

FORTH PORTS LIMITED

(Port Marine Safety Code)

Safety Management System

MANUAL

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PMSC SMS MANUAL: DISTRIBUTION LIST

A controlled copy of this Manual is maintained on the internet via the following link <http://www.forthports.co.uk/#!/marine/pmssc/>

The Forth Ports Harbour Master Forth Inner will advise the following parties of any changes to the Manual by email.

| | |
|----|--|
| 1 | Chief Harbour Master |
| 2 | Chief Executive Officer |
| 3 | Divisional Director Scottish Operation |
| 4 | Port Manager (Grangemouth) |
| 5 | Port Manager (Leith & Rosyth) |
| 6 | Port Manager (Dundee & Fife) |
| 7 | Senior Harbour Master |
| 8 | Harbour Master, Forth Inner |
| 9 | Designated Person |
| 10 | Manager Towage and Pilotage |
| 11 | Superintendent, Dredging and Conservancy |
| 12 | Chairman of Forth Pilots Association |
| 13 | Marine Manager, Dundee |
| 14 | Secretary of Dundee Pilots |
| 15 | Group Company Secretary |
| 16 | MCA Glasgow Office |
| 17 | Ports Division |
| 18 | Ports and Harbours |

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RECORD OF CHANGES

| Ref | Item | Date | Initial |
|------------|---|-------------|----------------|
| 1 | New Edition March 2013 | March 2013 | KJ |
| 2 | Updated; Pg.6 2.1 - Harbour Patrols added Pg.9 – 3.4 - Marine Safety Alerts added Pg11 – 3.6 – System Procedures & Operating Procedures updated to reflect changes and additions | May 2014 | AN |
| 3 | Updated organogram, job titles, removed reference to activity specification | June 2017 | SC |
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1. INTRODUCTION

A full introduction to the Forth Ports Port Marine Safety Code (PMSC), Safety Management System (SMS) is described in the PMSC SMS Policy Document.

This PMSC SMS Manual is to be referred to in conjunction with the PMSC SMS Policy Document and details the systems that are in place for the Port Marine Safety Code, Safety Management System for the Forth Ports Marine Department.

The safety management system consists of the following elements:

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

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

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2. PLANNING

2.1 Marine Safety Issues

Marine safety issues associated with the activities and services provided by Forth Ports Marine Department i.e. Forth and Tay Navigation Service (FTNS), Pilotage in the Forth, Conservancy and Towage, are identified on an ongoing basis and summarised within the Register of Marine Safety Issues FP PMSC R03.

These issues are assessed for significance and management programmes implemented accordingly to drive continual improvement. Marine safety issues are identified as a result of internal audits, harbour patrols, feedback, risk assessments and internal review processes, with the register of marine safety issues periodically reviewed and updated.

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| Related Documentation: | FP PMSC SP 04 | Marine Safety Issues |
| | FP PMSC R03 | Register of Marine Safety Issues |
| | FP PMSC R19 | Register of Harbour Patrols |

2.2 Legal and other requirements

Related to marine safety issues, applicable marine legislation and other requirements to which Forth Ports Marine Department subscribes have been identified and summarised within a Register of Marine Legislation FPM R 02. It is the responsibility of the Marine Management Team to ensure updates are received and the register maintained. On occasion, external expertise is called upon to review applicable legislation, best practice and legal compliance. Changes are communicated and reviewed at the Management Review.

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| Related Documentation: | FP PMSC SP 03 | Legal and Other Requirements |
| | FP PMSC R 02 | Register of Marine Legislation |

3.3 Objectives, targets and programmes

The company Policy Statements as detailed in the PMSC SMS Policy Document, with related objectives and targets will be periodically set and reviewed by the Marine Management Team and implemented to drive continual improvement. Objectives and targets shall take into account the following; -

- Significant Marine Issues (FP PMSC R 03 Register of Marine Safety Issues)
- Legal and other requirements (FP PMSC R 02 Register of Marine Legislation)
- The views of interested parties such as regulators, customers, neighbours and other stakeholders
- Other financial, operational and business requirements of the Marine Department (such as personnel time, availability and costs of improvements).

Management programmes relating to set targets, will be implemented with specified resources, responsibilities and timeframes. Achievement of management programmes will be assessed through internal audits and periodic management review.

