



devon**audit**partnership

Internal Audit

Internal Audit Report

Port Marine Safety Code 2022-23

Tor Bay Harbour Authority

November 2022

Official



Support, Assurance & Innovation

Devon Audit Partnership

Devon Audit Partnership has been formed under a joint committee arrangement comprising of Plymouth, Torbay, Devon, Mid-Devon, South Hams & West Devon, Torridge and North Devon councils and we aim to be recognised as a high quality public sector service provider.

We work with our partners by providing professional internal audit and assurance services that will assist them in meeting their challenges, managing their risks and achieving their goals. In carrying out our work we are required to comply with the Public Sector Internal Audit Standards (PSIAS) along with other best practice and professional standards.

The Partnership is committed to providing high quality, professional customer services to all; if you have any comments or suggestions on our service, processes or standards, the Head of Partnership would be pleased to receive them at tony.d.rose@devon.gov.uk.

Confidentiality and Disclosure Clause

This report is protectively marked in accordance with the National Protective Marking Scheme. Its contents are confidential and, whilst it is accepted that issues raised may well need to be discussed with other officers within the organisation, the report itself should only be copied/circulated/disclosed to anyone outside of the organisation in line with the organisation's disclosure policies.

This report is prepared for the organisation's use. We can take no responsibility to any third party for any reliance they might place upon it.

1 Introduction

The 'Port Marine Safety Code (PMSC)' establishes a national standard for every aspect of port marine safety and aims to enhance safety for those who use or work in ports, their ships, passengers, and the environment. The code applies to all harbour authorities in the UK that have statutory powers and duties.

The Devon Audit Partnership is the appointed 'Designated Person' for Tor Bay Harbour Authority for 2022/2023.

2 Audit Opinion

Based upon the findings of this year's Audit against the current code requirements, in our opinion **Tor Bay Harbour Authority is compliant with the requirements of the Port Marine Safety Code.**

3 Executive Summary

We have undertaken a follow up of the previous findings and recommendations made in relation to 2021 and undertaken a current assessment of Tor Bay Harbour Authority against the requirements of the Port Marine Safety Code. We have examined a restricted sample of records relating to both previous recommendations made and current practices in relation to the Tor Bay Harbour Authority and its compliance with the requirements of the Code and obtained such explanations and carried out such tests as we consider necessary to confirm Management have actioned previous recommendations and remain compliant with the Code.

To the best of our knowledge and belief, having carried out appropriate checks within the remit of both the follow up and annual compliance exercise and considered responses provided to us by relevant Harbour staff, in our opinion Tor Bay Harbour Authority remains compliant with the Port Marine Safety Code.

We have noted areas where action is required (refer to appendix A)

The detailed findings and recommendations regarding these issues and less important matters are described in the Appendices. Recommendations have been categorised to aid prioritisation. Definitions of the priority categories and the assurance opinion ratings are also given in the Appendices to this report.

4 Added Value

Assurance regarding compliance with the Port Marine Safety Code.

5 Assurance Opinion on Specific Sections

The following table summarises our assurance opinions on each of the areas covered during the audit. These combine to provide the overall assurance opinion at Section 2. Definitions of the assurance opinion ratings can be found in the Appendices.

Risks / Areas Covered		Level of Assurance
1	Breach of Port Marine Safety Code	Compliant with the requirements of the Port Marine Safety Code

The findings and recommendations in relation to each of these areas are discussed in the "Detailed Audit Observations and Action Plan" appendix. This appendix records the action plan agreed by management to enhance the internal control framework and mitigate identified risks where agreed.

6 Issues for the Annual Governance Statement

The evidence obtained in internal audit reviews can identify issues in respect of risk management, systems and controls that may be relevant to the Annual Governance Statement.

In terms of this review, we are able to report that there are no issues that are arising from the examination of systems and controls that warrant inclusion in the Annual Governance Statement.

7 Scope and Objectives

Devon Audit Partnership as the 'Designated Person' undertook a review and assessment of Tor Bay Harbour Authority against the requirements as specified in the Department for Transport's Port Marine Safety Code, and the associated Port Marine Safety Code Guide to Good Practice.

8 Inherent Limitations

The opinions and recommendations contained within this report are based on our examination of restricted samples of transactions / records and our discussions with officers responsible for the processes reviewed.

9 Acknowledgements

We would like to express our thanks and appreciation to all those who provided support and assistance during the course of this audit.

