



Dockyard Port of Portsmouth

Safety and Environmental Management System



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Key Definitions

Abbreviation	Description
ABP	Associated British Ports
ALARP	As Low as Reasonably Practicable
ARM	Active Risk Manager
CAP	Chief Admiralty Pilot
CAR	Corrective Action Report
CE	Chief Executives
CHA	Competent Harbour Authority
CNBSO	Chief Naval Base Safety Officer
CPD	Continuous Professional Development
DDH	Delivery Duty Holder
Dep Co	Department Co-ordinator
DfT	Department for Transport
DHR	Duty Holding Responsibilities
DGPS	Differential Global Positioning System
DKHM	Deputy King's Harbour Master
DMR	Defence Maritime Regulator
DMS	Defence Marine Services
DNS	Director Naval Support
DOC	Document of Compliance
DP	Designated Person
DPAB	Dockyard Ports Advisory Board
DPB	Dockyard Ports Board
DPMSP	Dockyard Ports Marine Safety Policy
DPP	Dockyard Port of Portsmouth
DPPO	Dockyard Port of Portsmouth Order
DPRA	Dockyard Ports Regulation Act
DSA	Defence Safety Authority
ECP	Emergency Contingency Plan
FGEN	Director Force Generation
FPMS	Future Provision of Marine Services
GLA	General Lighthouse Authority
GtGP	Guide to Good Practice
HazID	Hazard Identification
HM	Harbour Master



HMNB	Her Majesty Naval Base
HOE	Commanding Officer and Head of Establishment
HS&EP	Health, Safety & Environmental Protection
IEA	Independent Environmental Auditor
IMO	International Maritime Organisation
ISA	Independent Safety Auditor
KHM	King's Harbour Master
LLA	Local Lighthouse Authority
LPT	Local Partnering Team
LNTM	Local Notice to Mariners
LST	Local Safety Team
LTOS	Long Term Operational Schedule
MAIB	Marine Accident Investigation Branch
MarNIS	Marine Navigation Information System
MOD	Ministry of Defence
MSS	Marine Services Superintendent
NavWarn	Navigation Warning
NBC (P)	Navy Base Commander (Portsmouth)
O&A	Organisation & Arrangement
ODH	Operating Duty Holder
PANAR	Providers Aids to Navigation Availability Reporting
PCO	Port Conservancy Officer
PE	Port Endorsement
PEC	Pilotage Exemption Certificate
PIP	Portsmouth International Port
PMSC	Port Marine Safety Code
POLREP	Pollution Report
PSO	Port Safety Officer
PSBP	Port Safety Officer Assistant
PWC	Personal Water Craft
QECP	Queen Elizabeth Choice Pilot
SDH	Senior Duty Holder
SEMS	Safety and Environmental Management System
SMS	Safety Management System
SofS	Secretary of State
SofSD	Secretary of State for Defence
SOLAS	Safety of Life at Sea
SMF	Solent Maritime Framework



SQEP	Suitably Qualified and Experienced Personnel
TLBH	Top Level Budget Holder
TORs	Terms of Reference
VTSS	Vessel Traffic Services
VTSS MM	Vessel Traffic Services Movements Manager
VTSS MOVO	Vessel Traffic Services Movements Officer
VTSSO	Vessel Traffic Services Operator
VTSSS	Vessel Traffic Services Supervisor

Section 1 – Organisation and Arrangement

1.0 Document Control

Section 1 is the top-level manual in the Dockyard Port of Portsmouth Safety and Environmental Management System (SEMS). The processes, procedures and documents associated with the SEMS are part of a controlled system as described below:

Section 1 discusses the system description and department organisation.

Section 2 identifies the top-level processes conducted by the KHM department.

Section 3 details the system procedures to carry out the processes, including any supporting documentation.

A master list of all controlled documents is detailed in *Section 3 Procedure PRO 00 SEMS Master Document List*. Any suggested amendments to the SEMS documentation should be sent to the Deputy King's Harbour Master Portsmouth:

Deputy King's Harbour Master Portsmouth
Room 402
Semaphore Tower
HMNB Portsmouth
Tel: 02392 720189
graham.bishop113@mod.gov.uk

Changes to policy procedures or processes in relation to this SEMS shall be approved by KHM at an annual management review meeting and incorporated into the system electronically.

Any alterations or amendments to the SEMS shall be recorded below:

Version	Amendment Details	Date
0	Initial version of SMS introduced.	21 Dec 2001
1	Revised edition published.	17 Jul 2002
2	Revised edition published.	01 Nov 2006
3	Amendment to Document Appendix 4.7	31 Oct 2007
4	Revised edition published.	23 Jul 2012
5	Reformatted SEMS to fully meet the Dockyard Port Marine Safety Policy guidance and newly issued DSA 02-DMR-MOD Ports and Harbours Regulations for Safety and Environmental Protection.	21 Nov 2017

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6	Annual review. Amended to reflect change in 2* directorate.	13 April 2018
7	Annual Review. Amended to reflect removal of DPMSP and new DMR regulations and change of QHM.	October 2019
8	Amended to reflect change in 2* directorate.	August 2020
9	Updated to reflect new publication of Emergency Contingency Plan	January 2021
10	Change of details for QHM, PSO. Change PSBP to PSBP. Addition of PRO 5.6 - Wreck Management and Wreck Buoy Deployment	July 2021
11	Update to reflect replacement of SOLFIRE with Solent Maritime Framework	April 2022
12	Inclusion of staff signing sheet	May 2022
13	Publication of Duty Holder commitment to PMSC	July 2022
14	Change of title to KHM and minor amends	September 2022

2.0 Introduction

This SEMS governs the Safety and Environmental arrangements within the Dockyard Port of Portsmouth on behalf of the King's Harbour Master in accordance with DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection and the Port Marine Safety Code.

