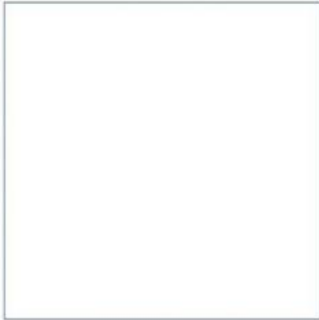


East Suffolk Council

Port Marine Safety Code

Audit: Southwold Harbour 2024

February 2024



Innovative Thinking - Sustainable Solutions



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Audit: Southwold Harbour 2024




February 2024



Source: Peter Simmons (Harbour Master)

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1 The Port Marine Safety Code

The Port Marine Safety Code ('the Code') sets out a national standard for every aspect of port marine safety. Its aim is to enhance safety for everyone who uses, or works in, the UK port marine environment. It is authored by the UK Government, supported by the devolved administrations and representatives from across the maritime sector and, whilst the Code is not mandatory, these bodies have a strong expectation that all harbour authorities will comply. The Code is applicable both to Statutory Harbour Authorities and to other marine facilities, which may not have statutory powers; these are collectively referred to throughout the Code as 'organisations' (DfT, 2016).

In reading this audit report, the Harbour Board should note the following extract from the Code:

"The Code does not contain any new legal obligations but includes (amongst other things) references to the main legal duties which already exist. Failure to comply is not an offence in itself. However, the Code represents good practice as recognised by a wide range of industry stakeholders and a failure to adhere to good practice may be indicative of a harbour authority being in breach of certain legal duties. Moreover, the organisation may suffer reputational damage if it has publicly committed to the Code's standards and then fails to meet them."

(DfT, 2016)

In order to measure compliance with the Code, the table below sets out the 10 Duty Holder responsibilities, and corresponding cross-references with sections of the Code, which this audit has considered.

No	PMSC Duty Holder Responsibilities		PMSC Section Reference
1	Duty Holder	Formally identify and designate the Duty Holder, whose members are individually and collectively accountable for compliance with the Code and their performance in ensuring safe marine operations in the harbour and its approaches.	1.6-1.8, 1.10, 1.16-1.17
2	Designated Person	A 'Designated Person' must be appointed to provide independent assurance about the operation of the marine safety management system. The designated person must have direct access to the Duty Holder.	1.11-1.12
3	Legislation	The Duty Holder must review and be aware of their existing powers based on local and national legislation; seeking additional powers if required in order to promote safe navigation.	2.3-2.6, 4.3-4.5
4	Duties and Powers	Comply with the duties and powers under existing legislation as appropriate.	1.3-1.5, 1.9, 1.13-1.15, 3.1-3.14, 4.2, 4.6-4.20, 4.25-4.32
5	Risk Assessment	Ensure all marine risks are formally assessed and are eliminated or as low as reasonably practicable in accordance with good practice.	2.7-2.11
6	Marine Safety Management System	Operate an effective marine safety management system which has been developed after consultation, is based on formal risk assessment, and refers to an appropriate approach to incident investigation.	2.12-2.17, 2.19-2.23, 2.25, 2.29
7	Review and Audit	Monitor, review and audit the risk assessment and marine safety management system on a regular basis – the independent designated person has a key role in providing assurance for the Duty Holder.	2.2, 2.24, 2.30-2.32
8	Competence	Use competent people (i.e. trained, qualified and experienced) in positions of responsibility for managing marine and navigation safety.	2.18
9	Plan	Publish a safety plan showing how the standard in the Code will be met and a report assessing the performance against the plan at least every 3 years.	2.26-2.28
10	Aids to Navigation	Comply with directions from the General Lighthouse Authorities and supply information and returns as required.	4.21-4.24

1.1 About the Harbour Authority

East Suffolk Council is the Statutory Harbour Authority (SHA) for Southwold Harbour by virtue of ‘The Elgin & Lossiemouth & Southwold Confirmation Act 1933 and the Southwold Harbour Order 1933’. East Suffolk Council is the Local Lighthouse Authority (LLA) for aids to navigation by virtue of Section 193 of the Merchant Shipping Act 1995. East Suffolk Council is not a Competent Harbour Authority for Southwold Harbour with regards to Pilotage. The port is a Municipal Harbour, being owned and operated by the Council, See Figure 1 for harbour limits.

The harbour is situated in an area that is designated as an area of outstanding natural beauty and is about half a mile from the town of Southwold. The harbour is principally a fishing port, providing moorings and facilities to fishing vessels and pleasure yachts. A ferry operates within the Harbour, transiting the River Blyth between Blackshore on the north bank of the river and Walberswick on the south bank. Thrill rides, boat trips and wildlife watching tours are also operated from the Harbour. The Harbour provides permanent, long stay and visitor moorings and hosts annual maritime events.