Tony Rose
Head of Partnership

Appendix A

Detailed Audit Observations and Action Plan

1. Risk Area Covered: Breach of Port Marine Safety Code	Level of Assurance
<p>Opinion Statement: In our opinion, based upon the information and evidence provided we can confirm that Tor Bay Harbour Authority (TBHA) follow most of the requirements of the Port Marine Safety Code (PMSC) as outlined.</p> <ul style="list-style-type: none"> • The Harbour Authority are aware of their existing powers and duties via their terms of reference and safety plan. • An independent ‘Designated Person’ remains in place, although it is noted that this appointment will be changed for 2023 in line with the recommendations of the Maritime & Coast Guard Agency (MCA). • An effective marine safety management system, which employs formal risk assessment techniques is in place through the MarNIS and SheAssure systems. • The people employed are competent and qualified for the positions they hold, as detailed within job descriptions and associated training records. • The Harbour Authority publish a comprehensive safety plan, along with regular assessment showing the authority’s performance measured against the Code via Harbour Committee reports and minutes which are available online. • The Harbours Powers are detailed within the safety plan which includes a policy on enforcement and prosecution • Conservancy obligations are met through annual inspection and undertaking any necessary actions <p>Where actions are required to further improve compliance, we have made associated recommendations as detailed. Key risks and issues identified not already mentioned above relate to the following:</p> <ul style="list-style-type: none"> • The need for an operational Safety Committee • A change to the Duty Holders Terms of Reference • A Legislation Register • Full review of the Marine Safety Management Plan (MSMP), Emergency Plan and Tor Bay Harbour website • Full review of all Risk Assessments and Standard Operating Procedures • Training records <p>We note that there is planned dredging for a small section of Brixham Harbour, affecting a small number of fishing vessels. It is acknowledged that dredging is covered in the MSMP, that it requires statutory consent from the MMO, and that it is yet to be decided how and when this will take place.</p>	<p>Compliant with the requirements of the Port Marine Safety Code</p>

Site visits identified the following since our previous visit:

Brixham

- improvements in amount of equipment quayside although there is still some work to be done in this area
- high number of vehicles especially around the fish market and associated risk where longer term it is hoped that levelling up funding will deliver improvements
- replacement of Dock Masters with a Security Team with the latter having less harbour / marine knowledge thereby increasing risk

Paignton

- the equipment that was held on the far side of the harbour has all been removed and the boat storage on that side has been reduced and sectioned off from the public.
- Walkways are in place around the boat storage near the harbour office; it was noted that the lines on these walkways are faded and would benefit from being re-painted.

Torquay

- Princess Pier remains closed due to the yacht fire and the ongoing repairs; this is sectioned off by fencing
- New pontoons have been installed and it was noted that some of the old ones remain in the inner harbour
- It was noted that there have been a significant number of near misses with jet ski's during the summer; to monitor / control this it may be beneficial to undertake more patrols, however this would be reliant on having enough resources to undertake this and a review as to whether the patrol boat is sufficient to meet the needs of this activity.

We also note the significant safety incident of the yacht fire. The Harbour Master has stated *'As a Harbour Authority I am content that both the system and our methods were fit for purpose for the day in relation to the yacht fire in May of this year. The main crux of the day was that the wind direction was in our favour, which allowed that Harbour Authority to contain the fire to one place, thus limiting the damage. The only criticism received by me was that I did not deploy a fire authority size three hose as part of the containment for pollution during the incident. My reasoning was that we had prepared our own absorbent booms, which proved effective. The deployment of an inflated fire hose is not an endorsed method of Oil Spill Control, and this has been raised at the washup and clarity sought on whether any such deployment could be endorsed. The ensuing salvage and pollution were without dilemma from an operational point of view.'* Given that lessons learnt are being considered and past events are considered in relation to risk assessments, we make no comment or related recommendation.

