



**PORT MARINE SAFETY CODE and
Guide to Good Practice on Port Marine
Operations
'Aide-mémoire'
For attending MCA Officers
& Harbour Authorities**

This 'aide memoire' is to assist those conducting Port Marine Safety Code reviews. It is not to be construed as a statement of compliance to all or part of the Code. For more detailed information of the review refer to the written report.

Key text:	Bold – Fundamental	normal - Necessary	<i>Italic – Ancillary</i>
SMS ref:	Harbour Authority to input SMS reference or comment		
Tick ✓:	For attending officer's use only		

PORT OF	Date
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ATTENDING TEAM	1.
	2.
	3.

PORT PERSONNEL INVOLVED	1.
	2.
	3.

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1a. Port details

Port business address	
Telephone	
Fax	
Email	

Address of Duty Holder if different from above	
Telephone	
Fax	
Email	

1b. Type of ownership

Address of Duty Holder if different from above	
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	Tick ✓
Trust	
Municipal	
Owned by a Company	

1c. Port activities

	Tick ✓
Commercial	
Container/dry cargo	
Bulk dry cargo	
Bulk liquids	
Bulk Hazardous	
Passenger - Cruise	
Passenger - Ferry	
Fishing	
Leisure	

1d. Other activities

1e. Port statistics

COMMERCIAL	Annual throughput of Cargo		Tonnes
	Vessel movements		
FISHING	Annual throughput of fish		Tonnes
	Vessel movements		
LEISURE	Total number of berths (including marinas)		

1f. Organogram

Please provide a copy of Board members and its structure along with key staff employed

1g. Summary of reporting dates

Last statement of compliance to MCA:	
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Last internal audit:	
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Last report to governing body:	
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Last published commitment to the code:	
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2. Designated Person

PMSC	2.1	2.8	3.1	3.9
GTGP	2.1(e)	2.2.25 – 2.2.30		

		Tick ✓
2.1	Who has been appointed DP and when was the appointment :	
<i>SMS ref.</i>		
2.2	Is the DP role outside of any management function within the harbour authority?	
<i>SMS ref.</i>		
2.3	Does the DP provide 'independent' assurance about the operation of the Port's Marine Safety Management System? How is this undertaken?	
<i>SMS ref.</i>		
2.4	Does the DP have direct access to the highest level of authority (Duty Holder)?	
<i>SMS ref.</i>		

2.5	When did the DP last audit compliance with the Code: Provide the last 2 reports	
<i>SMS ref.</i>		
2.6	Was the audit report formally presented to the Governing body at the first opportunity? Provide the minutes and dates that the report was presented to the board	
<i>SMS ref.</i>		
2.7	<i>What Port management group meetings does the DP attend</i>	
<i>SMS ref.</i>		
2.8	<i>How closely do the competencies of the DP match the competencies recommended by the GTGP</i>	
<i>SMS ref.</i>		

Attending Officer's Comments

2.1	
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3. Duty holders

PMSC	2.1	2.3 – 2.7	2.14 – 2.15	3.1	3.17	3.19	3.22 – 3.23
GTGP	Sect. 2						

		Tick ✓
3.1	Are the Duty Holders clearly identified and published?	
<i>SMS ref.</i>		
3.2	Is it stated that they are collectively and individually responsible.....	
<i>SMS ref.</i>		
3.3and that they cannot assign or delegate their accountability for compliance with the Code on the grounds they do not have particular skills	
<i>SMS ref.</i>		
3.4	Are there clear lines of communication from the ports professional staff to the governing body and vice versa?	
<i>SMS ref.</i>		
3.5	Are the roles and functions of staff clear and formal?	
<i>SMS ref.</i>		
3.6	Has the governing body published their commitment to the Code?	
<i>SMS ref.</i>		
3.7Publically reported their performance against the PMSC on an annual basis?	
<i>SMS ref.</i>		
3.8Published plans and any assessments against their performance in meeting the obligations against the Code at least once every 3 years? If so, when:	
<i>SMS ref.</i>		
3.9	Is PMSC a standing agenda item on Board meetings?	
<i>SMS ref.</i>		
3.10	<i>Is there a standing safety committee meeting? Provide the minutes of the last 2 safety committee meetings.</i>	
<i>SMS ref.</i>		

