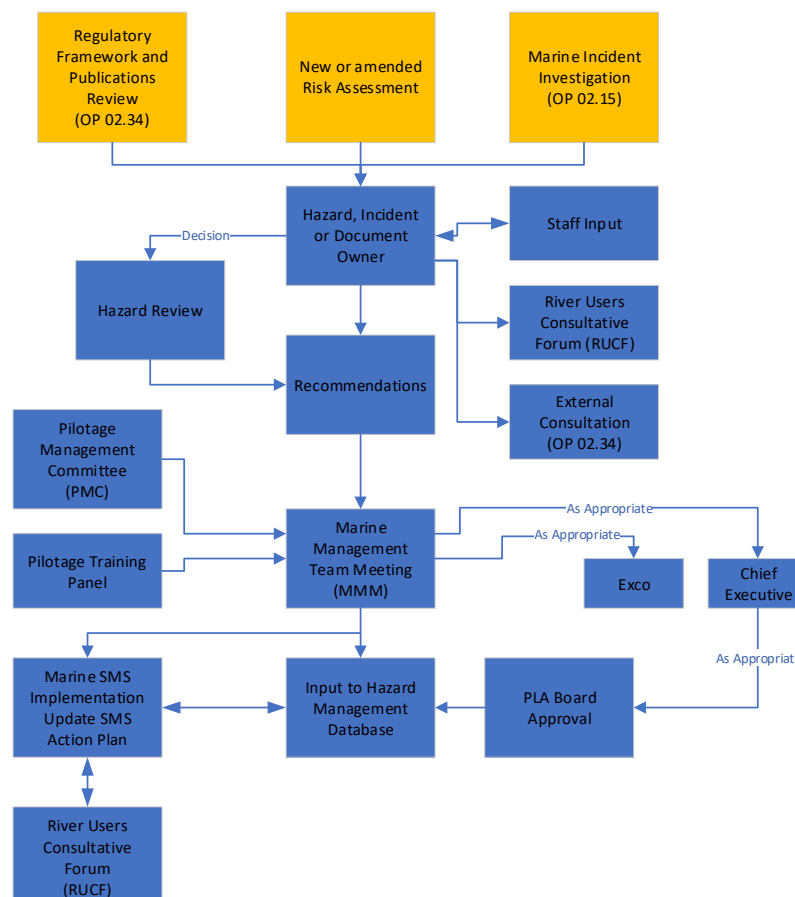
In reviewing identified hazards and risk control measures PLA management will involve PLA marine staff and practising port users as appropriate. It may also, on occasion, involve external specialist consultants.

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 and reinforced by the SMS department;
- 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 below.

Figure 4  
Marine SMS Review Process



### **7.1.1 Periodic Reviews - Proactive**

The Risk Management Platform automatically schedules a review date of precisely 1 year after a Hazard Assessment has been published. This is also actively monitored by the SMS department to ensure the annual reviews are taking place.

These reviews will be predominantly desk based unless the reviewer believes a more enhanced review is required. At this point a panel of relevant stakeholders will be convened.

Enhanced reviews will comprise of Marine Managers and a Sea and River Pilot. This schedule and methodology ensures that all currently identified hazards are reviewed annually and effectively.

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 (linked to the incident within the database) 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 an enhanced review panel.

Any amendments to Hazard Assessments as an outcome of a review process are reported to MMM through the SMS department.

### **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 formation of a Review Panel – the outcome of which is fed into the hazard review process.

### **7.1.4 Monitoring**

The SMS department are responsible for maintaining oversight of the Risk Assessment at review process and maintaining an auditable record of changes to these assessments.

The Hazard owner, when making changes, should notify the SMS department of what changes are made and when. It is the SMS departments responsibility to ensure these changes are logged and a copy of the modified assessment is downloaded from the Risk Management Database and saved.

## 7.2 Marine SMS Recommendations

Any recommendations arising from the deliberations of the Harbour Master and his staff or a Hazard Review Panel will be passed to the MMT for consideration and approval. Following such approval, 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 and the completed hazard assessment published in the Hazard Management Database.

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 Risk Assessment Standards

### 7.3.1 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.

### 7.3.2 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.

Hazards are then ranked according to their numerically scored total 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, to as low as reasonably practical (ALARP) at each review.

There is no predefined score for ALARP, as it is recognised this will vary depending on the Hazard being assessed.