No.	Observation and implications			
1.1	<p>We understand that the actual number of vessel movements across the Bay is not precisely known or recorded. As vessel traffic may be increasing in line with a greater volume of UK based holidays and associated volume of visitors to the area and water-based activities, and the increased fishing activity, consideration should be given to maintaining a record of the exact numbers of vessel traffic movement to support examination of any increased risk.</p> <p>We understand that several near misses have been reported on MarNIS especially in relation to jet skis.</p>			
	<table border="1"> <tr> <td data-bbox="197 1353 1133 1414">Recommendation</td> <td data-bbox="1144 1353 1301 1414">Priority</td> <td data-bbox="1312 1353 2134 1414">Management response and action plan including responsible officer</td> </tr> </table>	Recommendation	Priority	Management response and action plan including responsible officer
Recommendation	Priority	Management response and action plan including responsible officer		

1.1.1	Whilst we have previously been advised that <i>'it is not practicable nor are there the resources to record all vessel movements, both large and small, with the Tor Bay Harbour area. We have an AIS system in place that produces live information such as position, current speed and course and details of the vessel, however this does not provide info on smaller vessels'</i> , we continue to note that a record of vessel traffic movement is within the Code.	Medium	It remains not practicable nor are there the resources to record all vessel movements, both large and small, within the Tor Bay Harbour area. We have an AIS system in place that produces live information such as position, current speed and course and details of the vessel, however this does not provide info on smaller vessels.
No.	Observation and implications		
1.2	A PMSC Health Check was undertaken in September 2019 by the Maritime & Coast Guard Agency. In the findings / recommendations, it was noted that in relation to the Designated Person (DP) <i>'although Devon Audit Partnership is an expert auditor, they do not have a marine background as suggested by the Guide to Good Practice'</i> , with their recommendation being <i>'A Harbour Master / Deputy from another Port, perhaps under reciprocal arrangements, could provide responsibility as the DP or provide the appropriate support to the existing DP'</i> . For the latest review, to address the shortfall in marine background, the Tor Bay Harbour Master accompanied the DP on the visits to all three harbours. Currently the DP does not attend Harbour Management Group meetings but does have access to the related information; this attendance requirement should be considered in any future arrangements.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.2.1	The Harbour Committee / Senior Management should discuss as to how going forward they wish to address the issue around the appointment of the DP and attendance at Harbour Management Group meetings.	High	Going forward the Harbour Master will appoint another Harbour Master as the Designated Person; it is hoped this will be on a reciprocal arrangement. DAP will continue to provide support if needed. Target Date: 01/09/2023
No.	Observation and implications		
1.3	The Harbour Committee is the Duty Holder. Details of each committee member are shown on Torbay Council's website under the Harbour Committee and are similarly shown on Tor Bay Harbour website. However, it was found that the Tor Bay Harbour website is out of date, as it refers to a councillor who on no longer on the committee and a recent appointment is not listed. In addition, there are five advisors, but the website is only showing two. This incorrect information is also recorded in the published Marine Safety Management Plan.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.3.1	The Tor Bay Harbour Authority website and the Marine Safety Management Plan should be updated to show the current Harbour Committee membership and advisors.	Low	Agreed - The Website and the Safety Plan will have a full review and be updated where necessary - RP & SW Target Date: 01/09/2023
No.	Observation and implications		
1.4	The Harbour Committees Terms of Reference confirms that as Duty Holder the Committee are accountable for PMSC and this cannot be assigned or delegated, however it does not confirm that they are collectively and individually responsible as required by the Code.		

	Recommendation	Priority	Management response and action plan including responsible officer
1.4.1	The Harbour Committee Terms of Reference should be updated to confirm that the committee as Duty Holders for PMSC are collectively and individually responsible.	Medium	HM has new agenda item where this will be highlighted at the quarterly meetings RP
No.	Observation and implications		
1.5	Performance against PMSC compliance is published on the Harbour Committee web page and the Tor Bay Harbour website. The MCA requires that a letter is sent every 3 years confirming compliance with code, however the letter published on the website is dated 2018. It has been confirmed that a letter was sent in 2021, however this has not yet been located and published		
	Recommendation	Priority	Management response and action plan including responsible officer
1.5.1	The latest letter to MCA confirming compliance with the Code should be found and published on the Tor Bay Harbour website	Low	Agreed - Letter to be found and published - RP November 2022
No.	Observation and implications		
1.6	As previously reported, a recommendation arising from the 2019 MCA PMSC health check identified a need for a Safety Committee. This requirement was agreed and included in the associated improvement plan. We understand that this remains outstanding.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.6.1	Formulation of a Safety Committee to be progressed and implemented as agreed within the MCA health check action plan to comply with the requirements of the PMSC.	Medium	We are looking to establish a Sea Safety Committee which will include all areas of Harbour users the aim is to have this in place by Summer 2023. RP Target Date: 01/08/2023
No.	Observation and implications		
1.7	The Marine Safety Management Plan states that the Harbour Master should maintain and annually review a Legislation Register. However, currently the Legislation Register as maintained by the previous Harbour Master cannot be located.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.7.1	If the Legislation Register cannot be located, a new one should be drawn up and then reviewed annually.	High	Agreed - The aim is to establish a PMSC folder which will hold various sections including a Legislation Register; a hard copy will be held in each Harbour office as well as held electronically. RP
No.	Observation and implications		
1.8	We understand that Tor Bay Harbour Authority does not have the power to make general directions, however the Standard Operating Procedure (SOP) does refer to the process regarding the Harbour Master's ability to issue general directions in an emergency only. This has been confirmed as incorrect during this audit.		