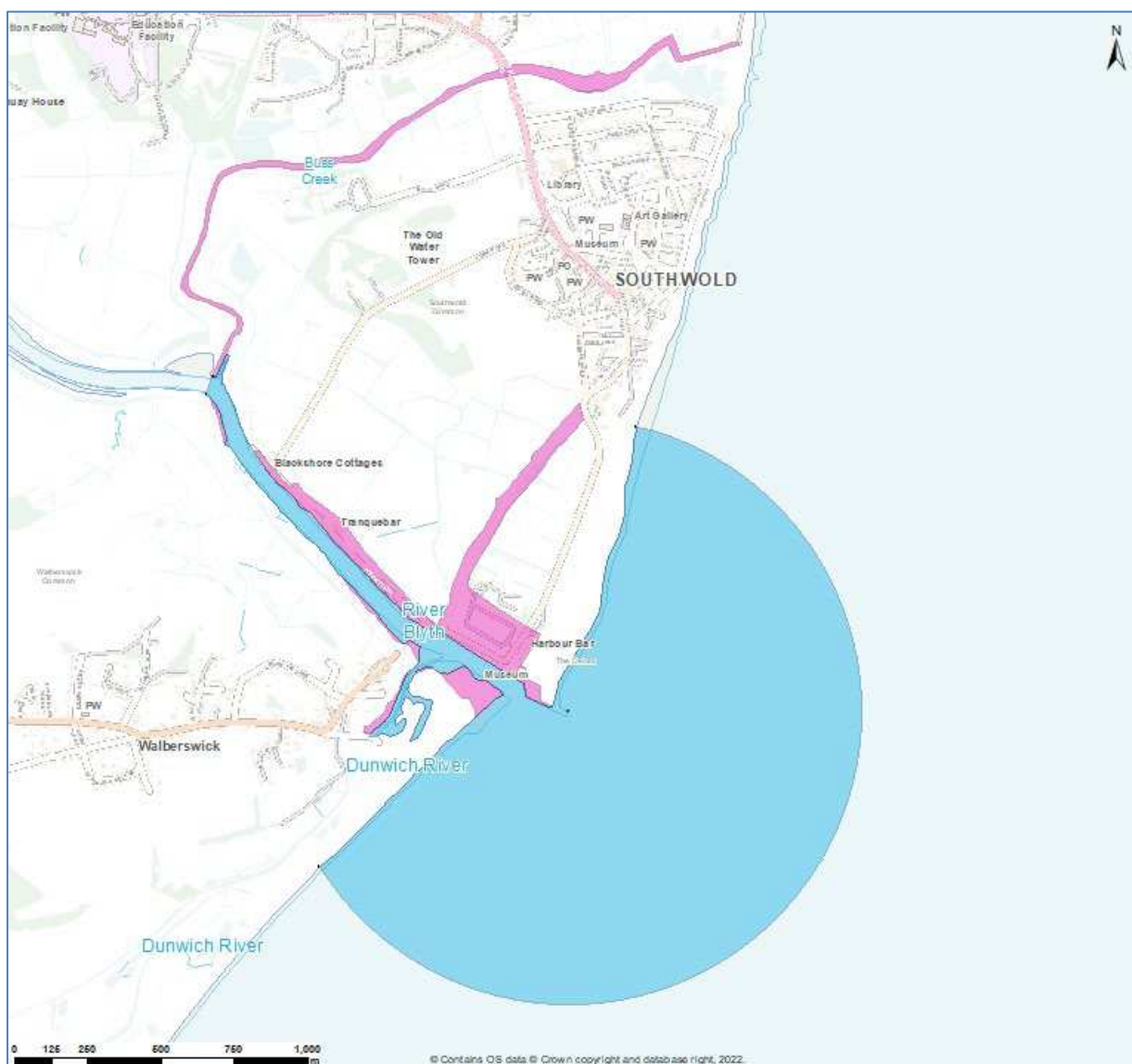


Figure 1. Southwold Harbour Limits – wet limits (blue) dry boundary (pink)

2 Purpose and Method

2.1 Audit scope

East Suffolk Council has contracted ABPmer to provide Designated Person services for Southwold Harbour. Part of this service includes the provision of annual auditing to establish if the Harbour Authority is compliant with the requirements of the Port Marine Safety Code (PMSC). The scope of the audit includes a review of Harbour Authority performance against the standard laid out within the latest edition of the Code. Any aspects that do not comply with, or fully address, the requirements of the Code will be identified, and recommendations for improvement will be made.

2.2 Audit definitions and outcomes

2.2.1 Definitions

The following definitions are used in the audit report:

Non-compliance: is a failure to adhere to a legal requirement such as an Act, Order or its Regulations. The Port Marine Safety Code requires organisations to confirm compliance with the requirements of the Code. Therefore, Port Marine Safety Code audits are designed to test the requirements of the Code with any failure to comply identified as a 'non-compliance'.

Non-conformity: is an opportunity for the management system to improve through the identification of a requirement that is not met. Non-conformities are not regulatory but relate to the port or harbour's own operational instructions which are not met or fully met. Any non-conformities identified through the audit process are identified in bold text in the report.

Evidence: Non-compliances and Non-conformities are identified through factual evidence sampled during the audit.

2.2.2 Outcomes

The audit report uses the following outcomes:



Non-Compliance: a non-compliance with the requirements of the Code which are a breach of legal obligations or may compromise marine safety, environmental safety or present a significant reputational risk. Recommendations for addressing non-compliances are identified in red.



Observation: refers to an improvement opportunity such as an update to information, procedural change, or a non-conformity with local operating instructions. Whilst observations are defined as improvement opportunities, addressed them may improve the overall system standard. Recommendations for addressing observations are identified in yellow.



Satisfactory: a system component that meets or exceeds the requirements of the Code. Items of best practice are identified in bold.

Not applicable: part of the Code that is not relevant to the Organisation being audited.

2.3 Audit date and criteria

The audit was carried out on Tuesday 23 January 2024 onsite in Southwold Harbour and Caravan Park. The Appendix tables to this report contain the test questions and evidence, noting down compliance, non-compliance and observational remarks. The latest version of the PMSC, and the accompanying Guide to Good Practice (GtGP) have been used as the benchmarking standard within Appendix A. The audit tables also identify the paragraph numbers from the Code (DfT, 2016) and relevant sections of the Guide to Good Practice (DfT, 2018), for cross reference purposes.

2.4 Auditors

The following auditors conducted this audit.

Team Member	Initials	Company, Designation
Monty Smedley	MJS	ABPmer, Principal Maritime Consultant Lead Auditor for Quality Management Systems (QMS ISO 9001) Designated Person (PMSC) East Suffolk Council

2.5 Auditees

The following individuals participated in the audit.

Team Member	Initials	Role/Designation
David Beavan	DB	Councillor, Southwold Harbour Management Committee Chair
James Milnes	JM	Southwold Harbour, Caravan & Campsite Manager
Josie Crooks	JC	Receptionist Southwold Campsite
Kerry Blair	KB	Head of Operations
Peter Simmons	PS	Harbour Master

3 Audit Summary

3.1 Port Marine Safety Code audit summary

Number	Key Measures Ten-point 'health check'			
1	Duty Holder	0	4	5
2	Designated Person	0	0	2
3	Legislation	0	1	6
4	Duties and Powers	0	9	35
5	Risk Assessment	0	3	5
6	MSMS	1	5	9
7	Review and Audit	0	1	4
8	Competence	1	0	2
9	Plan	0	1	2
10	Aids to Navigation	0	0	2
Total		2	24	72

From the summary table and details in Appendix A; East Suffolk Council as the Harbour Authority for Southwold Harbour is found **not to be fully compliant** with the requirements of the Code. The following two non-compliance were identified:

1. The MSMS, Section 2.3 describes 'Competence' for the Harbour Authority. East Suffolk Council maintains a training matrix for harbour staff. A check of harbour staff qualifications, against the matrix identifies that the following 'essential' qualifications are not held:
 - a. Oil Pollution Response Training
 - b. Risk Management/Training
 - c. Harbour Master Qualification
 - d. First Aid
2. The MSMS, Section 2.4 identifies the Authority's requirement for incident reporting and investigation. Recording of incidents is achieved in the harbour daily log (recording all incidents in the harbour). This information is not translated to a central record, but can be access by officers of the authority by reviewing the log. The Code, in Section 2.2. states that: *"The MSMS addresses the potential for incidents to occur and provides instruction and guidance on the reporting and recording of incidents and any investigations and enforcement action that may be required as a result."* The MSMS in Figure 3 provides a flow chart of incident recording through to investigation. There is no evidence of routine incident investigation.

The PMSC audit presented in Appendix A identified 24 observations relating to improvement opportunities for management consideration.

- The Marine Safety Plan has an objective that all Duty Holders will have attended a tour of the harbour in the last three years, at the time of audit, records of Duty Holder visits to the harbour are not recorded.

- The Marine Safety Plan has an objective that all Duty Holders will have attended Duty Holder Training within a three-year period. Three members of the Cabinet have not attended Duty Holder training at the time of audit.
- The role of the following officers of the authority are not defined in the MSMS: the Southwold Harbour, Caravan and Campsite Manager; the Head of Operations; and the Strategic Director.
- The harbour limits are not show on Admiralty Chart 2695 'Plans on the East Coast' or Chart 1543 'Winterton Ness to Orford Ness'. It is recommended that contact is made with the UK Hydrographic Office (UKHO) requesting that the harbour limits are added to charted information.
- The MSMS-MD does not clearly identify the Marine Risk Assessment tolerability level with sufficient detail to allow its practical application. It is recommended that the MSMS-MD, or an appropriate Standard Operating Procedure (SOP), should clearly identify the Council's position on intolerable risk outcomes.
- The harbour website hosts a 'Southwold Harbour Marine Policy', dated November 2023. In the dashboard, a separate set of policies are hosted with specific titles, for example, Training Policy, Conservancy Policy, Navigation Policy. It is unclear which policy has primacy where topics are duplicated. It is recommended that the policy set are reviewed collectively to establish which documents are relevant and approved.
- Key (Safety) Performance Indicators identified in the Marine Safety Plan as objectives, are not reported in the Annual report. The Annual Report is an opportunity to demonstrate that the Harbour Authority is meeting its safety obligations, as required by the Code and as stated in its Marine Safety Plan.
- There are commercial operators working from small jetties along the River Blyth. It would be useful to list commercial users and determine if any of these should be subject to the requirements of the Code.
- There is no evidence of a completed 'bilateral agreement' with the UKHO, however, there was evidence that discussion about this agreement had commenced.
- There is limited information for harbour users on the Harbour Authority's expected actions in regard to the environment. Whilst it is acknowledged that the harbour team provide stewardship, patrols and a hands-on approach to maintaining the harbour, there is limited dissemination of environmental information.