The scoring Matrix implemented for Hazard review is as per below:

|                | Risk Scoring Matrix |          |         |              |        | Total Risk |       |
|----------------|---------------------|----------|---------|--------------|--------|------------|-------|
| Almost Certain | 5                   | 10       | 15      | 20           | 25     | Minor      | 1-3   |
| Likely         | 4                   | 8        | 12      | 16           | 20     | Moderate   | 4-8   |
| Possible       | 3                   | 6        | 9       | 12           | 15     | Serious    | 9-14  |
| Unlikely       | 2                   | 4        | 6       | 8            | 10     | V. Serious | 15-19 |
| Rare           | 1                   | 2        | 3       | 4            | 5      | Severe     | 20-25 |
| Likelihood ↑   | Minor               | Moderate | Serious | Very Serious | Severe | ← Severity |       |

Definitions for each of the severity terms used is as per below table:

| Impact Rating Guidance (Severity) |              |  |
|-----------------------------------|--------------|--|
| Score                             | Descriptor   | Indicative outcome (marine related)  |
| 1                                 | Minor        | <ul style="list-style-type: none"> <li>- Minor injuries</li> <li>- Insignificant impact on environment and port operation.</li> <li>- Insignificant or no damage to vessel/equipment/structure.</li> <li>- Little or no risk to company image.</li> <li>- Insignificant port costs. *Guidance: up to £5000*</li> </ul>   |
| 2                                 | Moderate     | <ul style="list-style-type: none"> <li>- Moderate injuries requiring treatment/intervention</li> <li>- Minor impact on environment and port operation with no lasting effects</li> <li>- Vessel/equipment/structure incurs minor damage but remains in service/safe to use. Some adjustments to working/operational methods may be required.</li> <li>- Local news coverage and control measures required to manage publicity.</li> <li>- Moderate cost implications for Port. *Guidance between £5000 &amp; £50,000*</li> </ul> |
| 3                                 | Serious      | <ul style="list-style-type: none"> <li>- Major injuries that a person recovers fully</li> <li>- Limited impact on environment and port operation with short term or long term effects.</li> <li>- Vessel/Equipment/structure unoperational and in need of repairs.</li> <li>- Regional news coverage with potential for reputational damage.</li> <li>- Serious cost implications for Port. *Guidance between £50,000 &amp; £250,000*</li> </ul>   |
| 4                                 | Very Serious | <ul style="list-style-type: none"> <li>- Major injuries with long term effects (Life changing incident)</li> <li>- Significant impact on environment and Port operation with short term or long term effects</li> <li>- Vessel/Equipment/Structure unoperational and in need of extensive repairs/dry docking.</li> <li>- National news coverage with significant potential for reputational damage</li> <li>- Very Serious cost implications for Port. *Guidance between £250,000 &amp; £500,000*</li> </ul>                    |
| 5                                 | Severe       | <ul style="list-style-type: none"> <li>- Fatalities.</li> <li>- Serious long-term impact on environment and/or permanent damage.</li> <li>- Serious long-term impact on port operational effectiveness.</li> <li>- Vessel/Equipment/structure unsalvageable.</li> <li>- International news coverage with severe potential for reputational damage.</li> <li>- Severe cost implications for Port. *Guidance over £500,000*</li> </ul>   |

Guidance costs are provided for the cost implications to the port. It is understood that accurate figures for considered scenarios can be difficult to predict. It is therefore advised that these are guidance only and are not to be considered definitive when balanced against the terminology for the severity bracket.

Awareness should be maintained that in the majority of cases potential hazards/incidents are unlikely to fit perfectly into a single severity bracket and it is left to the Hazard owners discretion, based on knowledge and experience, to determine the most appropriate category for any hazard being assessed.

Guidance is also provided for the definitions of Likelihood:

| Probability Rating Guidance (Likelihood/) |                |                                       |
|---|----------------|---------------------------------------|
| Score                                     | Descriptor     | Definition                            |
| 1   | Rare           | Very unusual - not common or frequent |
| 2   | Unlikely       | Not probable or likely to happen      |
| 3   | Possible       | Might or might not happen             |
| 4   | Likely         | Will probably happen or is expected   |
| 5   | Almost certain | More than likely                      |

Again, dependent on the hazard being assessed the interpretation of the descriptor may vary. Therefore, the definition provided simply expands on the descriptor without providing time scales or windows. Experience from the hazard owner will once again inform the application of this scale.

Combining the severity and likelihood provides a total risk score. This is the score that is to be reduced to ALARP. Whether this has been achieved is determined by the hazard owner and/or when appropriate, the combined experience of a review panel or working group, based on the knowledge and experience of those involved.

### 7.3.3 Dynamic Risk Assessment

Dynamic risk assessment (DRA) is used to analyse a risk when carrying out any form of activity – whether routine or unusual. This process helps an individual to assess a situation as it develops in real time, adjusting their responses according to a constantly changing scenario.

It is unlikely that DRAs will be formally recorded, evidence of the process taking place will be limited. Nevertheless, during audit and inspection exercises, evidence may present itself in the form of discussion or log entries, whether that be specific mention of a dynamic risk assessment or evidence of how thought processes have lead to decisions being made.

Over time, some of these dynamic assessments may lead to a review and revision of the planned/formal risk assessment. This should be recorded accordingly.

### 7.3.4 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, a Hazard Review Panel is established to provide expertise and advice, supplementing a robust review process for 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.