	Recommendation	Priority	Management response and action plan including responsible officer
1.8.1	The SOP should be updated to clarify that the Harbour Master does not have the power to make General Directions even in the event of emergencies.	Low	Agreed - This links to establishing a PMSC manual where all SOP's will be reviewed and updated where necessary and copies to be held within the manual as well as electronically - RP & SW Target Date: 01/08/2023
No.	Observation and implications		
1.9	We noted that whilst management meetings are held and incorporate discussion on safety matters, these meetings are not minuted to evidence this employee consultation and decision-making process. Similarly, meetings with stakeholders and for events involving safety matters are not consistently minuted.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.9.1	Meetings should be minuted where they discuss safety matters.	Low	Agreed and will be actioned. RP
No.	Observation and implications		
1.10	The Harbour Risk Assessments are held within their SharePoint folders, MarNIS, and are also now in SheAssure. It was noted that some needed review, although it is acknowledged that these were only a day or few days out of date. We found that the Aids to Navigation risk assessment requires review.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.10.1	A full review of all Risk Assessments should be undertaken.	Medium	Agreed - this links to the PMSC manual that is going to be set up, this will include a section on Risk Assessments which will all be reviewed and updated where necessary - RP & SW Target Date: 01/09/2023
No.	Observation and implications		
1.11	The Marine Safety Management Plan (MSMP) states that the Harbour Environmental Policy is on the Tor Bay Harbour website, however this could not be located. It also states that commitment to the environment is set out in our Environmental Policy Statement, which has been signed by the Chair of the Harbour Board. Again, this could not be located.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.11.1	The Environmental Policy and signed Environmental Policy Statement should be located and published on the Tor Bay Harbour website.	Low	Agreed - SP / SW Target Date: 01/01/2023
No.	Observation and implications		

1.12	There are several trained risk assessors who are either trained at Risk Assessment Level or IOSH Level 3 Health & Safety, however it was noted that at least two of these have now passed their review date.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.12.1	The H&S Manager should review the number trained risk assessors and where needed ensure training is renewed.	Medium	Agreed and will be actioned by Mar 2023 RP
No.	Observation and implications		
1.13	Toolbox Talks are delivered to staff and those attending are required to answer basic written questions and sign/date the sheet to confirm and evidence they have understood the talk delivered. Whilst Toolbox Talks along with SOPs are recorded in SheAssure, this recording does not include a record of individuals receiving the Toolbox Talks i.e., within the SheAssure training section.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.13.1	To provide a clear record of Toolbox Talk subjects delivered to staff, consideration should be given to adding this to SheAssure training section, i.e., names, dates of training and Toolbox Talks covered.	Opportunity	Agreed – RP & SW July 2023
No.	Observation and implications		
1.14	SOPs are held within the SharePoint folders and on SheAssure, however it was noted that a number of these require review. In particular, the SOPs for Pilotage and Defective Vessel Notifications has not been updated for several years and are not listed in the document library within SharePoint. We also found that the Inspection and Maintenance of Navigational Aids requires review.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.14.1	All SOPs should be reviewed, where necessary updated and appropriately listed in the document library.	Medium	Agreed - this links to the PMSC manual that is to be established, all SOPs will be reviewed and added to the manual - RP & SW Target Date: 01/09/2023
No.	Observation and implications		
1.15	As previously reported, the MSMP refers to a Harbour Pilotage Review Working Party, however this has yet to be formally established. This working party would be responsible for undertaking the risk assessment on pilotage service provision, decisions in relation to pilotage services and compliance with the pilotage elements of the Code. In addition, the MSMP refers to the previous provider for the Pilotage service. The existing Pilotage Directions and Pilotage Manual are out of date as they refer, and detail contact information for the previous provider. The Emergency Plan referred to within the MSMP similarly mentions the previous provider for the Pilotage service.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.15.1	Management should establish the Pilotage Review working party.	Medium	Agreed - HM to complete by Summer of 2023