The following item of best practice was noted during the audit:

- A dashboard has been developed by the Harbour Authority to manage documentation and provide easy administration. This is recognised as a best practice approach for the recording and retrieval of system information.

4 References

ABPmer, (2023). Southwold Harbour, Aids to Navigation and Passage Plan Review, ABPmer Report No R.4119.

Department of Transport (DfT), 2016. Port Marine Safety Code, Department for Transport (DfT), November 2016.

Department of Transport (DfT), 2018. A Guide to Good Practice on Port Marine Operations Prepared in conjunction with the Port Marine Safety Code 2016, Department for Transport (DfT), February 2018.

ISO 9001: Quality Management Systems. International Organization for Standardization.

4.1 Websites

<https://www.eastsuffolk.gov.uk/business/licensing/other-licences/pleasure-boats>

<https://www.eastsuffolk.gov.uk/contact-us/customer-services>

<https://www.eastsuffolk.gov.uk/contact-us/southwold-harbour>

<https://www.eastsuffolk.gov.uk/visitors/southwold-harbour/southwold-harbour-byelaws-and-notice>

<https://www.eastsuffolk.gov.uk/visitors/southwold-harbour/southwold-harbour-stakeholder-advisory-group>

<https://www.gov.uk/government/publications/port-marine-safety-code-compliant-ports/port-marine-safety-code-compliant-ports-list>

<https://www.hse.gov.uk/ports/dangerous-goods.htm>

5 Abbreviations/Acronyms

ALARP	As Low As Reasonable Practicable
AtoN	Aid(s) to Navigation
CCTV	Closed-Circuit Television
CERS	Consolidated European Reporting System
CHA	Competent Harbour Authority
DfT	Department for Transport
DGHAR	Dangerous Goods in Harbour Areas Regulations
DRA	Dynamic Risk Assessment
ESC	East Suffolk Council
EU	European Union
FRA	Formal Risk Assessment
GLA	General Lighthouse Authority
GtGP	Guide to Good Practice on Port Marine Operations
HDPCA	Harbour, Docks and Piers Clauses Act 1847
HMC	Harbour Management Committee
HRO	Harbour Revision Order
HSE	Health and Safety Executive
IMDG	International Maritime Dangerous Goods
IMO	International Maritime Organization
IOSH	Institution of Occupational Safety and Health
ISO	International Organization for Standardization
KPI	Key Performance Indicator
LLA	Local Lighthouse Authority
LPS	Local Port Service
MAIB	Marine Accident Investigation Branch
MCA	Maritime and Coastguard Agency
MSMS	Marine Safety Management System
MSMS-MD	Marine Safety Management System – Manual and Description
n/a	Not Applicable
NERC	Natural Environment and Rural Communities Act 2006
OPRC	International Convention on Oil Pollution Preparedness, Response and Co-operation
PACE	Police and Criminal Evidence Act
PEC	Pilotage Exemption Certificates
PMSC	Port Marine Safety Code
QMS	Quality Management System
RNLI	Royal National Lifeboat Institution
SAC	Special Areas of Conservation
SAG	Stakeholder Advisory Group
SHA	Statutory Harbour Authority
SOP	Standard Operating Procedure
SOSREP	Secretary of State's Representative
SPA	Special Protection Area
UK	United Kingdom
UKHO	United Kingdom Hydrographic Office
VHF	Very High Frequency
VTS	Vessel Traffic Service

Cardinal points/directions are used unless otherwise stated.

SI units are used unless otherwise stated.

Appendices



Innovative Thinking - Sustainable Solutions

A Detailed Audit Findings

A.1 PMSC Section 1 – Accountability for Marine Safety

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
1.3-1.5	Duties and Powers	Is the Organisation’s Duty of Care for users of the harbour, port of facility stated?	Satisfactory – the Southwold Marine Safety Management System (MSMS), Version 1.0, dated January 2023 in Section 1.2 ‘Duties and Powers’ state that: <i>“As an SHA, East Suffolk Council recognises its statutory duties in relation to safe and efficient port marine operations. This includes the Council’s duty of care to those using the harbour which is recognised as an obligation to conserve and facilitate the safe use of the harbour”</i>		MJS_001	MJS
		Are local Acts and Orders identified?	Satisfactory – the MSMS, Section 2.1.2 ‘Local Legislation’ lists the harbour’s location legislation as: <ul style="list-style-type: none"> ▪ Elgin and Lossiemouth and Southwold Confirmation Act 1933 and Southwold Harbour Order 1933. 		MJS_001	MJS
		Is the Harbour, Docks and Piers Clauses Act (HDPCA) 1847 incorporated into local Acts and Orders?	Satisfactory – the MSMS, Section 2.1.3 ‘Harbours, Docks and Piers Clauses Act 1847’ states that: <i>“The Harbours, Docks and Piers Clauses Act 1847 is included within the ‘Elgin and Lossiemouth and Southwold Confirmation Act 1933 and Southwold Harbour Order 1933”</i> .		MJS_001	MJS
1.6 – 1.7	The Duty Holder	Has the organisation appointed and confirmed who the Duty Holder is?	Satisfactory – the MSMS states that: <i>“East Suffolk Council Cabinet is the duty holder for the marine aspects of Southwold Harbour”</i> . The Cabinet is formed of 10 members, drawn from the full set (55) of Councillors.		MJS_001	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
1.8	The Duty Holder	Are the Duty Holder's responsibilities for compliance with Code defined?	<p>Satisfactory – the Duty Holder's responsibilities are laid out in the MSMS, Section 1.3 'Duty Holder'.</p> <p>Observation – the MSMS in Section 1.3 states that the Council Organogram is shown in Appendix 1. There is no Appendix to the MSMS.</p>	<p>Recommend – the MSMS, Section 1.3 'Duty Holder', has the reference Appendix 1 removed, or an Appendix added.</p>	MJS_001	MJS
1.10	The Duty Holder	Does the Duty Holder (Harbour Board members) have a clear understanding of the port's marine activities and MSMS?	<p>Satisfactory – the following summarises the information exchange from officers of the Authority to the Duty Holder:</p> <ul style="list-style-type: none"> ▪ Information compiled by Officers of the Authority (including the Harbour Master, the Southwold Harbour, Caravan & Campsite Manager, and the Head of Operations) is compiled into an operational report. ▪ The HMC is also attended, on occasion, by the Strategic Director. ▪ Reports are submitted to the Southwold Harbour Management Committee (HMC). ▪ Decision made by the HMC are recorded in formal minutes and passed to the Suffolk Council Cabinet (as Duty Holder) for approval. ▪ The process is managed by the Democratic Services team. <p>Observation – the Marine Safety Plan has an objective that all Duty Holders will have attended a tour of the harbour in the last three years, records of visits to the harbour are not currently recorded.</p>	<p>Recommend – the Council records awareness and orientation visits to the harbour by the Duty Holder (Cabinet).</p>	MJS_008 MJS_009 MJS_010 MJS_011	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
Cont. 1.10	Cont. The Duty Holder	Has the Duty Holder (Harbour Board members) been provided with a clear brief or training on their role under the requirements of the Code?	Satisfactory – Duty Holder training has been provided to the Cabinet on 14 June 2023. Seven members (of the 10-person Cabinet) completed the training. Observation – the Marine Safety Plan has an objective that all Duty Holders will have attended Duty Holder Training within a three-year period. Three members of the Cabinet have not attended Duty Holder training	Recommend –Duty Holder training for Cabinet members is completed as soon as practical.	MJS_007 MJS_012	MJS
1.11-1.12	The Designated Person	Has the Harbour Authority appointed an individual as the Designated Person?	Satisfactory – East Suffolk Council has appointed Monty Smedley of ABPmer as the Designated Person, with contact details available on the harbour website.		MJS_013	MJS
		Is the Designated Person's role explained in the MSMS?	Satisfactory – the MSMS, Section 1.4 defines the role of the Designated Person for East Suffolk Council.		MJS_001	MJS
1.13	Chief Executive [or equivalent]]	Have executive and operational responsibilities for marine safety been clearly assigned?	Satisfactory – the MSMS, Section 1.5 defines the role of the Chief Executive, with respect to overseeing implementation of policy and financial control of the authority.		MJS_001	MJS
1.9, 1.14 – 1.15	Harbour Master	Have executive and operational responsibilities for marine safety been clearly assigned?	Satisfactory – the MSMS, Section 1.6 defines the role of the Harbour Master.		MJS_001	MJS
		Does an officer with responsibilities for marine safety attend Board meetings?	Satisfactory – the Southwold Harbour, Caravan & Campsite Manager, and the Head of Operations attend the HMC. The Harbour Master and Harbour, Caravan & Campsite Manager report to the Head of Operations on a two-monthly basis, and for more urgent matters as often as maybe required.		MJS_008 MJS_009 MJS_010	MJS
1.16 – 1.17	The Organisation's Officers	Does the MSMS provide details of the organisation's Officers and their responsibilities for marine safety?	Satisfactory – the MSMS, Section 1.7 defines the role of the Deputy Harbour Master. Observation – the role of the following officers of the authority are not defined in the MSMS: <ul style="list-style-type: none">▪ Southwold Harbour, Caravan & Campsite Manager,▪ Head of Operations▪ Strategic Director.	Recommend – any officers of the authority with a harbour safety roles and responsibilities should be included in the MSMS.	MJS_001	MJS