The Dockyard Port of Portsmouth exists to serve the defence interests of the UK. Safe operation of the Dockyard Port is essential to support the operational programme of the Royal Navy but also for the safety of the many commercial and recreational users of Dockyard waters.

The Dockyard Ports Regulation Act 1865 (DPRA) provides the regulation of Dockyard Ports and the limits of which Her Majesty may prescribe by Order in Council. An Order has been made in relation to the Dockyard Port of Portsmouth; the Dockyard Port of Portsmouth Order 2005 (DPPO). Together, both the Act and the Order prescribe KHM the power to direct not only military vessels, but commercial and pleasure craft as they deem fit.

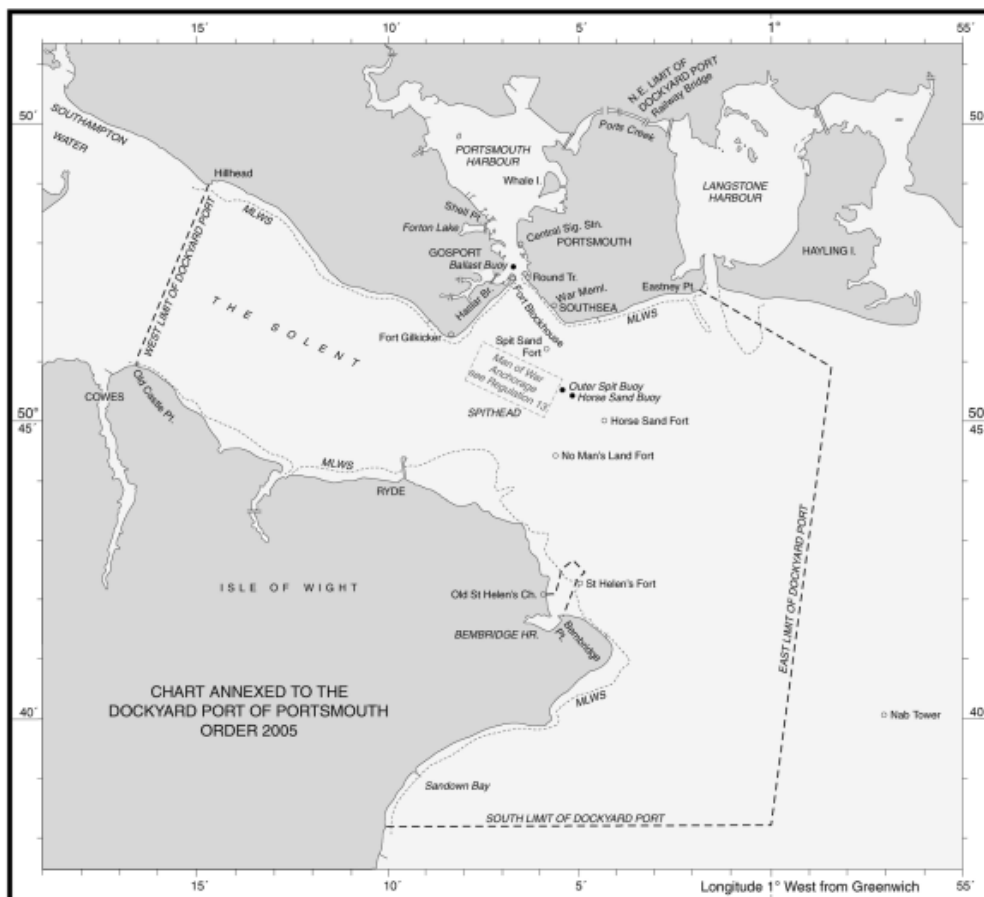


Fig 1 – Dockyard Port of Portsmouth Limits



The Port Marine Safety Code (PMSC) issued by the Department for Transport (DfT) sets out a national standard encompassing port marine safety. Although the Dockyard Port is not a harbour authority within the meaning of the Harbours, Docks, Piers and Clauses Act 1847 and the Harbours Act 1964, the Secretary of State for Defence's Policy Statement states that where legislation is not binding on the MOD, the MOD should nevertheless comply with the legislation, so far as reasonably practical or put in place something as good as, or better. In recognising this requirement, the MOD acknowledges that the PMSC provides best practice across the industry. The port is therefore operated under the principles of the PMSC and operators of marine facilities within the harbour are expected to follow the same principles. Liaison, risk assessments and investigations conducted as part of running the harbour will be conducted on these principles.

The Dockyard Ports Board (DPB) is to assure Director Force Generation (FGEN) on the safe and efficient operation of the three Naval Dockyard Ports; Clyde, Plymouth and Portsmouth. Membership of the DPB includes FGEN, the Naval Base Commanders from each Dockyard, Captain Port Operations and the Defence Marine Services (DMS) Team Leader.