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| Related Documentation: | PMSC Continual Improvement Plan (As published within the PMSC Annual Performance Review) |
| | PMSC Marine Safety Plan |

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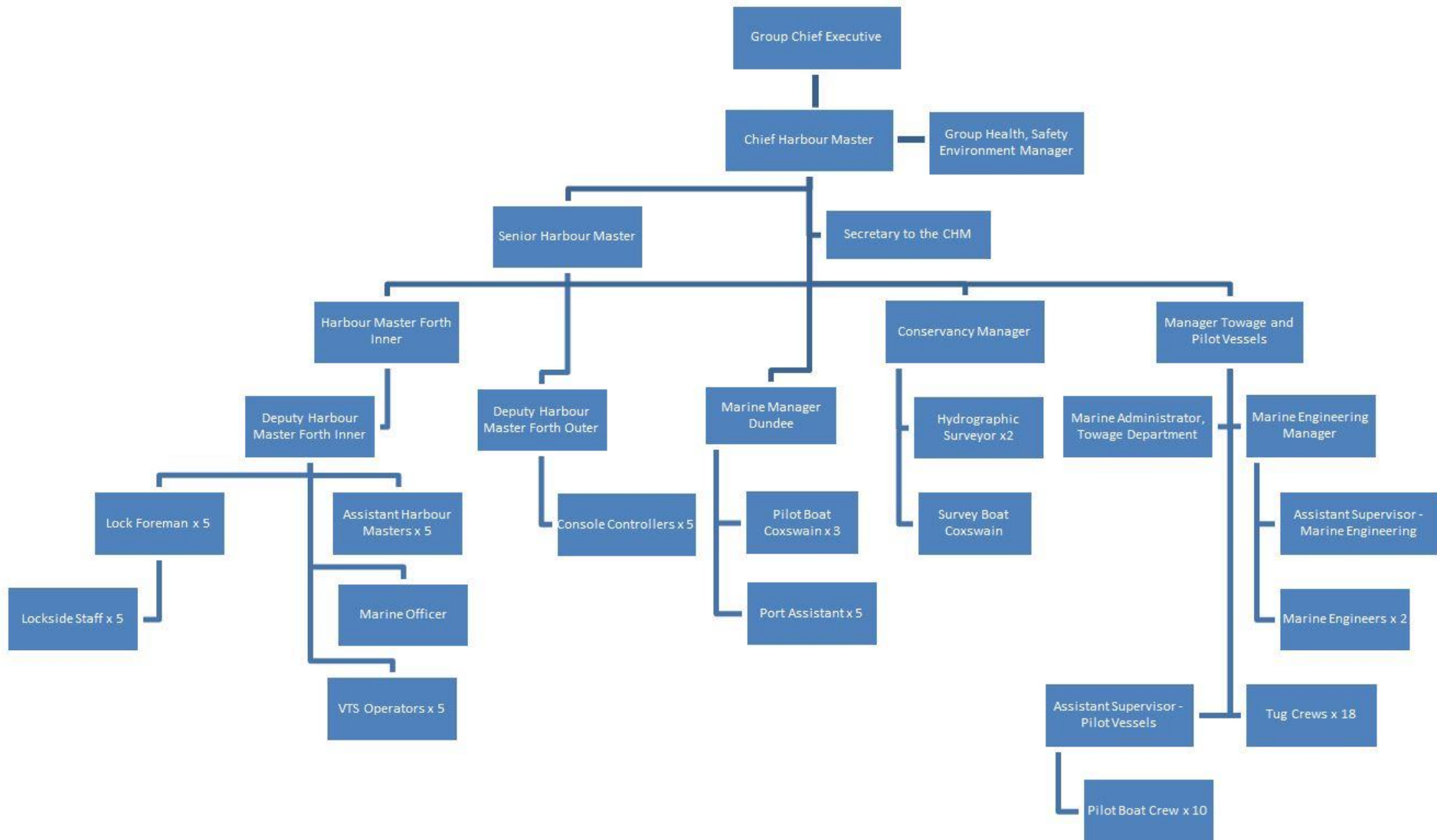
3. IMPLEMENTATION AND OPERATION