Attending Officer's Comments

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4. Duties and powers

PMSC	3.3 – 3.4	4.9	4.11	5.3 – 5.5
GTGP	Sect 1&7			

Maritime and Coastguard Agency		Tick ✓
4.1	Is the legislation, including all local legislation, available and up to date?	
SMS ref.		
4.2	When was the legislation last reviewed:	
SMS ref.		
4.3	Does the Harbour Authority have the ability to make General Directions?	
SMS ref.		
4.4	If so, have General Directions been formally given to regulate marine operations?	
SMS ref.		

4.5	Has the Harbour Authority made Byelaws?	
SMS ref.		
4.6	If so, when were they last updated:	
4.7	<i>Has a statement been included in the Harbour Authority's plan about their legal duties & powers?</i>	
SMS ref.		
4.8	Is the jurisdiction of the Harbour Authority clearly defined and known?	
SMS ref.		

Attending Officer's Comments

4.1	
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4.6	
4.7	Maritime and Coastguard Agency
4.8	

5. Consultation & information dissemination

PMSC	3.12 – 3.13	3.19
GTGP	Sect. 3	

		Tick ✓
5.1	How does the Harbour Authority formally consult with its employees?	
SMS ref.		
5.2	How does the Harbour Authority consult with contractors or related service providers? How are the contractors obliged to conform to the safety requirements of the Port's SMS?	
SMS ref.		
5.3	How does the Harbour Authority consult with its stakeholders?	
SMS ref.		
5.4	How is information publicly disseminated by the Harbour Authority?	
SMS ref.		
5.5	Is the current list of local Notices or Information Notes up to date and how are they published?	
SMS ref.		

Additional attending Officer's Comments

5.1	
5.2	
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5.4	
5.5	

Additional attending Officer's Comments



6. Risk assessment

PMSC	3.5 – 3.6	3.15
GTGP	4.2	

		Tick ✓
6.1	Have all routine and non-routine risks associated with marine operations been formally assessed?	
<i>SMS ref.</i>		
6.2	Have the environmental consequences to the Safety Management System and consequent risk control measures been assessed and implemented?	
<i>SMS ref.</i>		
6.3	Have past events and accidents/MAIB reports been analysed in preparing the risk assessments?	
<i>SMS ref.</i>		
6.4	Have the risk assessments been completed by competent people?	
<i>SMS ref.</i>		
6.5	Do the risk assessments clearly identify those risks that are not ALARP (as low as reasonably practicable)?	
<i>SMS ref.</i>		
6.6	Are the risk assessments continuously re-assessed with new hazards and changed risks, properly identified?	
<i>SMS ref.</i>		
6.7	Have the 4 standard criteria for identified outcomes been assessed i.e. life, environment, business (reputation) and damage (port and shipping)?	
<i>SMS ref.</i>		
6.8	When were the risk assessments last reviewed?:	
6.9	<i>How does the Port help employees understand the standing risks they will encounter from the risk assessments? How does the port help them dynamically assess each situation on the day?</i>	
<i>SMS ref.</i>		

Attending Officer's Comments

6.1	
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7. Safety Management System

PMSC	Intro.	3.1	3.8 – 3.11	3.14 – 3.15	3.17	3.19	4.3	4.6
GTGP	4.3							

7.1	Has the port developed a Safety Management System that:	Tick ✓
<i>SMS ref.</i>		
7.1.1	Defines the Safety policy(s)?	
<i>SMS ref.</i>		
7.1.2	States the procedures to implement those policy(s)?	
<i>SMS ref.</i>		
7.1.3	Produces instructions and checklist to comply with the procedures?	
<i>SMS ref.</i>		
7.1.4	Generates accident and incident reports?	
<i>SMS ref.</i>		