This SEMS meets the requirements of guidance laid out by the Defence Maritime Regulator in the policy document DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection.

Version 5 and subsequent issues of the SEMS are based upon a rigorous and thorough identification of hazards that are not only present within the operational requirements of the Royal Navy, but also to leisure users and commercial operators within the Dockyard Port of Portsmouth. In order to comprehensively identify a variety of existing hazards, a hazard identification (HazID) day was held in October 2016 upon which the port suite of risk assessments is based. This utilised the wealth of knowledge and experience from a range of stakeholders and regular users of the Dockyard in order to highlight hazards not only specific to their individual operations, but universal hazards. The safety policies and plans are based upon such hazards, assessment of the risks and implementation of effective control measures to eliminate those risks or reduce them to 'as low as reasonably practicable' (ALARP) in order to provide a safe Dockyard for a diverse range of stakeholders.

3.0 Duty Holder Commitment Statement

As the Naval Base Commander of Her Majesty's Naval Base Portsmouth (NBC(P)), under the terms of the Port Marine Safety Code (PMSC), I am the Duty Holder for marine safety for the Dockyard Port of Portsmouth. I am committed to the principles of the PMSC, and compliance thereof, for the safe management of marine operations throughout the Dockyard Port.

I delegate functional authority for ensuring port marine safety for the Dockyard Port of Portsmouth to the King's Harbour Master (KHM) Portsmouth, who is accountable directly to me for all marine safety matters. KHM Portsmouth oversees a diverse range of functions including vessel traffic services, pilotage, maintenance of navigation aids, oil pollution response and management of marine operations across the Naval Base, Portsmouth Harbour and the wider Dockyard Port.

This SEMS describes KHM's organisation and arrangements for the management of Health, Safety and Environmental Protection (HS&EP) within the Dockyard Port of Portsmouth.

KHM has a significant role in delivering compliance with the PMSC and DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection, and is to report progress in achieving compliance with the PMSC and any problems in doing so directly to me.

As NBC(P), I recognise my legal and moral duties for HS&EP across the Base and the Dockyard Port. I require KHM Portsmouth to maintain and implement suitable and sufficient safety and environmental management arrangements to support my duty and 1SL's Generic Safety Argument.

In particular, I expect that:

- Where applicable, MOD policy and legislative requirements are fully implemented.
- All risks are identified, assessed, recorded and managed to ALARP. Where they cannot be managed, I expect KHM to elevate risk to an appropriate management level for ownership and control.
- All incidents are reported and investigated in order to identify root causes and ensure that lessons learned are promulgated and implemented to improve controls and prevent reoccurrence.
- An effective safety culture is maintained and continuously improved.
- Emergency and contingency procedures are implemented and continuously improved.



J E VOYCE OBE ADC
Commodore Royal Navy
Naval Base Commander (Portsmouth)

4.0 KHM Portsmouth Organisation Structure

The KHM Portsmouth team, headed by the King’s Harbour Master, is located within the NBC Portsmouth Organisation, part of Director Force Generation's 2* Business Unit.