When convened the Review Panels will:

- Support the Harbour Master with providing a robust review of any hazards brought to the attention of the panel
- Assess whether existing hazards and control measures for the assessments being reviewed are 'fit for purpose' and if not, amend, delete or establish new ones.
- Ensure that hazards, or changes to the hazards and control measures identified outside of routine Hazard Reviews are fed into the review process.

### Coordination and purpose of Hazard Review Panels.

- The Marine Compliance Department will coordinate with the Harbour Masters to ensure that each hazard within their respective registers is reviewed annually.
- Reviews will be typically desk based by the hazard owner. However, Hazard Review Panels can be convened at any time when a more robust review is deemed appropriate.
- When circumstances dictate, such as a large number of related incidents or a high severity rating incident a hazard may be reviewed outside of its annual review cycle and a panel convened if necessary.
- At the end of the year, a Hazard Review Panel meeting (both an upper and a lower) will convene for a Compliance overview of the previous year:
  - Assess those hazards that have had serious (or above) incidents during the year
  - A trend analysis carried out by the Marine Compliance team and presented for discussion.
  - A detailed scrutiny of the top 5 hazards
  - Any other hazards require review, as advised by the Harbour Master Team, ensuring consistency across the hazard database.

When convening a Hazard Review Panel, the Harbour Master must identify areas of concern, particularly in relation to causes, consequences and controls, and ensure that appropriate representatives with relevant experience and expertise are invited to attend.

The meeting findings should be recorded in an appropriate format and submitted to the Marine Compliance Team who will keep a record of the Panel meet. These finding will form part of the Marine Compliance's annual / end-of-year report.

## 8.0 DOCUMENT CONTROL

### 8.1 Document Control Processes

All Safety Management System documentation is controlled centrally within the Controlled Document Library (CDL) within Sharepoint. The system is owned by the HM (SMS & VTS) and document owners (i.e. department heads) are prompted to review documentation in accordance with an assigned review period, normally 1-3 years.

The CDL consists of two Sharepoint sites. These are the public and administration libraries. User guides are available for both. The public library holds and provides access to read only versions of all documentation. Forms are available for download and remain fillable. Links are provided via the Chief Harbourmaster's home page on the PLA intranet, providing easy access to all Port Marine Safety Code documentation, as well as links to pages filtered for each department.

The administration site provides access to all documentation, but also provides the toolset for reviewing it. This includes version control, approval workflows and templates for the creation of new documentation.

The public site can be accessed via the following link:

<https://thepla.sharepoint.com/sites/ControlledDocumentLibrary>

The Administration Site can be accessed at the following link:

<https://thepla.sharepoint.com/sites/CDLAdministration>

The Marine Compliance department will confirm the requirements of the PLA's Quality Management System and the document control procedure such as correct formatting, headers and footers prior to publication. The SMS department is also responsible for monitoring the review schedule and prompting document owners where required. Documents subjected to minor change and amendments are reissued after a practical number of changes have occurred.

### 8.2 Review process and approval workflows

The CDL Administration site is utilised for the review and approval of all controlled documentation. This is achieved through built in processes and templates designed to simplify and automate processes.

A document within the CDL Administration site can be reviewed at any time. All changes are saved automatically as part of the review process and the system automatically saves a full version history.

The creation of a new document works in much the same way. New documents can be created from easily accessible templates.

When ready for publishing triggers are available that will send the document to the department head for approval. The department head can either accept the changes, which will send the document to the Marine Compliance team for publication review, or reject it, which will send the document back to the person who reviewed it. Each of these steps allow the user to insert comments to inform of changes and provide feedback.

### 8.3 Manuals, Forms and Operational Procedures

The cornerstones of the PLA's Marine SMS are the knowledge, skills and competence of its employees, underpinned by appropriate training of individuals

within the system. Operating controls in the form of departmental manuals, operating procedures and/or forms reinforce this and are accessed via the public Controlled Document Library linked in section 8.1 above. The different document types can be easily filtered out and the system has a powerful search function built in to help with locating documents quickly.

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 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.