7.1.5	Defines the organisation and personnel roles?	
<i>SMS ref.</i>		
7.1.6	Sets standards and levels of qualifications for various employees and contractors?	
<i>SMS ref.</i>		
7.1.7	<i>Develops performance measuring methods?</i>	
<i>SMS ref.</i>		
7.1.8	<i>Generates plans and assessments against the ports performance (3 yearly)?</i>	
<i>SMS ref.</i>		
7.2	Does the Safety Management System:	Tick ✓
7.2.1	Deal with preparedness for emergencies?	
<i>SMS ref.</i>		
7.2.2	Establish a formal procedure for notification of various publications (MAIB reports etc.)?	
<i>SMS ref.</i>		
7.2.3	Require the provision of aids to navigation to be based on formal risk assessment?	
<i>SMS ref.</i>		
7.2.4	Provide for works in the harbour, especially dredging operations, liable to interfere with navigation?	
<i>SMS ref.</i>		
7.2.5	Identify safe pilot boarding and disembarkation areas and incorporate the latest statutory requirements and Codes of Practice?	
<i>SMS ref.</i>		
7.2.6	Cover the use of harbour craft and the provision of moorings?	
<i>SMS ref.</i>		
7.2.7	Provide for tug crews to train with pilots and other marine personnel?	
<i>SMS ref.</i>		
7.2.8	<i>Govern the use of the power to regulate the mooring of vessels in the harbour?</i>	
<i>SMS ref.</i>		

7.2.9	<i>Provide procedures for reporting deficiencies on visiting ships to an appropriate manager including arrangement for deficiencies to be reported to the MCA?</i>	
SMS ref.		
7.3.0	<i>Who wrote the SMS and when was it last updated/amended?</i>	
SMS ref.		
7.3.1	Are the employees required to read and sign the SMS?	
SMS ref.		
7.3.2	How does port management test that the SMS is working?	
SMS ref.		

Attending Officer's Comments

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7.2.9	
7.3.0	
7.3.1	
7.3.2	

8. Powers and enforcement

PMSC	3.3 – 3.4	3.18	4.9	4.11 – 4.13	5.3 – 5.6
GTGP	1.20	Sect. 12			

		Tick ✓
8.1	<i>Has the Harbour Authority kept under review their powers and the extent of their jurisdiction?</i>	
SMS ref.		
8.2	Are available powers to direct vessels used to ensure the safety of navigation?	
SMS ref.		
8.3	Is there a policy on enforcement and prosecution?	
SMS ref.		
8.4	<i>When was the policy last practised:</i>	
SMS ref.		
8.5	<i>Has the Harbour Authority ever prosecuted an offender</i>	
SMS ref.		

8.6	Are the Harbour Masters powers determined in: <i>*byelaws</i> or <i>*Directions</i> <i>*Delete as appropriate</i>	
<i>SMS ref.</i>		

Attending Officer's Comments

8.1	
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9. Pilotage and passage plans

PMSC	5.17 – 5.18 (a & b)	5.20 – 5.23
GTGP	Sect. 7 & 8	

	Maritime and Coastguard Agency	Tick ✓
9.1	Does the Harbour Authority provide a pilotage service?	
<i>SMS ref.</i>		
9.2	Has the Harbour Authority risk assessed whether and what pilotage service they must provide?	
<i>SMS ref.</i>		
9.3	Has the Harbour Authority risk assessed to determine whether pilotage should be compulsory?	
<i>SMS ref.</i>		
9.4	If pilotage is compulsory have pilotage directions been issued?	
<i>SMS ref.</i>		