3.1 Roles & Responsibility

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| Chief Harbour Master | Review and authorises Marine Policy in conjunction with Chief Executive Officer. Provides resources necessary for the implementation and ongoing maintenance of the PMSC SMS. Ensure that adequate resources are available for preventing and minimising risks. |
| Harbour Master, Forth Inner | Maintain an overview of the effective operation of the PMSC SMS. Ensures processes needed for PMSC SMS are established, implemented and maintained. Ensure a programme of internal audits is implemented. Ensure that a record of stakeholder communication is maintained. Review and approve PMSC SMS documentation prior to issue. |
| Marine Management Team (MMT) | Review and amend PMSC SMS Documentation. Ensure PMSC SMS Records are appropriately maintained and requirements communicated to all staff. Periodically reviewing policy, objectives and targets. Setting, implementing and reviewing Individual Management Programmes. Maintains and updates register of legislation. Ensures all staff are informed of changes to legal and other requirements. Maintains Register of Marine Safety Issues, identifying and assessing newly identified and/or existing Marine Issues. Attend MMT meetings to drive continual improvement Ensures PMSC SMS issues are appropriately communicated to clients, staff, sub-contractors and public. Maintain PMSC SMS Training Matrix Ensure training courses are appropriate to requirements Ensure monitoring & measuring information is available for discussion at SMS meetings through supplying information to the Secretary to Chief Harbour Master. Responsibility for overseeing corrective & preventive actions Review the results of audits and ensure corrective / preventive actions are implemented. |
| All Employees | To implement the PMSC Policy, objectives & targets To follow PMSC SMS requirements and provide feedback on the effectiveness of the SMS and suggestions for improvement. |

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3.2 Marine Department Organisation



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3.3 Training, awareness and competence

The MMT are responsible for identifying marine industry training needs in accordance with legal and industry standards via regular information updates. In addition training needs will be identified through on the job supervision and employee feedback. Managers are responsible for ensuring that training is carried out in each of the relevant departments.

An overview record of training (required) and training (completed or outstanding) is maintained within the Marine Training Matrix R11. All HSE related courses are held on record by the Training Team. Individual training records are held by the Forth Ports Human Resource Department.

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| Reference procedures: | FP PMSC SP 05 | Training |
| | FP PMSC R 11 | Marine Training Matrix |

3.4 Communication

Forth Ports Marine Department promulgates significant communications to PMSC stakeholders by the following means:

- Forth Ports Website
- PMSC Annual Performance Review (including PMSC Continual Improvement Plan)
- Notice to Mariners
- Byelaws, General Directions and Mariners Guide
- Three per year PMSC Liaison Meetings (four on the Tay)
- Annual Leisure Community Meetings
- Marine Safety Alerts
- Marine Safety Plan

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3.5 Document Control

Management System Documentation relevant to Forth Ports Marine Department are controlled and maintained by the MMT Team in accordance with FP PMSC SP 01 Document Control. These documents include;

- Policy Statements
- Management Manual
- Procedures
- Standard Forms
- Records / Registers

PMSC SMS documentation is periodically reviewed as part of the internal audit process.

The Harbour Master Forth Inner approves PMSC SMS documents with the master PMSC SMS documentation held on a shared drive, accessible by all members of the MMT. Editorial rights are maintained by the Secretary to the Chief Harbour Master for document security. The MMT will review and highlight amendments to the PMSC SMS Documentation. It is the responsibility of the MMT Team to ensure amendments or the additions of new documents are communicated to all staff. It is the responsibility of the Secretary to Chief Harbour Master to update and maintain the Marine Department Library (FP PMSC R13).

Reference procedures: FP PMSC SP 01 Document Control
FP PMSC R 13 Marine Department Library

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3.6 Operational control

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

- System Procedures
- Operating Procedures

System Procedures

System Procedures are the set of procedures that describe how the PMSC SMS itself conducts its business. The current System Procedures in place are as follows:

FP PMSC SP 01 Document Control
FP PMSC SP 03 Legal & Other Requirements
FP PMSC SP 04 Marine Safety Issues
FP PMSC SP 05 Training
FP PMSC SP 06 Emergency Preparedness Response
FP PMSC SP 07 Monitoring & Measurement
FP PMSC SP 09 Internal Audits
FP PMSC SP 10 Risk Assessment
FP PMSC SP 11 Towage Licenses
FP PMSC SP 12 Marine Investigation
FP PMSC SP 13 Recreational Event Notification

Operating Procedures

Operating Procedures are the set of procedures that describe how a marine operation is conducted. The current Operating Procedures in place are as follows:

FP PMSC OP 13 AHM Operations Manual
FP PMSC OP 14 Marine Guidelines and Port Information (Forth)
FP PMSC OP 15 Marine Guidelines and Port Information (Tay)
FP PMSC OP 16 NAABSA Berth Procedure
FP PMSC OP 17 Bunkering Procedure
FP PMSC OP 18 Pilot Operating Procedures - Forth
FP PMSC OP 19 Pilot Operating Procedures – Tay
FP PMSC OP 20 Dundee Large Tanker Guidelines
FP PMSC OP 21 Towage Guidelines
FP PMSC OP 23 Ruling Depths & Under Keel Clearances - Forth
FP PMSC OP 24 Port of Dundee Rig Move Guidelines
FP PMSC OP 25 Forth Pilot Vessel SMS Operations Manual
FP PMSC OP 26 Tay Pilot Vessel SMS Operations Manual
FP PMSC OP 27 Methil and Burntisland East and West Docks - Gate Operation
FP PMSC OP 28 Berthing of Tankers on Non-Tanker Berth

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Risk Assessment

Risk Assessments are the foundation of the PMSC SMS, the methodology for which is described in detail within the following documents:

- FP PMSC Policy Document, section 5.
- FP PMSC SP 10 Risk Assessment.

PMSC Risk Assessments are published on the Forth Ports website.

3.7 Emergency preparedness and response

The potential for abnormal and emergency situations is periodically identified and assessed for significance within the Register of Marine Safety Issues (FP PMSC R 03). As a result of this assessment procedural controls are implemented and training conducted. Refer to the Training Matrix FP PMSC R 11.

Potential emergencies include fire, flood and spillages (oil, diesel etc). Internal audits and drills shall be conducted to assess emergency preparedness and response. It is the responsibility of the relevant Departmental Manager to ensure all emergency equipment is maintained and tested.

Reference procedure:

| | |
|---------------|---|
| FP PMSC SP 06 | Emergency preparedness & Response |
| FP PMSC SP 09 | Internal Audits |
| FP PMSC R 03 | Register of Significant Marine Safety Aspects |
| FP PMSC R 11 | Training Matrix |
| FP PMSC R12 | Exercise Schedule |

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4 CHECKING AND CORRECTIVE ACTION

4.1 Monitoring and measurement

Procedure FP PMSC 07 provides an overview of monitoring and measurement relating to the PMSC SMS of Forth Ports Marine Department.

Results from monitoring and measurement are communicated and discussed within the management review and enable Forth Ports Marine Department to assess the effectiveness of the PMSC SMS and drive continual improvement.

Effectiveness of the PMSC SMS is monitored via internal audits, inspections, feedback from staff, clients and suppliers, incidents, corrective & preventive actions.

Compliance with legislation and other requirements to which Forth Ports Marine Department subscribes is periodically reviewed via the Register of legislation & other requirements and the internal audit schedule.

Reference procedures:

| | |
|---------------|--------------------------------|
| FP PMSC SP 07 | Monitoring & Measurement |
| FP PMSC SP 04 | Legislation&Other Requirements |
| FP PMSC SP 10 | Internal audits |

4.2 Non-conformance, corrective and preventive action

Incidences of non-conformance shall be investigated. Action shall be taken to mitigate any impact by initiating and completing corrective and preventive action. The corrective actions are appropriate to the magnitude of the problem. Preventative actions include investigating the nonconformities, determining the cause and taking actions to avoid the reoccurrence. The effectiveness of corrective and preventative action is periodically evaluated during the management review.

Records of non-conformances and subsequent corrective and preventative action taken shall be maintained via the Marine Investigation system, the Audit system and the Marine Safety Issues system

Reference procedures:

| | |
|---------------|----------------------|
| FP PMSC SP 12 | Marine Investigation |
| FP PMSC SP 09 | Internal Audits |
| FP PMSC SP 04 | Marine Safety Issues |

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4.3 Internal audit

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

- Conforms to the requirements of PMSC (Guide to Good Practice);
- Conforms to this manual, the procedures and other planned arrangements;
- has been properly implemented and maintained;

The audits, along with the management review, ensure the ongoing effectiveness of the management system and assess compliance to legal & other requirements. Thus the auditor must be impartial and objective whilst completing the audit. Audits can only be carried out by competent personnel with internal audit training and knowledge of the required standards.

Reference procedure: FP PMSC SP 09 Internal Audits

5 MANAGEMENT REVIEW

The PMSC SMS management review is held monthly to ensure the continuing suitability, adequacy and effectiveness of the PMSC SMS.

The review is attended by the MMT Team. The review includes:-

- Action Points
- Policy on Navigational Safety
- Marine Safety Issues
- Performance / Timetable
- Training Plan
- System / Operating Procedures
- Results of Audits
 - Non-Conformances/Incidents
 - Evaluations of Compliance with Legal & Other Requirements
- Stakeholder Communications
- Changes/New Legislation that could affect the PMSC SMS

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