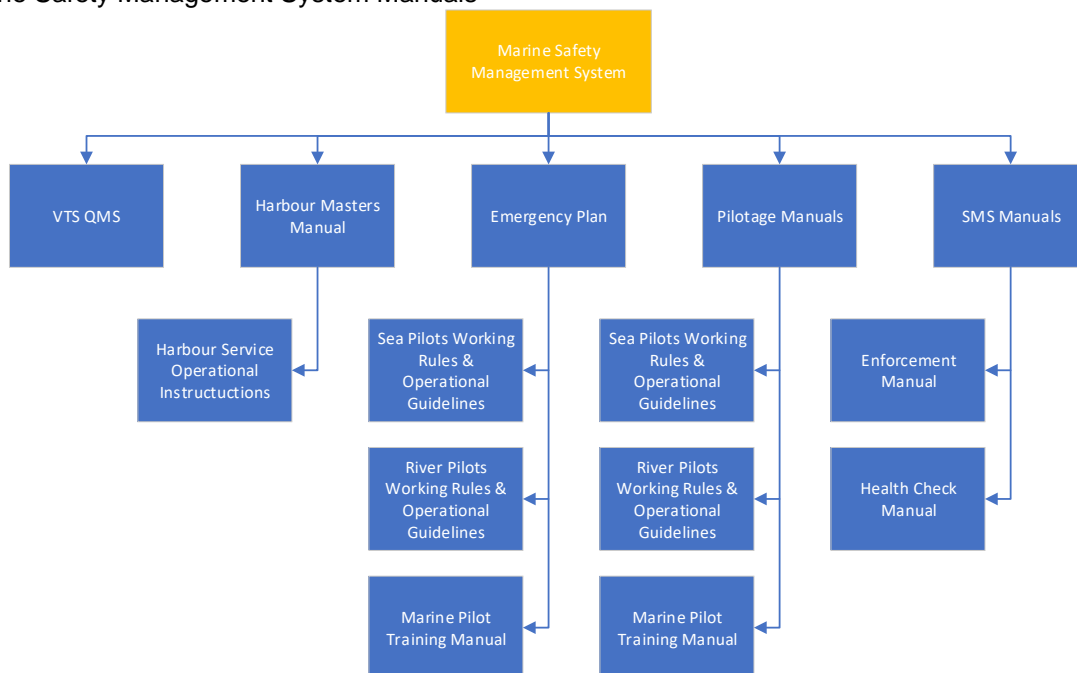
Forms are designed to support functions and/or processes allowing for the recording and/or submission of appropriate information for a given occurrence or task.

Operating Procedures 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





#### 8.4 **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
- Berthing Operators Working Group
- Consultation Notices
- Byelaws and Directions consultation processes

##### 8.4.1 **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.

## 9.0 TRAINING

### 9.1 Competence Assurance

The competence assurance process is linked directly to considered personnel selection and recruitment procedures, relevant job descriptions and appropriate pre-determined 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.

#### 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.

### 9.2 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](#).

### 9.3 **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. 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.

### 9.4 **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*).

### 9.5 **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.

### 9.6 **Training and Competence Records**

All training and instruction provided to employees will be duly recorded and stored securely.

## 9.7 Exercising

The below table shows the generic exercise matrix for Marine departments:

| Exercise   | Frequency | PLA Involvement |     |                 |       |                 |                   |              |
|--|-----------|-----------------|-----|-----------------|-------|-----------------|-------------------|--------------|
|  |           | Harbour Master  | VTS | Marine Services | TOSCA | Harbour Service | Corporate Affairs | Pilot Cutter |
| Major oil spill exercise – Full Deployment               | 3 Yearly  | x               | x   | x               | x     | x               | x                 |              |
| Oil Spill Notification Exercise                          | 6 Monthly |                 | x   |                 |       |                 |                   |              |
| Oil Spill Call out Exercise                              | 6 Monthly | x               |     | x               | x     | x               |                   |              |
| Major Incident Exercise<br>ClassV Collision in C. London | Annual    | x               | x   | x               |       | x               | x                 |              |
| MOB Exercise - Pilot cutter                              | Monthly   |                 |     |                 |       |                 |                   | x            |
| MOB Exercise - Harbour Service Launch                    | 6 Weekly  |                 |     |                 |       | x               |                   |              |
| VTS Switch Over Exercise<br>PCC to TBNC                  | Annual    |                 | x   |                 |       |                 |                   |              |
| VTS Switch Over Exercise<br>TBNC to PCC                  | Annual    |                 | x   |                 |       |                 |                   |              |
| TBNC Fall Back Centre Test                               | Annual    |                 | x   |                 |       |                 |                   |              |
| MEC Test - Woolwich                                      | 6 Monthly | x               | x   |                 |       |                 |                   |              |
| MEC Test - Gravesend                                     | 6 Monthly | x               | x   |                 |       |                 |                   |              |

## 10.0 INCIDENT INVESTIGATION

Our key objective under the Navigational Safety Policy is to investigate all navigational incidents and near misses to determine the cause. This is with the aim of reducing the incidence and severity of occurrences, whilst informing the risk assessment process and deciding whether 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. More details on this, along with the full incident reporting procedure can be found in the PLA Operational Procedures.

### 10.1 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.

## **10.2 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/Moderate incident investigations to be completed within 4 weeks
- Serious, very serious and severe 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, very serious and severe incidents, these are provided to the persons involved, as well as disseminated as per section 9.5 'Promulgation of lessons Identified' below.

## **10.3 Agreed Actions**

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)

#### 10.4 **Enforcement Action**

Any enforcement action is taken forward in accordance with the Navigational Safety Policy 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 led or may have led 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 led 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.

#### 10.4.1 **Incidents involving death or crime.**

The Police will take primacy in any investigation involving death or crime. When someone dies in a work-related incident or as a result of a navigational incident, a number of different organisations will require to work with the Police to ensure that the incident is investigated and that the reasons for the death are understood. The PLA will conduct its own investigation into any potential causes, although this may be hindered dependent on the sensitivity of the Police Investigation. The PLA will work with the police to support their investigation where appropriate. Any

documentation received from the police as a result of their investigation to be included on the PLA's report.