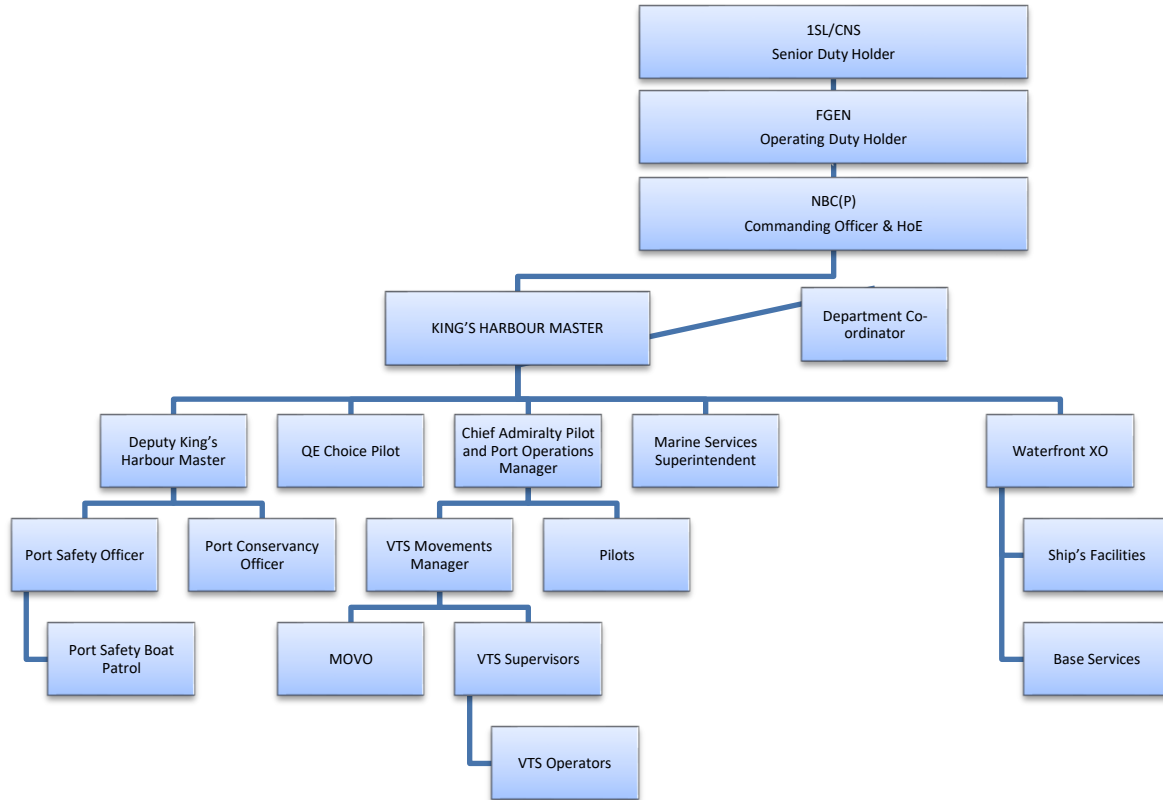


Fig 2 – KHM Portsmouth Organisation Structure

5.0 Roles and Responsibilities

In any organisation, the efficiency and effectiveness of safety and operational management is dependent upon the establishment of clearly defined roles and responsibilities. It is essential therefore that those carrying out functions within an organisation are 'Suitably Qualified and Experienced Personnel' (SQEP) in order to ensure that their duties are carried out effectively.

This section discusses the organisational structure of 1SL, FGEN and NBC(P) and the operations of the KHM department, and how those structures relate to the specific functions and requirements as set out in the SEMS.

Senior Duty Holder (SDH) – First Sea Lord (1SL)

The Secretary of State for Defence holds overall responsibility for safety and environmental protection within the MOD and within his or her Policy Statement identifies the Top-Level Budget Holder (TLBH) as the SDH for activities in his or her remit. The SDH has the responsibility to ensure that personnel are suitably experienced, trained and qualified and that there are sufficient and adequately maintained resources in order to conduct activities safely. The SDH must also ensure that effective management arrangements are designed and implemented.

The SDH is accountable, and has the right of access, to the Secretary of State.

Operating Duty Holder – Director Force Generation (FGEN)

The SDH has delegated Operating Duty Holder to FGEN for the three Naval Bases of Clyde, Devonport and Portsmouth, the Dockyard Ports and for the ranges and aircrew and Marine Services provided under the Defence Marine Services (DMS) contract. FGEN, as ODH, ensures that personnel are suitably experienced, trained and qualified and that there are sufficient and adequately maintained resources in order to conduct activities safely. FGEN must also ensure that effective management arrangements are designed and implemented.

FGEN is accountable, and has the right of access, to his or her appointing SDH.

Commanding Officer & Head of Establishment (HoE) – Naval Base Commander (Portsmouth) (NBC (P))

The Naval Base Commander (Portsmouth) is the HoE for marine safety within the Dockyard Port of Portsmouth and has been designated as a duty holder subordinate under FGENs O&A Statement. They are to promulgate a port policy and ensure the development of plans and procedures for marine safety based on the formal assessment of hazards and risks, and the development of a formal SMS. Furthermore, they are responsible for ensuring that adequate resources are allocated from their budgets to meet the policy and SMS requirements. When not available for any reason the duty holder accountability is redirected through Captain of Base (COB)

Designated Person (DP) – Captain Port Operations

Captain Port Operations is the DP for the purpose of Dockyard Port Marine Safety. His or her role is to provide independent assurance to the Dockyard Ports Board that each Dockyard's individual

Safety and Environmental Management Systems are meeting the requirements laid down in DSA 02. This is achieved by a structured audit process and continuous assessment.

King's Harbour Master – KHM

The primary purpose of KHM and his or her team is to protect the Dockyard Port of Portsmouth as required by the DPRA 1865 and the DPPO 2005, and to ensure compliance with such regulations and ancillary directions. In addition, KHM is required to operate a navigational SEMS, a requirement of FGEN and in accordance with the requirements of the Port Marine Safety Code. It is also necessary for KHM to manage port operations of the naval base so as to achieve the objectives defined in the Naval Base management plans.

Deputy King's Harbour Master - DKHM

DKHM is responsible to KHM for the delivery of a safe and legislatively compliant environment in the Dockyard Port of Portsmouth, which involves a variety of elements including the supervision of the SEMS and liaison with a wide variety of environmental agencies and other stakeholder groups. Additionally, DKHM is responsible for ensuring incidents and near misses within the Dockyard are thoroughly investigated and lessons learned identified in order to prevent reoccurrence. DKHM also deals with planning and licensing applications that affect the water and manages the safety assurance of a broad range of public events within the DPP.

Chief Admiralty Pilot and Port Operations Manager – CAPPOM

CAPPOM is responsible to KHM for the planning and safe delivery of vessel movements and berthing. As such, CAPPOM has functional authority over and line management responsibility for the movements team, Admiralty Pilots and Vessel Traffic Service Supervisors and Operators. In discharging this responsibility, CAPPOM ensures the Fleet programme is supported in the most efficient manner whilst maintaining safe operating procedures in line with the SEMS. CAPPOM is also head of profession for pilots, and therefore responsible for maintaining piloting standards.