1.15.2	The Pilotage Directions and Pilotage Manual should be updated for the new provider.	Low	In progress and will be published by April 2023 RP
1.15.3	The Emergency Plan should be fully reviewed and published once updated.	Medium	Agreed - all plans to have a full review - RP & SW Target Date: 01/09/2023
No.	Observation and implications		
1.16	We have reported a few issues regarding the currency of the MSMP at 1.3, 1.11 and 1.15. Another matter noted is the discrepancy of frequency of review of the Harbour Master's Powers. We understand that the MSMP is in the process of being reviewed and updated by the new Harbour Master.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.16.1	As intended, the MSMP should be subject to a full review.	Medium	Agreed - all plans to have a full review - RP & SW Target Date: 01/09/2023
No.	Observation and implications		
1.17	The Towage Guidelines are available on the Tor Bay Harbour website; however, these are now out of date as they refer to the previous provider.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.17.1	The Towage Guidelines need to be updated to reflect the new service provision.	Low	Agreed - Links to previous comments re the full review of the MSMP / website etc, links to establishing a new PMSC manual
No.	Observation and implications		
1.18	Work boats are required to be certified and certificates retained; one certificate expired in March 2022 and was not identified until this audit. This has now been completed and new certificate obtained.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.18.1	It would be prudent to keep a log of workboat certification to ensure certificates are kept up to date.	Medium	Agreed and will have immediate action RP
No.	Observation and implications		
1.19	Hydrographic Surveys are conducted at regular intervals, whilst we were informed by the previous Harbour Master that a risk assessment is also provided for each commission, he was unable to locate them.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.19.1	The Risk Assessments should be obtained linked to each survey and held with centrally.	Medium	The HM has confirmed that during 23/24 new surveys will be commissioned and these along with the associated Risk

			Assessments will be held within the PMSC manual that is being set up - RB Summer 2023
No.	Observation and implications		
1.20	Training records are now held in SheAssure which details training that has been completed and any training needs that have been identified but not yet completed. We understand that there are plans to attach training certificates and training expiry dates into SheAssure, however this is yet fully completed. In addition, a previous recommendation remains outstanding in relation to evidencing training related to lone working; this should be recorded within SheAssure during the training record update noted here.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.20.1	Training records (including lone working training) should be fully updated to record expiry dates, and where relevant training certificates / evidence attached to records.	Medium	Agreed - all areas linked to PMSC will be fully reviewed and updated where necessary - RP & SW Target Date: 01/09/2023
No.	Observation and implications		
1.21	We have previously noted progress against the MCA Health Check actions and the status is detailed in Appendix B to this report.		
	Recommendation	Priority	Management response and action plan including responsible officer
1.21.1	Progress agreed actions from the MCA Health Check as outlined in Appendix B.	Medium	Agreed RP
No.	Observation and implications		
1.22	Areas for improvement were identified during the site visit as follows: <ul style="list-style-type: none"> • Brixham: high levels of vehicles and the security team versus dock masters - review of increased risk • Paignton: it was noted that the lines on walkways are faded – re-paint • Torquay: old pontoons in inner harbour and significant number of near misses with jet ski's - review of increased risk 		
	Recommendation	Priority	Management response and action plan including responsible officer
1.22.1	The areas identified in the site visit should be considered for appropriate action to mitigate the identified risks.	Medium	Agreed will action RP