A.2 PMSC Section 2 – Key Measures Needed to Secure Marine Safety

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
2.2	Further guidance	Does the organisation review any of the following: <ul style="list-style-type: none"> ▪ MAIB digest / reports ▪ MCA health check trends 	Satisfactory – the Harbour Master is in receipt of Marine Accident Investigation Branch (MAIB) digests and reports. The Harbour Master shares relevant information with harbour staff.		Anecdotal	MJS
2.3 – 2.6	Review existing powers	Does the Harbour Authority have an understanding of local legislation?	Satisfactory – the Harbour Authority has an understanding of its local Acts and Orders. A full review of local legislation has been conducted by marine lawyers, with recommendations for change advised to the Harbour Authority.		MJS_002	MJS
		Are local Acts and Harbour Orders referenced in MSMS?	Satisfactory – the MSMS, Section 2.1.2 'Local Legislation' lists the harbour's location legislation.		MJS_001	MJS
		Have the Harbour Authority's existing powers been reviewed?	Satisfactory – a Harbour Revision Order (HRO) has been submitted with the determination from Government awaited.		MJS_014	MJS
		Is the organisation's jurisdiction mapped and clear?	Satisfactory – the MSMS, Section 1.1.1 'Harbour Limits' has mapped limits, using both the local Act and Order plan and an Ordnance Survey map. Observation – the harbour limits are not show on Admiralty Chart 2695 'Plans on the East Coast' or Chart 1543 'Winterton Ness to Orford Ness'.	Recommend – contact is made with the UK Hydrographic Office (UKHO) requesting that the harbour limits are added to charted information.	MJS_001	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
2.7 – 2.11	Use of Formal Risk Assessment (FRA)	Have risks associated with marine operations been assessed and a means of controlling them deployed?	<p>Satisfactory – the MSMS, Section 2.1.4 'Formal Risk Assessment' describes the objective of assessment, referencing As Low As Reasonable Practicable (ALARP) principle. Assessments were sampled during the audit. All risk assessments were in date at the time of audit, with a review date of June or July 2024.</p> <ul style="list-style-type: none"> ▪ Southwold Harbour General ▪ Showers/Toilets ▪ Cash Collection ▪ Grounding ▪ Use of dock ladders ▪ Diving ▪ Mooring (6 m to 38 m vessel) ▪ Works at high tide and flooding ▪ Mooring Quay/Jetty ▪ Fire (underway or alongside) ▪ Fuel ▪ Road Traffic ▪ Yacht Club Rally ▪ On Board Harbour Launch <p>Observation – collision is included as a hazard within the risk assessment sets at the harbour, however, there is no specifically named hazard dealing solely with potential for vessel-to-vessel collision.</p> <p>Observation – the MSMS-MD does not clearly identify the tolerability level with sufficient detail to allow its practical application.</p>	<p>Recommend – a review of hazards at the harbour to generate specific collision scenarios for assessment.</p> <p>Recommend – the MSMS-MD, or an appropriate Standard Operating Procedure (SOP), should clearly identify the Council's position on intolerable risk outcomes. Any risk assessments exceeding this threshold should then follow a review process. This process should be included within the MSMS-MD or an SOP.</p>	MJS_001 MJS_015	MJS
		How does the organisation ensure those undertaking marine risk assessment are competent in the role?	<p>Satisfactory – the Harbour Master has attended IOSH Managing Safely, which includes risk assessment training. Evidence provided.</p>		MJS_016	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
Cont. 2.7 – 2.11	Cont. Use of Formal Risk Assessment (FRA)	Are stakeholders included in marine risk review/assessments?	Satisfactory – risks are raised with harbour users in the Stakeholder Advisory Group (SAG) meetings. Observation – it is not clear from the assessments, which hazards scenarios have been subject to discussion with harbour stakeholders.	Recommend – where assessments have been discussed with harbour users, this is included in the risk assessment information.	MJS_017 MJS_018	MJS
		Does the MSMS prescribe the review frequency for risk assessments?	Satisfactory – the MSMS, Section 2.1.4 'Formal Risk Assessment', states: "All marine risk assessments are reviewed on an annual basis. Assessments are also considered following a marine incident, which may prompt a revision to the assessment risk outcome or risk control measures".		MJS_001	MJS
		Is a system of Dynamic Risk Assessment (DRA) used?	Satisfactory – the MSMS, Section 2.1.4 'Dynamic Risk Assessment', outlines the Authority's approach.		MJS_001	MJS
2.12-2.14	Implement a MSMS	Is there an MSMS? Does this incorporate policies and procedures? The MSMS must incorporate a regular and systematic review of its performance.	Satisfactory – the following aspects of the system are noted: <ul style="list-style-type: none"> ▪ Southwold Marine Safety Management System (MSMS), Version 1.0, dated 03 January 2023 was approved by the Duty Holder on 07 February 2023. This is the current in-use version of the MSMS. One of the Harbour Master's roles is to manage and update the MSMS update (as stated in Section 1.6 of the MSMS). ▪ A set of Policies are in place for the Harbour Authority. ▪ A dashboard has been developed by the Harbour Authority to manage documentation and provide easy administration. This is recognised as a best practice approach for the recording and retrieval of system information. Observation – the MSMS document does not state an update or review.	Recommend – adding the update and review frequency for components of the MSMS.	MJS_001 MJS_003 MJS_004 MJS_005 MJS_006 MJS_022 MJS_023 MJS_024 MJS_025 MJS_026 MJS_027 MJS_028	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
Cont. 2.12-2.14	Cont. Implement a MSMS	Cont. Is there an MSMS? Does this incorporate policies and procedures? The MSMS must incorporate a regular and systematic review of its performance.	Observation – the harbour website hosts a ‘Southwold Harbour Marine Policy’, dated November 2023. The policy contains a set of headings including: ESC as Harbour Authority, Policies and Plans, Environment Duty, Good Practice, Consultation, etc. In the dashboard, a separate set of policies are hosted with specific titles, for example, Training Policy, Conservancy Policy, Navigation Policy. It is unclear which policy has primacy where topics are duplicated.	Recommend – the policy set are reviewed collectively to establish which documents are relevant and approved.	MJS_001 MJS_003 MJS_004 MJS_005 MJS_006	MJS
2.15	MSMS standards and Key Performance Indicators (KPIs)	Does the MSMS detail KPIs and/or make a statement about performance in the organisation’s annual report?	Satisfactory – the Authority lays out its Key Performance Indicators in its Marine Safety Plan. Observation – the measures identified in the Marine Safety Plan as Objectives, are not reported in the Annual Report. Observation – the measures identified in the Marine Safety Plan are not included in bi-monthly reporting to the Head of Operations and reporting to the HMC.	Recommend – Objectives and measures identified in the Marine Safety Plan are reported in the Annual Report. Recommend – a commentary on achieving the measures listed in the Marine Safety Plan is included in bi-monthly reporting to the Head of Operations and the HMC.	MJS_017 MJS_019	MJS
2.16	MSMS assigning responsibility	Does the MSMS explicitly assign responsibility for appropriate safety/conservancy matters?	Satisfactory – the MSMS, Section 1.2 defines the duties and powers of the Harbour Authority, including the roles of the Duty Holder, Designated Person, Harbour Master and Deputy.		MJS_001	MJS
2.17	MSMS Consultation	Are forum/consultation meetings held?	Satisfactory – the Stakeholder Advisory Group (SAG) was established in late 2021 as part of the Southwold Harbour Management Committee (HMC) commitment to improving relations with local stakeholders and to ensure that all user groups are given an equal platform in which to voice their views for the betterment of the harbour and caravan site. SAG operates under a set of Terms of Reference. There are currently 17 members of SAG. Minutes of the most recent SAG meeting presented as evidence.		MJS_017 MJS_018 MJS_021 https://www.eastsuffolk.gov.uk/visitors/southwold-harbour/southwold-harbour-stakeholder-advisory-group	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