QEC Choice Pilot - QECP

QECP has the lead in pilotage and towage preparation for the arrival and continuous operation of the new aircraft carriers HMS Queen Elizabeth and HMS Prince of Wales. He also carries out other QEC related activities as directed by KHM. In time this role and responsibility will transfer to CAPPOM.

Admiralty Pilots – AP

APs are responsible to KHM and CAPPOM for conducting pilotage of MOD vessels and other vessels coming to and from MOD berths within the Dockyard Port of Portsmouth.

Marine Services Superintendent – MSS

The MSS role is responsible to KHM for general oversight of the Marine Services contractors' performance against the Future Provision of Marine Services contract, as well as having key responsibilities to KHM's Safety and Environmental Management System. These largely fall around

an assurance function that checks that work is carried out in accordance with the contractor and port safety and environmental management plans and safety cases.

Port Safety Officer - PSO

PSO is responsible to KHM through DKHM for the delivery and operation of the Safety and Environmental Management System in accordance with DSA02. Duties include oversight and delivery of an MCA approved Oil Spill Response Plan, monitoring the capability and performance of the Tier 1 and Tier 2 Oil Spill Responders, being the KHM focus for all incident reporting and investigation, and to deputise for KHM on appropriate authority and local community safety forums. The PSO is also responsible for licensing and approval of leisure activities that take place within the Dockyard.

Port Safety Boat Patrol– PSBP

PSBP is responsible to KHM through DKHM and PSO for the delivery of the leisure and small craft elements of KHM's Safety and Environmental Management System within Portsmouth Harbour and the Dockyard Port of Portsmouth. They are also the focal point for conducting routine on water patrols of the DPP as well as assisting the PSO in risk assessing leisure activity and maintaining the DPP events calendar. PSBP also has the lead in managing and issuing PWC licenses.

Port Conservancy Officer - PCO

PCO is responsible to KHM through DKHM for the oversight and assurance of and the maintenance and delivery of navigation marks, dredging and chart updates. Additionally, the PCO manages the licensing of local mooring areas. The PCO is also expected to deputise for KHM at environmental forums, as well as ensuring the port understands all UK, European and International environmental legislation.

Vessel Traffic Services Movements Manager - VTS MM

VTS MM is currently responsible to CAPPOM for the delivery of a detailed berthing programme and planning of movements for up to 24 months ensuring support to the Royal Navy's Long Term Operational Schedule. VTS MM is also to liaise with the myriad of stakeholder groups within HMNB with regard to berthing and movements programmes and deputises for KHM at a variety of forums.

Movements Officer – MOVO

MOVO is responsible to VTS MM for the management of the short-term berthing programme including the detailed co-ordination of assets to support. MOVO is to liaise with all stakeholder groups in the delivery of movements and berthing programmes.

Vessel Traffic Service Supervisors – VTSS

VTSS are responsible to CAPPOM and KHM for the execution of the movements programme and oversight of all vessel movements in the harbour and approach channel and co-ordination with adjacent VTS authorities. They are also delegated authority to act on behalf of KHM as an Assistant King's Harbour Master with the power to issue special directions as required to satisfy the



regulations, rules and intent of the Dockyard Ports Regulation Act 1865, the Dockyard Port of Portsmouth Order 2005 (and any subsequent versions) and KHM published General Directions. The on watch VTSS is authorised to issue Local Notices to Mariners and Navigation Warnings keeping the on-call Duty King's Harbour Master informed as appropriate.

Vessel Traffic Service Operators - VTSSO

VTSSOs are responsible for manning harbour control radar and radio under the supervision of the VTSS, to provide de-confliction of movements and permissions for vessel traffic movements. They also manage signal traffic and assist in the integration of Portsmouth traffic with adjacent VTS authorities.

Department Co-ordinator – DepCo

KHM DepCo is responsible to KHM for the co-ordination of departmental activities in the following areas: human resources, including management of training records and course bookings; maintenance of records for compliance and audit purposes; public relations including management of external correspondence, website contacts, public phone lines and forums; departmental finances and secretarial duties.

Duty King's Harbour Master (Duty KHM)

Suitably qualified and experienced members of the department (currently KHM, DKHM and VTS MM) undertake duties as Duty KHM. As such they are delegated most of KHM's powers and are available to the VTSS for immediate advice and guidance. They are to be able to return to the port within 2 hours in the event of an emergency. Occasions for calling the Duty KHM are contained in Harbour Control Orders, but VTSS are directed to call if in doubt. In certain cases, KHM will also need to be called.



Section 2 – Process Areas

SEMS arrangements are aligned into ten process areas, with corresponding procedures as laid out below, identifying how safety and environmental activities are carried out in the Dockyard Port of Portsmouth on behalf of KHM.

1.0 Risk Management

Safety and Environmental risks are managed by KHM and his or her team in accordance with NBC's O&A and SofSD HS&EP policy statement.

DSA 01.1 Chapter 4 discusses risk management and the requirement that *“the SofS's Policy Statement reiterates the legal requirements that TLBHs/CEs, line managers, Commanding Officers and Heads of Establishment, Duty Holders and anyone else with responsibilities for managing Defence activities comply with UK legislation in managing HS&EP risk”*.