9.5	Does the Safety Management System address:	Tick ✓
9.5.1	The duty to keep the need for pilotage under review?	
SMS ref.		
9.5.2	The authorisation of pilots?	
SMS ref.		
9.5.3	<i>The arrangement under which its Authorised pilots are engaged?</i>	
SMS ref.		
9.5.4	The approval of pilot launches?	
SMS ref.		
9.5.5	The issue of pilotage directions?	
SMS ref.		
9.5.6	The issue of exemption certificates?	
SMS ref.		
9.6	Is there a system in place to ensure pilots are properly rested before duty?	
SMS ref.		
9.7	Is proper time allocated for the development of the Pilotage Passage plan?	
SMS ref.		
9.8	Has a formal risk assessment been used to identify when more than one pilot would be needed?	
SMS ref.		
9.9	Do pilot boats meet statutory requirements and appropriate Codes?	
SMS ref.		
9.10	Does the Harbour Authority have formal procedures for assessing applicants for pilot exemption certificates and issue of subsequent certificates and revalidations?	
SMS ref.		
9.11	<i>Does the Harbour Authority have formal written agreements with Pilot Exemption Certificate holders and their employers to regulate the use of certificates?</i>	
SMS ref.		

9.12	<i>Does the Harbour Authority have formal procedures for suspension and revocation of a pilot's authority?</i>	
SMS ref.		
9.13	Does the Harbour Authority ensure pilots and PEC holders are appropriately trained and that their authorisations are re-validated every 5 years?	
SMS ref.		
9.14	Does the Harbour Authority formally require the use of passage plans (e.g. in the pilotage directions)?	
SMS ref.		
9.15	<i>Do they publish up to date guidance or general passage plans adopted by the port?</i>	
SMS ref.		

Attending Officer's Comments

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10. Tugs, workboats and marine services

PMSC	5.24 – 5.25
GTGP	Sect. 9

		Tick ✓
10.1	Does the Safety Management System cover the use of harbour craft including tugs and the provision of moorings?	
<i>SMS ref.</i>		
10.2	Have the risks associated with the use of harbour craft including tugs been formally assessed?	
<i>SMS ref.</i>		
10.3	Has the Harbour Authority developed towage guidelines including operations in restricted visibility?	
<i>SMS ref.</i>		
10.4	Have the towage guidelines been reflected in directions?	
<i>SMS ref.</i>		

10.5	Has the Harbour Authority ensured that harbour craft including tugs are fit for purpose and that the crew are appropriately trained and qualified?	
<i>SMS ref.</i>		
10.6	Do all small commercial craft operated by the Harbour Authority possess a valid Small Commercial Vessel Certificate?	
<i>SMS ref.</i>		
10.7	What qualifications do the Coxswains have, are they appropriate and in date?	
<i>SMS ref.</i>		

Attending Officer's Comments

<i>10.1</i>	
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<i>10.4</i>	
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<i>10.6</i>	
<i>10.7</i>	

11. Conservancy obligations

PMSC	4.3 – 4.4	5.26 – 5.29
GTGP	Sect. 6	

		Tick ✓
11.1	Are properly maintained aids to navigation provided?	
<i>SMS ref.</i>		
11.2	Are aids to navigation subject to periodic review by relevant General Lighthouse Authority (GLA)?	
<i>SMS ref.</i>		
11.3	<i>If so, when was the last audit completed by the GLA:</i>	
<i>SMS ref.</i>		
11.4	Were the findings of that audit satisfactory?	
<i>SMS ref.</i>		
11.5	Have any changes to navigation aids been advised to the GLA and properly recorded?	
<i>SMS ref.</i>		
11.6	Are hydrographic surveys completed, in accordance with any risk assessments?	
<i>SMS ref.</i>		
11.7	<i>If so, when was the last:</i>	
<i>SMS ref.</i>		
11.8	Are the results of the surveys assessed and actioned as appropriate?	
<i>SMS ref.</i>		
11.9	Are the results published and disseminated to stakeholders?	
<i>SMS ref.</i>		
11.10	<i>Is the Hydrographic Code of Practice referenced in the Conservancy section of the SMS?</i>	
<i>SMS ref.</i>		

Attending Officer's Comments

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12. Directions

PMSC	5.2 – 5.5
GTGP	Sect. 1 & 8

		Tick ✓
12.1	<i>Does the Harbour Authority have a procedure of how General Directions should be given?</i>	
SMS ref.		
12.2	<i>Does the Harbour Authority have a procedure of how a Special Direction should be given?</i>	
SMS ref.		
12.3	<i>Has the Harbour Authority identified who and how Directions can be given?</i>	
SMS ref.		