2.18	Competence standards	Are personnel qualified and trained for their marine safety role?	<p>Non-Compliant – the MSMS, Section 2.3 describes 'Competence' for the Harbour Authority. East Suffolk Council maintains a training matrix for harbour staff. A check of harbour staff qualifications, against the matrix identifies that the following 'essential' qualifications are not held:</p> <ul style="list-style-type: none"> ▪ Oil Pollution Response Training ▪ Risk Management/Training ▪ Harbour Master Qualification ▪ First Aid 	<p>Recommend – Officers of the Authority obtain certification and demonstrate competence in line with the MSMS Training Matrix.</p>	MJS_001 MJS_005	MJS
		Is there a policy on revalidation or maintenance of qualifications in place?	<p>Satisfactory – the Authority has a Training Policy in place, this policy commits the Harbour Authority to revalidating and maintaining qualifications for those in positions of responsibility for the delivery of marine safety.</p>		MJS_005	MJS
		Is there a list of the organisation's staff, training received, qualifications held and/or experience required for their role?	<p>Satisfactory – the Authority maintains a list of staff and their qualifications. The award date and expiry date are noted.</p>		MJS_005	MJS
2.19 – 2.22	Incident reporting and investigation	<p>Does the MSMS identify the organisation's instruction regarding:</p> <ul style="list-style-type: none"> ▪ reporting ▪ recording of incidents ▪ investigation ▪ enforcement (if relevant). 	<p>Non-Compliant – the MSMS, Section 2.4 identifies the Authority's requirement for incident reporting and investigation. Recording of incidents is achieved in the harbour daily log (recording all incidents in the harbour). This information is not translated to a central record, but can be accessed by officers of the authority by reviewing the log. The Code, in Section 2.2. states that: <i>"The MSMS addresses the potential for incidents to occur and provides instruction and guidance on the reporting and recording of incidents and any investigations and enforcement action that may be required as a result."</i> The MSMS in Figure 3 provides a flow chart of incident recording through to investigation. There is no evidence of routine incident investigation.</p>	<p>Recommend – Officers of the Authority follow the flow diagram in the MSMS, Figure 3. Incidents should be recorded and investigated (in a proportionate way to the severity of the incident). Any lessons from incident investigation should be shared with the harbour stakeholders and the MAIB as required.</p>	MJS_001	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
GtGP 13.2	Incidents involving Death or Crime	Are procedures in place for incidents involving death or crime?	Satisfactory – the MSMS, Section 2.4, Figure 3 identifies the Police, MAIB, Maritime and Coastguard Agency (MCA) and Health and Safety Executive (HSE) as agencies that may be called depending on the nature of the incident. Section 2.4.2 also identify the requirement of the 'Police and Criminal Evidence Act 1984' (PACE) for the collection of evidence.		MJS_001	MJS
GtGP 13.9	Incident publication	Does the Harbour Authority disseminate information from accident investigations?	Satisfactory – the MSMS, Section 2.4.2, identifies the requirements for incident investigation. Information from investigations would be disseminated to the harbour stakeholders through the SAG and HMC.		MJS_001	MJS
2.23	Incident statutory reporting	Are procedures for reporting incidents to the MAIB in place?	Satisfactory – the MSMS, Section 2.4.1 identifies the requirements for reporting, including the 'The Merchant Shipping (Accident Reporting and Investigation) Regulations 2012'. There have been no MAIB reportable incidents in the Harbour Authority's records.		MJS_001 Anecdotal	MJS
2.24	Monitoring performance and auditing	Has the MSMS been subject to audit (internal and/or external)?	Satisfactory – the MSMS, Section 2.6 identifies audits. This details the requirement for the Designated Person to conduct an annual audit and report this to the Duty Holder. The last external audit for PMSC compliance was in 2019. There is an annual audit for Health and Safety conducted by the Council.		MJS_001 Anecdotal	MJS
2.25	Enforcement	Are local officers aware of enforcement powers and responsibilities?	Satisfactory – the MSMS, Section 2.5 identifies enforcement actions. East Suffolk Council, as SHA for Southwold Harbour, is responsible for the enforcement of legislation which is in place to manage safe and efficient port marine operations. This includes the enforcement of Byelaws and Directions issued by the Harbour Master and officers of the Authority with delegated powers. There is no history of the Council as Harbour Authority having used its enforcement powers.		MJS_001 MJS_006	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
Cont. 2.25	Cont. Enforcement	Is there a policy on enforcement and prosecution in place?	<p>Satisfactory – the ‘Southwold Harbour Marine Policy’ has a section title ‘enforcement’ which states that: <i>“The Harbour Authority will monitor and where appropriate, actively enforce compliance with its harbour byelaws and directions. It is noted that any apparent contravention of such byelaws or directions may result in the prosecution of the offender.”</i></p> <p>Observation – the enforcement policy is contained within the ‘Southwold Harbour Marine Policy’. It is not clear if this policy has been issued by the HMC and Duty Holder. Prosecution is mentioned as part of the enforcement policy.</p>	<p>Recommend – the enforcement policy contained within the ‘Southwold Harbour Marine Policy’ is confirmed via the HMC and Duty Holder.</p>	MJS_001 MJS_006	MJS
2.26	Publication of plans and reports	Does the organisation commit itself to developing policies and procedures to satisfy the requirements of the Code?	<p>Satisfactory – the Marine Safety Plan has a published commitment that East Suffolk Council will have several policies in support of the management and regulation of marine operations. The Marine Safety Plan state that these strategic policies are approved by the Duty Holder and the Harbour Management Committee. An annual report is also produced by the Council.</p> <p>Observation – the Annual report is an opportunity to demonstrate that the Harbour Authority is meeting its safety obligations, as required by the Code and as stated in its Marine Safety Plan. The last issued report did not present any marine safety key performance indicators.</p>	<p>Recommend – the Annual report is used to provide a summary of marine safety key performance indicators.</p>	MJS_007 MJS_019	MJS
2.27	Plan assessment	Is an assessment of the organisation’s performance against the plan published?	<p>Not applicable – the Marine Safety Plan was published by the Council and covers a three year period, 01 January 2023 to 31 December 2025. An assessment of the plan is required no later than 01 January 2026.</p>		MJS_007	MJS
2.28	Safety plan for marine operations	Is a ‘Safety Plan for Marine Operations’ published (every three years).	<p>Satisfactory – the Marine Safety Plan is covers a three year period, 01 January 2023 to 31 December 2025.</p>		MJS_007	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendation	Evidence Reference	Auditor
2.29	Consensus	Has the Harbour maintained navigation safety consensus with harbour users?	See this audit report, Section 2.17.		n/a	MJS
2.30 – 2.32	Monitoring compliance	Has the Harbour Authority confirmed compliance with the PMSC for the port to the MCA within the last three years?	Satisfactory – the Council wrote to the MCA confirming compliance with the Code in a letter dated 31 March 2021. Southwold Harbour is listed by the DfT as compliant.		MJS_020 https://www.gov.uk/government/publications/port-marine-safety-code-compliant-ports/port-marine-safety-code-compliant-ports-list	MJS
GtGP 2.2.3 (also, Code Executive Summary)	Monitoring compliance	Has the Harbour Authority confirmed all organisations within its jurisdiction comply with the requirements of the Code?	Satisfactory – it is not considered that any other Organisations run commercial Marine Facilities in the Council’s Harbour area at Southwold. Observation – there are commercial operators working from small jetties along the River Blyth. It would be useful to list commercial users and determine if any of these should be subject to the requirements of the Code.	Recommend – a list of commercial operators working from small jetties is compiled and a determination of their status under the Code is made. This should be conducted following publication of the revised PMSC.	Observational	MJS