#### 10.5 **Promulgation of Lessons Identified**

Summaries of Incident investigations for serious, very serious and severe incidents are placed on the PLA website and internal Intranet where they remain for a period of three years. Periodic SMS reports are also produced by the Marine Compliance department 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/moderate 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.

#### 10.6 **Incident Investigation Targets / KPIs**

##### 10.6.1 **Minor/Moderate Incidents**

The target for completion of minor or moderate 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.

##### 10.6.2 **Serious, Very Serious and Severe Incidents**

The target to complete a Harbour Master's Incident Investigation Report for serious, very serious or severe 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, very serious or severe incidents should be closed out within 10 weeks from the date of the PLA being informed of the incident.

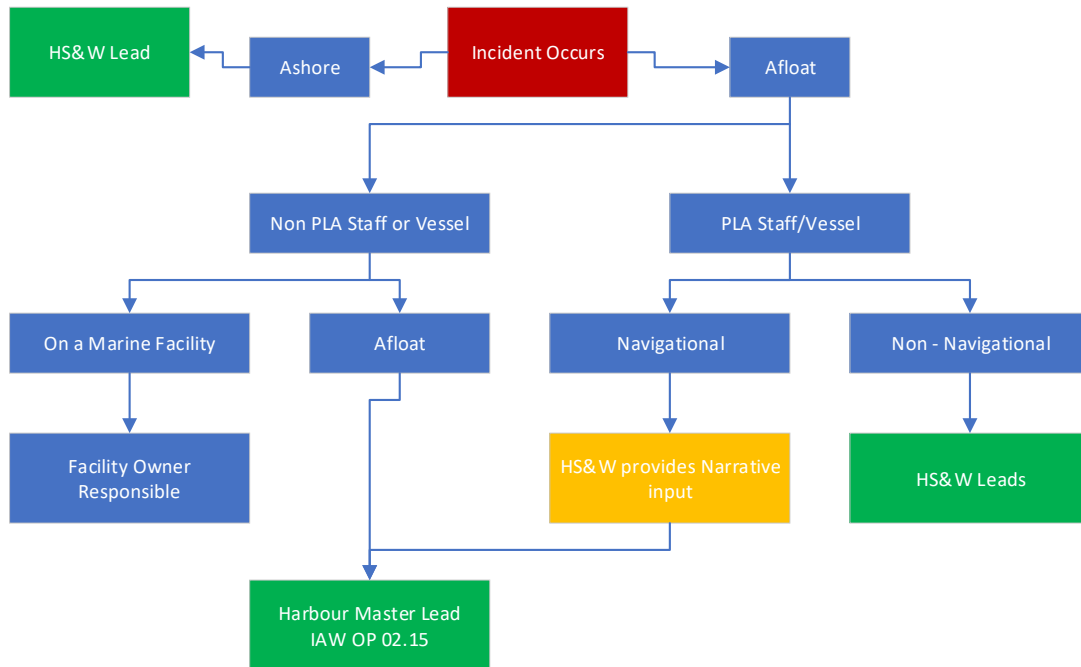
An analysis and report of these KPIs is contained within the Quarterly and Annual SMS reports.

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

#### 10.7 **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.





**Notes:**

1. Ashore and Non-Navigational investigations involving PLA staff will usually be lead by the departmental line manager, reporting to Health Safety & Wellbeing (HS&W). HS&W may choose to lead on high profile incidents or serious, very serious or severe incidents.
2. If an incident lead by HS&W (or line manager) leads required the MAIB to be informed, a Harbour Master is to be advised at the earliest opportunity.
3. HS&W are to be informed at the earliest opportunity of navigational incidents that result in a personal injury to PLA staff. HS&W will investigate the injury only and provide narrative input to the Harbour Masters investigation report
4. For non-PLA staff / vessel incidents the Harbour Master is responsible for the investigation; including on board accidents involving confined spaces, personal injury, etc.
5. There may be instances where it is not immediately apparent whether HS&W or a Harbour Master should lead on an investigation. In these instances, a mutual agreement should be sought where one department should lead (and own the investigation report & resulting statistics) and the other should provide narrative input as appropriate.

## 11.0 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.

### 11.1 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.

### 11.2 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.

### 11.3 Records and Record Management

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

The SMS department submits a six monthly and annual report 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 SMS department for information and/or use if required.

## 12.0 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'.

### 12.1 Audit

#### 12.1.1 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 continuous improvement in marine safety performance.

#### 12.1.2 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.

#### 12.1.3 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).

#### 12.1.4 Internal Audits

A system of internal Audits and 'Health checking' 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 identified 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.

Further details are contained within the 'Internal Auditing Manual – Safety Management Systems' document.

