

Report of: Close out of Initial Audit of the River Yealm Harbour Authority's Compliance with the Port Marine Safety Code

Auditor: Captain Keith Hart RD, Designated Person

Audit performed: From 1430 to 1630 on 22 Oct 20 at the Harbour Office, with follow-up meeting on 07 Jan 21 and subsequent correspondence.

Audit participants: Captain Keith Hart RD, Designated Person
Mark Beighton, Harbour Master

1. Preamble

- 1.1. On 26 Oct 20 I issued my report of my initial audit of the River Yealm Harbour Authority's ("RYHA") compliance with the requirements of the Port Marine Safety Code ("PMSC").
- 1.2. My audit largely focused on the contents of, and the demonstrable compliance with, the RYHA's documented Safety Management System ("SMS").
- 1.3. My report included a number of recommendations arising from my audit. For the sake of completeness all these recommendations, the RYHA's responses and their current status are set out below.

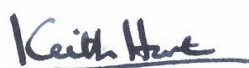
2. Audit Recommendations

Item	Recommendation	Action Taken	Status
General	As a matter of principle I would recommend that all records arising from/supporting the SMS should be filed together within an SMS records file.	Filing system modified accordingly.	Complete
Section 1 – Duty Holder Statement	This statement should be signed off by ALL RYHA Members as they are individually and collectively accountable for compliance with the PMSC.	Signature sheet to be completed.	Ongoing
Section 2 – Safety Policy 2.6.9 / 2.6.11 Moorings	The failure of a mooring in the area managed by Kitley Estate has the potential to have a safety impact on the broader Harbour area, hence consideration should be given to ensuring that agreed minimum standards apply throughout the Harbour.	HM liaises with Kitley Mooring Manager and Kitley Mooring maintained to same standard.	Complete
Section 2 – Safety Policy 2.6.9 / 2.6.11 Moorings	I consider that there is merit in requiring independent inspection of all moorings.	Following a Risk Assessment RYHA will require independent verification of "A" class moorings from 2022.	Ongoing
Section 3 – Management of SMS 3.9 Accident/Near-Miss Reporting	I recommend that a summary of incident by type (injury/damage/near miss/other) should be included in the HM's routine reports to the RYHA.	Routine report format modified accordingly.	Complete

Section 3 – Management of SMS 3.9 Accident/Near- Miss Reporting Annex 8.1.9 – Incident Report Form	I recommend amending the form to include listed questions and to record when any actions were completed.	Report format modified accordingly.	Complete
Section 4 – Managing Risk 4.3 Risk Assessment	The existing risk register is due for review in November/December.	Risk register reviewed.	Complete for 2020
Personal Protective Equipment (PPE)	I recommend that the RYHA provide all necessary PPE and require all staff to only use the RYHA-provided PPE when on duty.	RYHA will provide all required PPE as per revised list in SMS.	Complete
Section 5 – Navigation and. Marine Services 5.7.2 Diving Annex 8.1.5 – Dive Permit	I recommend that the text of paragraph 5.7.2 and the permit form be modified to limit the maximum validity of the permit to 12 hours.	Text modified accordingly.	Complete
Section 6.0 Incident Management Annex 8.1.4 – Harbour Emergency Plan	I recommend that consideration be given to performing regular “table top” exercises to consider likely emergency scenarios and the RYHA’s responses to those scenarios. The nature and the results of the exercises should be recorded.	Harbour Emergency Plan comprehensively redrafted to list actions in specific emergency scenarios.	Complete
Annex 8.1.10 – Training Log	In addition to the competency training set out in the training matrix, I consider that it would be good practice to establish an induction process for new employees and to record their completion of the process.	Training matrix amended accordingly.	Complete
	I consider that it would also be good practice to hold regular team briefings to ensure that the team are fully aware of the requirements of the SMS and receive feedback on any incidents/complaints etc. A record of such briefings, including the attendees and the points covered, should be maintained.	Team briefings to be held.	Ongoing
Annex 8.1.11 – Handling of complaints	I recommend amending the form to include listed questions and to record when any actions were completed.	Report format modified accordingly.	Complete

3. Audit Conclusions

- 3.1. I am satisfied that the RYHA’s SMS is compliant with the requirements of the PMSC.
- 3.2. I am satisfied that the RYHA’s SMS is being effectively implemented.



29 Mar 21