A.3 PMSC Section 3 – General Duties and Powers

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
3.1 – 3.4	Safe and Efficient Port Operations	Does the Duty Holder have regard to efficiency, economy and safety of operation in respect to the services and facilities provided?	Satisfactory – the harbour is operated in an efficient way with the principal role of the Harbour Master and Deputy Harbour Master being expediting of safe navigation for vessel entry and departure. This is managed through Notice to Mariners and SOPs for vessel entry and departure.		MJS_024 MJS_033	MJS
3.5	Open port duty	Is the port or harbour subject to Open Port Duty?	Satisfactory – East Suffolk Council has an Open Port Duty through the incorporation of Section 33 of the HDPCA 1847 into the 'Elgin and Lossiemouth and Southwold Confirmation Act 1933 and the Southwold Harbour Order 1933'.		MJS_001 MJS_002	MJS
3.6 – 3.6	Conservancy duty	How does the harbour authority conserve the harbour?: <ul style="list-style-type: none"> ▪ Survey as regularly as necessary ▪ Place navigation marks in optimum positions ▪ Keep 'vigilant watch' for any sea bed changes ▪ Keep hydrographic records ▪ Ensure hydrographic information is published ▪ Update UKHO with chart information. 	Satisfactory – East Suffolk Council has a Conservancy Policy in place, which commits the Council to provide information to harbour users about conditions in the harbour. ESC maintains its Aids to Navigation (AtoN) to the required standard and applies its powers with respect to abandoned vessels and wrecks. The harbour was last surveyed in 20 May 2023. A summary of survey information is provided as 'Southwold Harbour minimum reported depth' and the 'Southwold Harbour Entry Plan'.		MJS_001 MJS_004 MJS_029 MJS_030 MJS_037 https://www.eastsuffolk.gov.uk/visitors/southwold-harbour/southwold-harbour-byelaws-and-notice	MJS
3.7	Updates provided to UKHO	Does the organisation have an Agreement with UKHO, and/or do they provide survey information to UKHO?	Satisfactory – survey information from the March 2023 survey was passed to the UKHO. Observation – there is no evidence of a completed 'bilateral agreement' with the UKHO, however, there was evidence that this agreement discussion had commenced.	Recommend – the UKHO bilateral agreement is concluded.	Observational Email Correspondence	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
GtGP 1.9.11, and 7.8	Licensing, Regulating Harbour Works and Dredging?	Does the harbour authority have the power to licence works?	Satisfactory – the Southwold Harbour Order 1933 provides the power to conduct maintenance, alteration, improvement, and extension works as well as dredge the foreshore and seabed. These provisions are included in Sections 12 and 14 of the 1933 Act. Southwold Harbour may therefore self-consent works that fall within the description of the 1933 Act. There are no powers to consent to works by other Organisations, this would be subject to a Marine Licence. An SOP for Harbour Works Consent is in place. Additionally, the Conservancy Policy under the heading 'Consents for Marine Works and Dredging' that: <i>"Marine Licences for works or dredging, will be obtained from the Marine Management Organisation if required. The authority has not yet undertaken maintenance dredging that required a Marine Licence from the Marine Management Organisation. Consent for maintenance dredging and other marine works must have the approval of Southwold Harbour"</i> .		MJS_004 MJS_031	MJS
3.8	Environmental duty	Does the Organisation understand its obligations: <ul style="list-style-type: none"> ▪ Nature conservation Section 48A of Harbours Act 1964 ▪ Obligations for SPA, SACs under Habitat Regs. ▪ Compliance with Section 40 of the Natural Environment and Rural Communities Act (NERC) 2006 [E & W] 	Satisfactory – the Southwold Harbour Marine Policy, has a section titled 'Environmental Duty' which states: <i>"The Harbour Authority acknowledges that it has a general duty to exercise its functions with regard to nature conservation and related environmental considerations, in particular with regard to the requirements of the EU Habitats Directive. If considered necessary, the Harbour Authority will seek additional powers for these purposes."</i> Observation – there is limited information for harbour users on the Harbour Authority's expected actions in regards to the environment. Whilst it is acknowledged that the harbour team provide stewardship, patrols and a hands-on approach to maintaining the harbour, there is limited dissemination of environmental information.	Recommend – the Harbour Authority considers how it might proactively engage with harbour users on environmental matters.	MJS_006	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
3.9	Civil Contingency Duty and Emergency Planning	Does the MSMS include reference to the Harbour Authority's obligations as a Category 2 responder?	Satisfactory – the MSMS, Section 3.5 identifies that requirements of the Council under the Civil Contingencies Act 2004, including involvement with the Southwold and Reydon Community Emergency Planning Group. The Council emergency plan is dated July 2023.		MJS_001	MJS
GtGP 6.2.4, 6.5	Emergency Planning / Pollution control	Does the MSMS include emergency planning and oil pollution response and carry out emergency exercises?	<p>Satisfactory – the MSMS, Section 4.3.5 identifies Pollution Prevention. East Suffolk Council, as Harbour Authority for Southwold, under the requirements of the Merchant Shipping (Oil Pollution Preparedness Response and Co-operation Convention) Regulations 1998 (OPRC), is exempt from producing an oil spill response plan but will review risk and decide on appropriate measures. The Council has purchased an Oil Pollution containment boom and absorbent pads for use at Southwold Harbour.</p> <p>Observation – there has been no recorded drills or exercises for harbour staff in dealing with an oil pollution incident at the harbour.</p> <p>Observation – Southwold Harbour is not of sufficient size to warrant an 'Oil Pollution. Preparedness, Response and Co-operation Plan' (OPRC) under the 'The Merchant Shipping (Oil Pollution Preparedness, Response and Co-operation Convention) Regulations 1998'. There is no contracted Tier 2 provider that would respond to an incident in the harbour. The Council does, however, have a contracted provider for Shoreline Pollution events.</p>	<p>Recommend – the Council should put in place a drills and exercises schedule to ensure staff have practiced for an emergency situation.</p> <p>Recommend – the Council should consider how a Tier 2 response might be undertaken in the harbour.</p>	MJS_001	MJS
3.10 – 3.11	Harbour Authority Powers and review	Has the Harbour Authority reviewed its powers?	Satisfactory – the Council has conducted a full review of its local legislation by marine lawyers.		MJS_014	MJS
3.12 – 3.14	Revising Duties and Powers	Evidence of Harbour Revision Orders, or Harbour Closure.	Satisfactory – the last Act or Order for Southwold Harbour is dated 1933, the Council has submitted a HRO which is awaiting Government determination.		MJS_014	MJS