#### 12.2 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;
- **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;

### **12.2.1 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 Incident Reports and other international reports

The Marine Compliance Manager 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 Marine Compliance Manager

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**ANNEX A**  
**PLA POLICIES**



# PLA POLICIES

Other PLA polices influencing the management of marine safety:

| POLICY                                       | OWNERSHIP              | INFLUENCE ON MARINE SAFETY  |
|--|------------------------|---|
| <a href="#">Navigational Safety Policy</a>   | HM (SMS & VTS)         | Defines the organisation and arrangements the PLA has established to monitor, promote and proactively manage the conduct of navigation and associated marine activities   |
| <a href="#">Quality Policy</a>               | Management Systems     | Supplements the internal healthcheck system (see section 11.1.4)<br>Review of strategy and business plans   |
| <a href="#">Environmental Policy</a>         | Environment            | Commitment to the sustainable development of the river and estuary in accordance with the Marine Policies.  |
| <a href="#">Health &amp; Safety Policy</a>   | Health and Safety      | Continuously improve health and safety performance by adopting industry best practice including guidance from Port Skills and Safety and The Port Marine Safety Code.   |
| <a href="#">Drug &amp; Alcohol Policy</a>    | Human Resources        | The enforcement of The Merchant Shipping (Alcohol) (Prescribed Limits Amendment) Regulations 2015 and Railways and Transport Safety Act on Marine Staff.  |
| <a href="#">Port Security Policy</a>         | Port Security Officer  | Summarises the PLA's responsibilities in respect of security matters in the wider port environment and the PLA's internal security culture and arrangements.  |
| <a href="#">PLA's Whistle Blowing Policy</a> | Human Resources        | 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.       |
| <a href="#">Retention Policy</a>             | Legal                  | 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.                             |
| <a href="#">Delegation of Authority</a>      | Secretary to the Board | 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 <a href="#">Annex D</a> ) |

**ANNEX B**

**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

## 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 members (as Duty Holder) 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 and Marine Compliance
- Harbour Masters
- Hydrographic Services
- Marine Services

The PLA's Marine Management Team (MMT) is made up from the managers of the above departments and representatives of all authorised pilots, for the avoidance of doubt pilot representation for this meeting is not a trade union engagement. MMT has a broad remit in respect of the management of navigational safety, the effectiveness of the SMS and marine operations and holds a Marine Management Team Meeting (MMM) at least 6 times per year.

### Terms of Reference

The purpose of the MMT is to:

1. Ensure navigational safety is maintained, manage marine operations and implement conservancy measures in accordance with PLA policies as approved by the Board.
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 and approve strategy, policies, plans and procedures 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.
6. Monitor navigational safety performance measures and set targets for continual improvement.
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 national best practice as prescribed in the (PMSC) Guide to Good Practice and to ensure compliance within the PLA where appropriate.
10. Keep under review the PLA's preparedness for emergency response.

Practical examples of its day-to-day work include the regular review of navigational incidents and trends, enforcement, overall safety performance and striving for continual improvement..

## **Membership**

The Marine Management Team Meeting (MMM) comprises:

- Chief Harbour Master (*Chair*)
- Senior Harbour Master
- Harbour Master
- Harbour Master-Thames Tideway Tunnel
- Harbour Master -SMS & VTS
- Marine Compliance Manager
- Port Hydrographer
- Marine Pilotage Manager
- Marine Services Manager (*as required*)
- Pilot Representatives to represent all pilots. Pilot representatives to be no more than 4 in number and drawn from a cross section of authorisation classes.

## **Administration**

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

Meetings will be recorded for the purposes of producing accurate Minutes.

Items of New Business must be submitted in time to be included on the Agenda. AOB is for items that have come to light between the paper submission deadline and the meeting only.

## **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.

Minutes of the meetings and relevant documents will be made available to all staff on the intranet, if required some information maybe redacted eg. individual's names etc.

**Period of Review**

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

**Approved by MMM:** 25th May 2021

# 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 meets 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.

#### Pilotage 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 unmooring vessels.

Previously the PLA had established two groups a Pilotage/Ship Towage/VTSS 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 their 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 publicly 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  
Pilots (sea and river)  
HM (SMS & VTS) Manager / Deputy  
Tilbury Harbour Master

Practising Watermen and Linesmen  
PLA Harbour Masters  
PLA Health & Safety  
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 user's 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:

|  |  |
|--|--|
| Harbour Master (Upper) – <i>Chairman</i>   | Assistant Harbour Master Recreation - <i>Secretary</i>   |
| Marine Compliance Manager  | Thames Regional Rowing Council (TRRC) Regional Water Safety Advisor                                      |
| TRRC/PLA Liaison Officer   | British Canoeing   |
| Poplar, Blackwall and District Rowing Club (PBDRC) and rep for Globe & Curlew Rowing Clubs         | Royal Yachting Association (RYA) Thames Valley and London  |
| Association of Thames Motor Yacht Clubs (ATYC)   | Chairman of the Inland Waterways Association (IWA) London Region and member of St. Pancras Cruising Club |
| Royal Borough of Kensington and Chelsea (RBKC) river provision and kayaking in the middle district | Richmond Canoe Club and kayaking in the upper district   |
| Dragon Boat Representation   | Shadwell Basin Activity Centre   |
| Stand Up Paddle-boarding (SUP) Representative  | The Barge Association  |