A range of procedures as detailed in section 3 are utilised to ensure that the requirements of DSA 01 and JSP 892 are met, and best practices outlined in the PMSC and GtGP can be incorporated into the risk management routines of the Dockyard Port. Such procedures are owned by the PSO on behalf of KHM and reviewed annually. Relevant high level risks are captured through the Risk Register (ARM) as the mandated risk management tool for Navy Command to record risks that could affect Navy Command's objectives and key outputs, as delegated by 2* directors.

2.0 Training and Certification

Mandatory training for all staff is in accordance with directives laid out by NBC(P) as Head of Establishment and broader civil service mandatory training and job specific training as specified in job TORs. All employees of KHM are expected to manage their own training programmes in accordance with their position. Training needs and standards shall be reviewed at the Management Review, as part of their performance and development review cycle and at any such time deemed necessary by KHM, DKHM or CAPPOM.

Admiralty pilots undergo their own training, development and CPD scheme under the auspices of CAP. The Admiralty Pilotage and Harbour Control Service Handbook provides general instructions, an overview of training and qualifications and other pertinent information for Admiralty Pilots.

Portsmouth International Port as the Competent Harbour Authority is the pilotage exemption certificate (PEC) issuing authority. KHM is represented at PEC examinations by KHM/DKHM/CAPPOM as available. KHM is kept apprised of current and in date PEC holders via the process detailed in PRO 2.3. Royal Navy ships are currently subject to a Pilotage and Pilotage Exemption Certificate regime as laid down in KHM Portsmouth's Pilotage and Towage Directions (Defence Related Activities).

3.0 Navigation

Within the eastern Solent there are five main ports, four of which are Competent Harbour Authorities (CHA) with their own pilotage directions:

- Portsmouth International Port
- ABP Southampton
- Cowes Harbour Authority
- Langstone Harbour

The fifth main port is the Dockyard Port of Portsmouth, controlled by the King's Harbour Master who has statutory responsibility for both the waters inside Portsmouth Harbour and for 55 square miles of the Eastern Solent. The statutory powers of KHM are extensive, including the ability to close areas to non-military traffic and impose exclusion zones around vessels; such regulations are laid down as General Directions.

Navigation is a wide and varied process overseen by KHM's department, each team member playing a fundamental role in the safe operation of the Dockyard Port. CAPPOM, assisted by APs, conducts the pilotage moves of MOD vessels, or other vessels to/from a MOD berth. Comprehensive directions govern the pilotage process and towage guidelines.

As required by DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection, Harbour Control provides a vessel traffic service in accordance with the definition described in SOLAS Chapter V – *"Vessel traffic services (VTS) contribute to safety of life at sea, safety and efficiency of navigation and protection of the marine environment, adjacent shore areas, work sites and offshore installations from possible adverse effects of maritime traffic."* Harbour Control is operated by staff trained to the UK National requirements based on IALA V-103 standards. VTSSs are delegated authority by KHM to act as an Assistant King's Harbour Master with the power to issue special directions as required to satisfy the regulations, rules and intent of the DPPO 2005 and the DPRA 1865.

In addition to services provided by KHM, rigorous inspections are conducted on a regular basis of navigation aids to ensure full compliance with the responsibility of being the local lighthouse authority. Actions are taken in accordance with procedures discussed in section 3 regarding rectification of any issues or faults identified during inspections, such as issuing a Navigation Warning.

4.0 Port Operations

Aside from the navigation specific activities KHM oversees with the Dockyard Port, there are a number of operational tasks that have a bearing on the safety and environmental performance of KHM's area of responsibility. This encompasses items such as future berthing provisions as well as management of short-term berthing programmes by the movement's team. Leisure events held within the DPPO require risk assessment submission from event organisers and approval by either the PSO or PSBP prior to authorisation. The licensing of moorings areas is overseen by the PCO with a view to monitor the size and location of such areas granted to clients by Crown Estates. The licensing of PWCs is under the remit of the PSBP who holds a leisure focused role within the department.



5.0 Conservancy

KHM employs a SQEP Port Conservancy Officer (PCO) to oversee a range of marine conservancy and environmental issues. In accordance with the PMSC, the PCO ensures that as a harbour authority and as a Local Lighthouse Authority (LLA) as accepted by the General Lighthouse Authority (GLA), Trinity House Lighthouse Service, KHM meets the requirements laid down in Section 3 – General Duties and Powers. Such aspects include regular surveying of the navigation channel and the implementation and upkeep of navigation marks. The core conservancy process is described and managed through procedures discussed in Section 3.

6.0 Enforcement

This SEMS outlines an enforcement model to ensure KHM can achieve the objectives outlined in the Commitment Statement in Section 1. This procedure is outlined in Section 3 and is in accordance with the DMR/DSA enforcement management model as described in DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection.

KHM shall consider immediate prohibition of an activity where a significant risk of harm exists or mandating longer term rectification improvement plans. Escalation shall be influenced by the timeliness and adequacy of responses to advice, the nature of the non-conformity or enforcement action. Such actions shall be reported to NBC(P) and DMR.

The enforcement policy shall be reviewed for adequacy and subsequent rectification at the annual Management Review. A copy of KHM's enforcement policy is also available publicly via KHM Portsmouth's website.