A.4 PMSC Section 4 – Specific Duties and Powers

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
4.2	Appointment of Harbour Master	Is there a Harbour Master appointment for the port?	<p>Satisfactory – a Harbour Master and Deputy Harbour Master are in post at Southwold Harbour.</p> <p>Observation – there are no formalised appointment letters from the Harbour Authority, appointing the Harbour Master and Deputy</p>	<p>Recommend – the Harbour Authority formalises appointment of the Statutory role of Harbour Master and Deputy Harbour Master at Southwold Harbour.</p>	n/a	MJS
4.3 – 4.5	Byelaws	Does the organisation have powers to make Byelaws, are these published?	Satisfactory – the Council has a set of Byelaws in place, which are also available for download on the harbour website.		MJS_032	MJS
		Date of last byelaw review?	Satisfactory – the ‘Southwold Harbour Byelaws’ Confirmed by Secretary of State for Transport 23 June 2012.		MJS_032	MJS
4.6 – 4.7	Special Directions	Are the Harbour Master’s powers of Direction shown in the MSMS, how is delegation identified?	<p>Satisfactory – the MSMS, Section 4.3.1 states that: <i>“The Harbour Master (and any duly appointed deputy or assistant) has powers of direction to regulate the time and manner of vessels’ entry to, departure from and movement within Southwold Harbour, and related purposes. These powers are given for the purpose of giving specific directions to specific vessels for specific movements. The Harbour Master’s directions are referred to as ‘Special Directions’. Special directions are not for setting general rules but relate to specific vessels - or in an emergency, to a class of vessels - on occasions.”</i></p>		MJS_001	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
4.8	General Directions	Are the powers of General Directions available to the Harbour?	<p>No Applicable – there is no power of General Direction available to the Council at Southwold Harbour. These powers have been applied for under the HRO. It should be noted however, that the Byelaws do provide powers of direction for specific instances:</p> <ul style="list-style-type: none"> ▪ The Byelaws provide powers for the Harbour Master to direct and regulate Mooring and Anchoring (Byelaw 7), ▪ Directions related to the management of vessel navigation (Byelaw 16) ▪ Direction powers to clear the piers of persons or property causing an obstruction (Byelaw 23). 		MJS_032	MJS
		When were General Directions last reviewed?	No Applicable – there is no power of General Direction available to the Council at Southwold Harbour.		n/a	MJS
4.9	Harbour Directions	Are Harbour Directions used and published?	No Applicable – powers of Harbour Direction have not been applied for at Southwold Harbour.		n/a	MJS
4.10 GtGP 6.4	Dangerous Vessels	Does the MSMS (or other plan) make provision for giving directions to dangerous vessels?	Satisfactory – the MSMS, Section 4.3.3 identifies the powers of the Harbour Master under the Dangerous Vessels Act.		MJS_001	MJS
		Is the role of the Secretary of State’s Representative (SOSREP) acknowledged?	Satisfactory – the MSMS, Section 4.3.3 acknowledges the role of the SOSREP.		MJS_001	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
GtGP 6.2	Dangerous Goods / Substances	Are there clear requirements for declaration of dangerous substances?	<p>Satisfactory – the MSMS, Section 4.3.4 identifies the 'Dangerous Goods in Harbour Area Regulations' (DGHAR) 2016. The MSMS states that: <i>"East Suffolk Council requires that prior notice is given to bring dangerous substances into the Southwold Harbour from sea or inland. The period of notice is 72 hours. Dangerous goods and marine pollutants in packaged form are administered through the provisions of the International Maritime Dangerous Goods (IMDG) Code"</i>. There is no history of the harbour handling dangerous goods.</p> <p>Observation – at the time of audit, there was no SOP in place with a process for the reporting of, or management of, dangerous goods in the harbour.</p>	<p>Recommend – an SOP for management of dangerous goods in the harbour is created, which recognises the requirements of the DGHAR 2016 regulations.</p>	<p>MJS_001</p> <p>https://www.hse.gov.uk/ports/dangerous-goods.htm</p>	MJS
GtGP 8.4	Vessel Traffic Management	Is vessel traffic managed within the port area, how is this achieved?	<p>Satisfactory – the following provision is in place for vessel traffic management at Southwold Harbour:</p> <ul style="list-style-type: none"> ▪ A Local Port Service (LPS) is operated, 08:00-16:00 hr, seven days a week. ▪ During the summer (school holiday) period, this is extended from 08:00-18:00 hr. ▪ The harbour entrance, approach roads, RNLI Lifeboat Station and Harbour Office is monitored by Closed-Circuit Television (CCTV). ▪ Contact with LPS is by Very High Frequency (VHF) channel 12, by phone and by email. ▪ Harbour staff offer guidance and advice for harbour entry and departure, including berth allocation, weather and tidal state information. ▪ Outside of LPS hours, there is an emergency contact with the Marina Customer Services Centre in Lowestoft. 		<p>Anecdotal</p> <p>https://www.eastsuffolk.gov.uk/contact-us/southwold-harbour</p> <p>https://www.eastsuffolk.gov.uk/contact-us/customer-services</p>	MJS
		Is vessel traffic monitoring information passed to the MCA by the quickest means?	<p>Not applicable – there is no Consolidated European Reporting System (CERS) requirement at Southwold Harbour.</p>		n/a	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
Cont. GtGP 8.4	Cont. Vessel Traffic Management	Has the need for VTS/LPS been reviewed recently?	Satisfactory – the need for an LPS has been considered during marine risk assessments, the current vessel traffic management measures are a result of this evaluation.		MJS_015	MJS
GtGP 13.2.2	Drink and drugs	Do staff know what to do if they suspect that a mariner (master, pilot, seaman) has committed an offence whilst on duty?	Satisfactory – the MSMS, Section 2.4.3 titled 'Incident Involving <u>Drugs or Alcohol</u> ' explains that harbour users (vessel masters and crew) accused of being under the influence of alcohol and/or drugs may be committing an offence under Part 4 of the Railways and Transport Safety Act 2003. The Harbour Master has the power to detain a vessel if he suspects that a mariner (master or crew member) has committed a drink or drugs related offence when on duty.		MJS_001	MJS
4.11 GtGP 9.0	Pilotage	Is the port a CHA?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
		Has the requirement for pilotage been reviewed?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
4.12 GtGP 9.4	Pilotage Directions	Are Pilotage Directions issued?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
		Were stakeholders consulted during the drafting phase of the most recent Pilotage Direction?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
4.13 GtGP 9.4	Authorisation of pilots	Is the process for appointing Pilots referenced in the MSMS?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