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 providing a robust record of proceedings and the factors affecting decisions made. Previous agendas and minutes will be publicly 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 31<sup>st</sup> 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:

|  |   |
|--|---|
| Harbour Master (Lower) – <i>Chairman</i> | Team Support Officer – <i>Secretary</i> |
| Harbour Master (Upper)                   | Harbour Master (Thames Tideway Tunnel)  |
| Harbour Master (Lower)                   | Deputy Harbour Master (Upper) 1         |
| Assistant Harbour Master (Recreational)  | Deputy Harbour Master (Upper) 2         |
| Marine Services Manager                  | Harbour Master (SMS & VTS)              |
| Environment Manager                      | Deputy VTS Manager                      |

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

**ANNEX C**

**MARINE DELEGATION OF AUTHORITY**

# 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

| POST                 | DELEGATED RESPONSIBILITY/<br>FUNCTION | OVERVIEW OF POWERS AND/OR DUTIES   | RELEVANT LEGISLATION/CODES  | MARINE AUTHORISATION / LEVEL |
|----------------------|---------------------------------------|--|---|------------------------------|
| Chief Harbour Master | Harbourmaster                         | Appointed Harbourmaster by the Port Authority.<br>Authority Initiation of prosecution<br>Prosecution under the Pilotage Act<br>Decision to initiate maintenance dredging | PL Act - s 5<br>Pilotage Act 1987<br>Pilotage Act 1987<br>PL Act - s 60 | YES<br>1, 2 and 3            |

| POST   | DELEGATED RESPONSIBILITY/ FUNCTION | OVERVIEW OF POWERS AND/OR DUTIES  | RELEVANT LEGISLATION/CODES   | MARINE AUTHORISATION / LEVEL |
|--|------------------------------------|---|--|------------------------------|
| Harbour Master (Lower) & Designated Deputies | District Harbourmaster             | <p>Appointed District Harbour Master</p> <p>Power to give special directions<br/>Restricting public use of the Thames</p> <p>Removal of wrecks</p> <p>Raise and remove sunken vessels</p> <p>Removal of obstructions</p> <p>Removal of projections</p> <p>Repair of landing places/embankments</p> <p>Identity of vessel Master</p> <p>Power as a Local Lighthouse Authority</p> <p>Surrender of local lighthouses</p> <p>Lights detrimental to navigation</p> <p>Refuse/revoke craft registration</p> <p>Removal of vehicles</p> | <p>PL Act - s 5</p> <p>PL Act - s 112</p> <p>PL Act - s 91</p> <p>Merchant Shipping Act 1995 - s 252</p> <p>PL Act - s 120</p> <p>PL Act - s 121</p> <p>PL Act - s 122</p> <p>PL Act - s 123</p> <p>PL Act - s 138</p> <p>Merchant Shipping Act 1995 - s 201</p> <p>Merchant Shipping Act 1995 - s 204</p> <p>PL Act - s 133</p> <p>PL Act - s 128</p> <p>PL Act - s 177</p> | <p>YES</p> <p>1, 2 and 3</p> |

| POST   | DELEGATED RESPONSIBILITY/<br>FUNCTION   | OVERVIEW OF POWERS AND/OR DUTIES   | RELEVANT LEGISLATION/CODES   | MARINE AUTHORISATION / LEVEL |
|--|---|--|--|------------------------------|
|  | <p>Explosives Security Officer</p> <p>Port Security Officer (appointed by Thames Port Security Authority)</p> | <p>Restrictions on transfer of oil at night</p> <p>Power to prosecute for oil pollution offences</p> <p>Power to detain for oil pollution offences</p> <p>Control of Dangerous Vessels</p> <p>Control of the movement of dangerous substances</p> <p>Control of the movement of explosives</p> <p>Implementing Port Security Plan.</p> | <p>Merchant Shipping Act 1995 - s 135</p> <p>Merchant Shipping Act 1995 - s 143</p> <p>Merchant Shipping Act 1995 - s 144</p> <p>Dangerous Vessels Act 1985</p> <p>Dangerous Goods in Harbour Areas 2016.</p> <p>PL Act - s 149</p> <p>Dangerous Goods in Harbour Areas 2016.</p> <p>Aviation &amp; Maritime Security Act 1990.</p> <p>ISPS Code 2004</p> <p>The Ship and Port Facility (Security) Regulations 2004. SI 2004/1495</p> <p>The Port Security Regulations 2009. SI 2009/2048.</p> |                              |
| Harbour Master (Upper) & Designated Deputies | District Harbourmaster  | <p>As for HML – see above</p> <p>Work sluices at Richmond Lock</p>   | <p>*Except control of the movement of dangerous goods, explosives and port security</p> <p>PL Act - s 88</p>   | <p>YES</p> <p>1, 2 and 3</p> |