In addition to the enforcement actions outlined above, the KHM department aim to conduct regular patrols of the Dockyard Port of Portsmouth with an aim to educate the leisure users operating within KHM's jurisdiction. An enforcement log is maintained on KHM Sharepoint detailing any vessel operating in contravention of overarching policy and guidance as well as recording any vessels of concern on a watch list.

7.0 Incident Investigation

As stated in the PMSC it is *"essential that 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 primary purpose of incident investigations is to identify the root cause of the accident or incident and to prevent reoccurrence.

In accordance with DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection, this SEMS requires that all incidents within KHM's area of responsibility are recorded and investigated in order to ensure that:

- Learning opportunities are recognised, improving safety of port operations and prevent reoccurrence;
- Determine whether or not enforcement action is appropriate;

- Commercial and defence maritime authorities are notified as appropriate, and any external investigation by such agencies are supported.

PRO 7.1 outlines the procedure for incident investigation to fulfil the above requirements, and PRO 7.2 describes the close out mechanism following investigations.

8.0 Emergency Response

As described in DSA 02-DMR- Defence Maritime Regulations for Health, Safety and Environmental Protection, this SEMS identifies emergency response plans for shore support to respond to the following:

- Oil Spill or other pollution incident from a ship or quay;
- A fire on board a vessel when alongside or at anchor;
- Navigational emergencies including, but not limited to: ground, collision, berthing, docking or salvage;
- Diving emergency;
- Explosives incident;
- Any other emergency responses deemed necessary for the specific MOD port.

Hazards, controls and contingencies are all identified and monitored through the risk management procedure outlined in PRO 1.1 and documented and managed through the system MarNIS. Separate emergency response plans to capture Solent Maritime Framework arrangements are managed by the Local Resilience Forum, to which this SEMS refers.

KHM Portsmouth also have a standalone 'Emergency Response Plan' which not only allows KHM to deal with evolving emergencies, but also compliments other plans across the Dockyard Port of Portsmouth and neighbouring harbour authorities.

9.0 Governance Arrangements

KHM's team are involved in a wide range of meetings and forums to ensure the organisation and arrangements for safety and environmental management in the Dockyard Port of Portsmouth are robust and effective. The variety of meetings and forums reach a multitude of stakeholders at varying levels to ensure there is a clear communication structure to promulgate information and liaise with local interested parties. In addition, structured meetings also provide an access route for the KHM department to engage with the HoE in aspects such as port operations, escalating risk and managing infrastructure.

A tabular list of governance arrangements is outlined in Section 3 PRO 9.1 Meetings and Forums. To ensure effectiveness of the SEMS and its associated governance and assurance, KHM operates a management review process as described in PRO 9.2 SEMS Management Review.



10.0 Assurance Arrangements

KHM Portsmouth operates a three-tier assurance regime in accordance with the requirements of the PMSC, DSA 01 and 02, as well as defence and industry best practice in order for DMR to issue a DOC. These are briefly outlined below:

- 1st Party Assurance – Internal audits
- 2nd Party Assurance – Navy Command – Capt Port Ops
- 3rd Party Assurance – Independent/external – Defence Maritime Regulator

The results of any audit shall be reviewed by both NBC(P) as Commanding Officer and Head of Establishment and KHM who holds significant safety responsibilities within the Dockyard Port of Portsmouth. A formal audit report in the shape of a Corrective Action Report (CAR) shall be issued following a formal audit, inspection or investigation. Non-conformities and observations against the PMSC, Port Regulations or the SEMS shall be identified within the CAR and supplemented with objective evidence.

Corrective action may exceptionally be issued, without a formal audit or inspection where there is already sufficient and undisputable objective evidence requiring correction action.

Section 3 – Procedures and Supporting Documents

The following controlled documents, manuals and procedures are held separately to this SEMS manual; however, form a fundamental part of KHM Portsmouth’s Safety and Environmental arrangements.