4.14 GtGP 9.4.31	Pilot Training	Does the CHA implement the international regulations on the training and certification and operational procedures for pilots contained within International Maritime Organisation (IMO) Resolution A960?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
GtGP 9.5.43	Pilotage	Does the authority operate an effective Pilot Fatigue Management System?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
4.15 – 4.16 GtGP 9.5	Pilot Exemption Certificates	Is a clear process for the issuing of Pilotage Exemption Certificates (PEC) published?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
		Are the requirements equivalent to those for an authorised pilot?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
GtGP 8.7.15 – 8.8.10	Port Passage Plan	Is there a published passage plan?	Satisfactory – the harbour website has a downloadable ‘Harbour Entry Plan’. An Aids to Navigation and Passage Plan review was conducted on 08 November 2022 and produced as ABPmer R.4119 (ABPmer, 2023). The report contains an entry and exit passage plan, shown in Annex A of the report.		MJS_030 MJS_034	MJS
GtGP 8.10	Recreational navigation	Are recreational users of the harbour considered?	Satisfactory – recreational users are provided with harbour entry information as a downloadable ‘Harbour Entry Plan’.		MJS_030	MJS
4.17 – 4.20	Collecting Dues	Are dues clearly defined?	Satisfactory – fees and charges are advertised on the harbour website. This includes dues and services.		MJS_035	MJS
4.21-4.23	Aids to Navigation	Are defects and rectification of defects recorded?	Satisfactory – the MSMS, Section 3.3.3 titled ‘Aids to Navigation’ identifies that East Suffolk Council is an LLA. The harbour has the following AtoN: <ul style="list-style-type: none"> ▪ North Pier, green lit starboard lateral mark ▪ South Pier, red lit port lateral mark ▪ Knuckle light, 2x green vertical starboard lateral marks. ▪ Storm water outlet green and river Blyth ferry crossing green, both unlit starboard lateral marks. ▪ Yellow diamond cable crossings x5. 		MJS_001	MJS
4.24	GLA returns	Are returns made to the GLA?	Satisfactory – the harbour is inspected by Trinity House as the GLA. The last audit was conducted on 18 December 2023 and concluded that: “all was found to be in good order during the audit.” Category 3 Aids are recorded as 100% against a 97% target availability.		MJS_036	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
4.25-4.32	Wrecks, Abandoned or unseaworthy vessels	Does the MSMS refer to powers for dealing with wrecks?	Satisfactory – the MSMS, Section 3.3.4 titled 'Wrecks, Derelict and Abandoned vessels'. The powers from Section 252 of the Merchant Shipping Act are referenced. At the time of audit, one derelict vessel was in the process of being removed.		MJS_001	MJS
GtGP 9.4.17 -9.4.21	Pilot Launches	Do pilot boats meet statutory requirements and appropriate Codes?	Not applicable – the harbour is not a Competent Harbour Authority and has no Pilotage Service.		n/a	MJS
GtGP - 10	Towage Operations	Does the organisation produce towage guidelines?	Satisfactory – a towage SOP is in place and published on the harbour website. This provides guidance for vessels engaged in towage operations in the harbour.		MJS_028	MJS
		Are non-routine tows pre-approved / managed by the organisation?	Satisfactory – the towage SOP states that: <i>"When operations are proposed, other than in an emergency, a towage plan/method statement should be submitted to the Harbour Master in advance of the proposed time of commencement of the operation"</i> .			MJS
GtGP 1.9.11	Licensing Harbour Tugs?	Does the harbour authority have the power to licence tugs?	Not applicable – Southwold Harbour does not have the power to licence tugs.		n/a	MJS
GtGP - 10.4	Diving Operations (commercial)	Is there a process for managing commercial diving?	Satisfactory – a diving SOP is in place and published on the harbour website. The SOP states that: <i>"No person/s shall undertake any underwater or diving activities of any kind within the Harbour jurisdiction without valid permission to dive being granted from the Harbour Master or their representative."</i> There is no recent history of commercial diving in the harbour. The SOP contains a 'Permission to Dive' form.		MJS_023	MJS
GtGP - 10.4	Diving Operations (recreational)	Is there a process for managing recreational diving?	Satisfactory – recreational diving is not known to occur in the harbour area. The diving SOP states that: <i>"Recreational diving is not permitted within Southwold Harbour"</i> . Observation – there are no Byelaws prohibiting diving or swimming, it is not clear how the requirements of the SOP can be enforced.	Recommend – if the Harbour Authority wishes to prohibit diving, this must be included in Byelaws or as a General Direction.	MJS_023	MJS

PMSC / GtGP Reference	Subject	Evidence Required For Compliance	Evidence of Compliance	Recommendations	Evidence Reference	Auditor
GtGP - 6.7.3	Hot Work Permits	Is there a process for managing Hot Works?	Satisfactory – a hot work SOP is in place and published on the harbour website. This requires the completion of a ‘Hot work notice and declaration form’. The last issued hot work declaration was in 2017, for steel welding on a vessel.		MJS_025	MJS
GtGP – 6.7.3	Bunkering	Is there a process for managing Bunkering?	<p>Satisfactory – a bunkering SOP is in place and published on the harbour website. The harbour has diesel for bunkering vessels alongside and receives road tankers for replenishment. Vessels may also receive fuel by tanker or bower. A delivery procedure is in place.</p> <p>Observation – whilst the bunkering SOP is detailed, it does not contain a bunker check list. The effective use of bunkering checklists can help to reduce the likelihood of a pollution incident from occurring during bunkering operations. A version of this checklist can also be made available for recreational owners and operators of yachts and power boats, to assist them with their specific bunkering operations.</p>	<p>Recommend – the development of a bunker checklist, which can be used/distributed and stored once bunker operations are complete.</p>	MJS_022	MJS
GtGP – 11.3, 11.4	Regulation of Port Craft, Pilot Launches and Workboats	Does the Authority have a procedure for regulating port craft?	<p>Satisfactory – there are currently no powers to licence or regulate harbour craft as a Harbour Authority. East Suffolk Council operates a boat licensing scheme.</p> <p>Observation – to monitor commercial craft (workboats, tour operators, etc) safe working practices, it may be prudent to commence a Voluntary Registration Scheme. This will allow the Harbour Authority to carry out self-declaration assurance checks with commercial vessel owners and operators.</p>	<p>Recommend – a commercial craft voluntary registration scheme is considered.</p>	https://www.eastsuffolk.gov.uk/business/licensing/other-licences/pleasure-boats	MJS

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