Attending Officer's Comments

12.1	
12.2	
12.3	

13. Training

PMSC	2.10	2.14(c)	3.13
GTGP	Sect. 11		

		Tick ✓
13.1	Does the Harbour Authority have a stated training policy?	
<i>SMS ref.</i>		
13.2	Is there a training programme?	
<i>SMS ref.</i>		
13.3	Are training records maintained?	
<i>SMS ref.</i>		
13.4	Do persons appointed to positions with responsibility for the safety of marine operations possess appropriate competencies?; for example: *Tick as appropriate	
	Designated Person	
	Harbour Master	
	Assistant Harbour Master	
	Marine operatives	
	Pilots	
	Pilot boat crew	
	VTS Operator - (V103/1 + V103/3)	
	VTS Supervisor - (V103/2) (if appointed)	
	VTS On-the-Job-Training-Instructor – (V103/4)	
	Tug skippers and crews	
<i>SMS ref.</i>		

Attending Officer's Comments

13.1	
13.2	
13.3	
13.4	

14. Vessel Traffic Services (VTS)

PMSC	5.15
GTGP	Sect. 7

		Tick ✓
14.1	Has the need for VTS been identified by risk assessment?	
SMS ref.		
14.2	<i>If the Harbour Authority provides VTS, what types of service are offered and are these appropriate to the risk?</i>	
	<i>Tick as appropriate:</i>	
	<i>Information Service</i>	
	<i>Navigational Assistance Service</i>	
	<i>Traffic Organisation Service</i>	
SMS ref.		
14.3	If VTS is considered excessive or inappropriate by the Harbour Authority is a Local Port Services (LPS) provided? <i>Describe the Local Port Services (LPS):</i>	
SMS ref.		
14.4	When was the VTS or provision of Port Information last audited and reviewed?	
SMS ref.		

14.5	During this audit and review was the effectiveness of the equipment, manning and procedures evaluated?	
<i>SMS ref.</i>		
14.6	Have all VTS or Port Information personnel been appropriately trained?	
<i>SMS ref.</i>		
14.7	Are the log books for VTS personnel being kept up to date?	
<i>SMS ref.</i>		
14.8	Is there a process to ensure that VTS staff are in date for “refresher training”?	
<i>SMS ref.</i>		
14.9	Is MSN 1796 and ALRS up to date. Are the sailing directions accurate?	
<i>SMS ref.</i>		
14.10	Are VTS On-the-Job-Training-Instructors appointed and qualified to V103/4?	
<i>SMS ref.</i>		

Attending Officer’s Comments

14.1	
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15. Published documents

PMSC	3.19	4.3 (d & e)
GTGP	Sect. 2	

15.1	Has the Harbour Authority published:	Tick ✓
15.1.1	<i>Its Safety Management System?</i>	
SMS ref.		
15.1.2	<i>A clear commitment to comply with the Code?</i>	
SMS ref.		
15.1.3	<i>A Safety plan for Marine Operations?</i>	
SMS ref.		
15.1.4	<i>An assessment of performance against the Safety plan?</i>	
SMS ref.		
15.1.5	<i>A safety policy for marine operations?</i>	
SMS ref.		
15.1.6	<i>Appropriate hydrographical information Including warnings on new hazards?</i>	
SMS ref.		

Attending Officer's Comments

15.1.1	
15.1.2	
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15.1.4	
15.1.5	
15.1.6	

16. Final Check

		Tick ✓
16.1	Is the Harbour Authority aware of their existing powers and duties?	
16.2	Appoint someone as an 'independent 'designated person' with direct access to the board?	
16.3	Develop an effective marine safety management system, which employs formal risk assessment techniques?	
16.4	Employ people who are competent and qualified for the positions they hold?	
16.5	Publish a comprehensive safety plan, along with regular assessment showing the authorities performance measured against the code?	

Attending Officer's Additional Comments