Supporting Document	Owner	Location
FGEN Safety and Environmental Management Plan	FGEN	KHM Sharepoint
FGEN to NBC(P) Delegation	FGEN	KHM Sharepoint
Dockyard Port of Portsmouth Marine Safety Plan	DKHM	KHM Sharepoint & Website
Dockyard Port of Portsmouth Oil Pollution Response Plan	PSO	KHM Sharepoint
DSA 01.1 Defence, Policy for Health, Safety and Environmental Protection	DMR	Internet
DSA 02-DMR- MOD Ports & Harbours Regulations for Safety and Environmental Protection	DMR	Internet
BRd10 Navy Command Safety and Environmental Management System	Navy Safety	MOD Intranet
Emergency Contingency Plan	PSO	KHM Sharepoint
Marine Accident Investigators International Forum’s Investigation Manual	MAIIF	Incident Folder & Internet
MCA, ABP Southampton & KHM MOU	MCA, ABP, KHM	KHM Sharepoint
NBC(P) SEMS NBSG 1000	CNBSO	Base Safety Sharepoint
NBC(P) SEMS NBSG 2000	CNBSO	Base Safety Sharepoint
NBC(P) to KHM Delegation	NBC(P)	KHM Sharepoint
Port Marine Safety Code	Dft	Internet
NBSG 550 NBC(P) Environmental Management System	NBC(P)	Base Safety Sharepoint
NBSG 551 Environmental Protection	NBC(P)	Base Safety Sharepoint
Port Marine Safety Code – Guide to Good Practice	Dft	Internet
Port of Southampton Site Specific Operators Emergency Plan SOTNUSAFE	PMNUC	Hard Copy KHM Office
Portsmouth Diving Instructions NBSG 3003	CNBSO	Base Safety Sharepoint
Portsmouth International Port Pilotage Directions	PIP	Portsmouth International Port Website
Portsmouth Site Specific Operators Emergency Plan PORTNUSAFE	PMNUC	Hard Copy KHM Office
Principles of Co-operations between the Royal Navy and the Marine Accident Investigation Branch	RN & MAIB	Hard Copy KHM Office
Protocol for the use of Anchorages in Solent	KHM	KHM Sharepoint
KHM and MDP MOU Version 2	MDP	KHM Sharepoint
KHM Navigational Safety Policy	DKHM	KHM Sharepoint & Website
KHM Portsmouth Action Cards	KHM	KHM Sharepoint
KHM Portsmouth Code of Practice for the Embarkation and Disembarkation of Admiralty Pilots	KHM	KHM Sharepoint & Website
KHM Portsmouth Code of Practice for the Movement of Ammunition by Water to and from Bedenham Pier and the	KHM	KHM Sharepoint



UHAF in HMNB Portsmouth		
KHM Portsmouth Enforcement Policy	DKHM	KHM Sharepoint & Website
KHM Portsmouth Harbour Control Orders	KHM	KHM Sharepoint
KHM Portsmouth Incident Investigation Summary, Lessons Identified and Close Out	PSO	KHM Sharepoint
KHM Portsmouth Pilotage and Towage Directions (Defence Related Activities)	KHM	KHM Sharepoint & Website
KHM Portsmouth Port Guidance	KHM	KHM Sharepoint & Website
KHM Portsmouth Standing Orders	KHM	KHM Sharepoint
KHM RIB Standard Operating Procedures	PSBP	KHM Sharepoint
KHM VTS 103/3 Training Programme	VTSS	KHM Sharepoint
Solent Maritime Framework (SMF)	Local Resilience Forum	KHM Sharepoint
Terms of Reference	KHM Dept	KHM Sharepoint
UHAF Ammunitioning Guide	UHAF	Base Safety Sharepoint Site
Waste Disposal Document	BSM	Hard Copy KHM Office

Procedure	Owner	Location
PRO 00 – SEMS Master Document List	PSO	KHM Sharepoint
PRO 1.1 - Risk Identification and Control Procedure	PSO	KHM Sharepoint
PRO 1.2 – Risk Escalation	PSO	KHM Sharepoint
PRO 2.1 – Port Operations Staff	Dep Co	KHM Sharepoint
PRO 2.2 – Admiralty Pilots	CAP	KHM Sharepoint
PRO 2.3 - Pilotage Exemption Certificates	CAP	KHM Sharepoint
PRO 2.4 - Portable Pilotage Unit Training	CAP	KHM Sharepoint
PRO 3.1 – Directions, Notices & Warnings	DKHM	KHM Sharepoint
PRO 3.2 – Harbour Control Traffic Organisation Service	CAP	KHM Sharepoint
PRO 4.1 – Berthing and Movements	CAP/VTS MM	KHM Sharepoint
PRO 4.2 – Movements Signal	CAP/VTS MOVO	KHM Sharepoint
PRO 4.3 – Leisure Events	PSO	KHM Sharepoint
PRO 4.4 – Mooring and PWC Licenses	PCO & PSBP	KHM Sharepoint
PRO 5.1 – Navigation Light Checks	PCO	KHM Sharepoint
PRO 5.2 – Buoy Checks	PCO	KHM Sharepoint
PRO 5.3 – Dredge Policy	PCO	KHM Sharepoint
PRO 5.4 – Surveying Policy	PCO	KHM Sharepoint
PRO 5.5 – Harbour Works and Third Party Dredging	PCO	KHM Sharepoint
PRO 5.6 - Wreck Management and Wreck Buoy Deployment	PCO	KHM Sharepoint
PRO 6.1 – Enforcement Policy	KHM/DKHM	KHM Sharepoint
PRO 6.2 – KHM RIB Patrol	PSBP	KHM Sharepoint

Dockyard Port of Portsmouth
Safety and Environmental Management System
Uncontrolled once printed



PRO 7.1 – Incident Investigation	PSO	KHM Sharepoint
PRO 7.2 – Incident Investigation Close Out	PSO	KHM Sharepoint
PRO 8.1 – Emergency Procedures	KHM	KHM Sharepoint
PRO 9.1 – Meetings and Forums	PSO	KHM Sharepoint
PRO 9.2 – SEMS Management Review	PSO	KHM Sharepoint
PRO 10.1 – First Party Assurance	PSO	KHM Sharepoint
PRO 10.2 – Corrective Actions	KHM	KHM Sharepoint
PRO 10.3 – MSS Assurance	MSS	KHM Sharepoint
PRO 10.4 – Port Authority Working Group	DKHM	KHM Sharepoint
PRO 10.5 – Website Review	DKHM	KHM Sharepoint