| POST  | DELEGATED RESPONSIBILITY/ FUNCTION       | OVERVIEW OF POWERS AND/OR DUTIES                                  | RELEVANT LEGISLATION/CODES                          | MARINE AUTHORISATION / LEVEL |
|---|--|---|---|------------------------------|
| HM (TTT)  | Harbour Master – (Thames Tideway Tunnel) | Provision of major infrastructure project - Thames Tideway Tunnel |   | YES<br>1, 2 and 3            |
| HM (VTS & SMS)  | Harbour Master (VTS & SMS)               | Provision of vessel traffic service systems                       |   | YES<br>1, 2 and 3            |
| Marine Pilotage Manager                                     | Marine Pilotage Manager                  | Provision of Pilotage services                                    | Provision of pilotage services<br>Pilotage Act 1987 | YES<br>1, 2 and 3            |
| Port Hydrographer, Designated Deputies & Surveyors          | Port Hydrographer                        | Provision of hydrographic surveys                                 | PL Act - s 7  | YES<br>1, 2 and 3            |
| Designated Person   | Designated Person                        | Act as 'Designated Person'  | Port Marine Safety Code                             | NO                           |
| Marine Surveyor & Designated Deputies                       | Marine Surveyor                          | Inspection and licensing of vessels                               | PL Act - s 124 & 126                                | YES                          |
|   |  | Replacement of inaccurate and lost certificates                   | PL Act - s 130                                      | 1, 2 and 3                   |
| An 'Officer' of the Authority (i.e. Marine River Inspector) | 'Officer' of the Authority               | Power to board a vessel   | PL Act - s 137                                      | YES<br>1, 2 and 3            |
| Licensing Officer   | Licensing Officer                        | Issue of licences for river works including maintenance dredging. | PL Act - s 66<br>PL Act - s 73<br>PL Act – s90      | YES<br>2 and 3               |
| Estates & Facilities  | Estates & Facilities                     | Maintenance of PLA premises                                       | PL Act – s90  | YES<br>2 and 3               |

| POST  | DELEGATED RESPONSIBILITY/ FUNCTION | OVERVIEW OF POWERS AND/OR DUTIES   | RELEVANT LEGISLATION/CODES                         | MARINE AUTHORISATION / LEVEL |
|---|------------------------------------|--|--|------------------------------|
| Marine Services Manager & Designated Deputies | Marine Services Manager            | Raise and remove sunken vessels (not to declare obstruction).            | PL Act - s 120                                     | YES                          |
|   |                                    | Removal of obstructions<br>Removal of projections<br>Removal of vehicles | PL Act - s 121<br>PL Act - s 122<br>PL Act - s 177 | 1, 2 and 3                   |
| Civil Engineer                                | Chief Engineer                     | Repair of landing places/embankments                                     | PL Act - s 123                                     | YES<br>2 and 3               |

| POST                                       | DELEGATED RESPONSIBILITY/FUNCTION  | OVERVIEW OF POWERS AND/OR DUTIES  | RELEVANT LEGISLATION/CODES  | MARINE AUTHORISATION |
|--|--|---|---|----------------------|
| Environment Manager & Designated Deputies  | Environment Manager  | Monitoring compliance with and developments in national and European legislation relevant to dredging and river regimes.  | Marine Works (Environmental Impact Assessment) Regulations 2009 (SI2009/2258) (as amended)<br>Marine and Coastal Access Act 2009<br>PL Act – s 5  | YES<br>2 and 3       |
| Licensing Committee                        | Licensing of River Works<br><br>Licensing of Dredging<br><br>Pilotage<br><br><br><br>Land Use Planning | Granting river works licences<br><br>Granting of licence to undertake maintenance dredging.<br>Authorising pilots and Pilotage Exemption Certificate Holders.<br><br>Suspension and revocation of Pilotage Exemption Certificates.<br>Re-issue of Pilotage Exemption Certificates.<br><br>Re-authorisation of pilots.<br><br>Granting PLA or lessee's exemption from planning controls under certain circumstances. | PL Act - s 66<br><br>PL Act - s 73<br><br>Pilotage Act 1987<br><br>Pilotage Act 1987<br><br>Pilotage Act 1987<br><br>Port Marine Safety Code<br><br>Town & Country Planning (General Permitted Development) Order 1995. | NO                   |
| Board/Licensing Committee                  | Capital Dredging   | Decision to undertake capital dredging  | Full scope of legislation to be identified.   | NO                   |
| Marine Policing Unit Officers (Met Police) | Delegation of Authority  | Power to issue a Special Direction<br><br>Power to Board a vessel   | PLA Act – s 112<br><br>PLA Act – s 137  | YES<br>1, 2 and 3    |

### **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)