Appendix B**PORT MARINE SAFETY CODE HEALTH CHECK REPORT
IMPROVEMENT PLAN AS AT 12 SEPT 19**

ITEM	IMPROVEMENT ACTION	PRIORITY	STATUS Nov 2022	ACTION TAKEN	OWNE R
DH	Duty Holders they may benefit from a programme of briefings and operational visits. Alternatively, the Committee may consider appointing a sub- group to bring more focus to Marine Safety responsibilities.	Med	Refer to Point 1.6	We are looking to establish a Sea Safety Committee which will include all areas of Harbour users the aim is to have this in place by Summer 2023.	HM
DP	A harbour master/ deputy at another port, perhaps under reciprocal arrangements, could provide responsibility as the DP or provide the appropriate support to the existing DP.	Med	Refer to Point 1.2	Going forward the Harbour Master will appoint another Harbour Master as the Designated Person; it is hoped this will be on a reciprocal arrangement. DAP will continue to provide support if needed.	HM
RA	During their visit the MCA team observed up to 4 passenger vessels manoeuvring, at one time, in the vicinity of the single landing pontoon. Brixham has a home fleet of beam trawlers adding a substantial number of ship vessel movements within the port. Torquay has a similar passenger schedule with an observed blind approach to the harbour. Both facilities are home to large marinas with uncontrolled leisure boat movements. This presents a significant risk which is currently not separately identified on the risk register. A risk assessment may point to a need to introduce appropriate directions to the MSMS.	High	Agreed Sept 2023 RP/SW	Produce Risk Assessments for each of the enclosed harbours regarding ferry and trawler movements	AP/ SP/ NB
MSMS	It may be worthwhile considering introducing weather related operating protocols particularly in relation to the domestic passenger vessels. The assessment of visibility would be an important risk factor.	High	No Action RP	It is a standard daily protocol to monitor weather conditions and take any necessary actions i.e., restrict vessel movements, its felt that this is sufficient.	HM

ITEM	IMPROVEMENT ACTION	PRIORITY	STATUS Nov 2022	ACTION TAKEN	OWNE R
RA	There were a number of waterborne activities by external contractors observed by the visiting MCA team associated with vessel maintenance and harbour infrastructure. These involved personnel working on exposed and unprotected platforms. There was no use of safety lines, lifejackets or other PPE in evidence posing a significant risk to those involved. Method statements should be supplied and approved for these operations or if submitted a level of oversight maintained by the Harbour until the operation is completed. The introduction of a Permit to Work system may be of use in these circumstances	High	No Action RP	A permit to work is already in place, additionally site access & HS is constantly being reviewed, its felt that this is sufficient.	HM
Powers of Dir'n	The issue of PECs may be a mitigating response to any risk identified when domestic passenger vessel movements are considered	Medium	No Action RP	A License to operate is already in place and it is felt this is sufficient.	HM
VHF	Brixham VHF is manned 24/7 by certificated security personnel which could provide the facility to exercise appropriate powers of direction as required to control navigation within the enclosed harbours.	High	No change from previous comment RP	NtM was issued and ferries & commercial fisherman use VHF14 when entering / leaving Torquay & Brixham	HM
Comm vx	In addition to the domestic passenger ships there are a considerable number of commercially operated angling and sight-seeing boats based in all three harbour facilities. These include 'heritage' vessels. It is important that these vessels' operations meet MCA legislative requirements. There is no system of checks found in relation to the legality of these operations.	Med	Agreed April 2023 RP	Develop a 'license to operate'	HM
Staff	None of the deputies, although experienced in their current roles, have formal qualifications. Nor is there a programme of Continuous Professional Development in evidence. The UKHMA Certificate could be viewed as an option	Low	Agreed but cost dependent RP April 2023	HM to investigate the feasibility of the Harbour Masters Diploma	HM

ITEM	IMPROVEMENT ACTION	PRIORITY	STATUS Nov 2022	ACTION TAKEN	OWNER
Acc Inv	However, one seaborne accident when 2 'heritage' vessels collided has not been addressed following investigation. A fatal accident involving a pleasure craft in 2015 was investigated by MAIB. There were no direct recommendations for the Harbour Authority outside of general advice presented by the RYA.	High	Not Agreed RP	The harbour received quarterly reports / best practice and as there was no direct recommendations for the Harbour, it is felt there is no need for further review.	SP

Definitions of Audit Assurance Opinion Levels

Assurance	Definition
Substantial Assurance	A sound system of governance, risk management and control exists, with internal controls operating effectively and being consistently applied to support the achievement of objectives in the area audited.
Reasonable Assurance	There is a generally sound system of governance, risk management and control in place. Some issues, non-compliance or scope for improvement were identified which may put at risk the achievement of objectives in the area audited.
Limited Assurance	Significant gaps, weaknesses or non-compliance were identified. Improvement is required to the system of governance, risk management and control to effectively manage risks to the achievement of objectives in the area audited.
No Assurance	Immediate action is required to address fundamental gaps, weaknesses or non-compliance identified. The system of governance, risk management and control is inadequate to effectively manage risks to the achievement of objectives in the area audited.

Definition of Recommendation Priority

Priority	Definitions
High	A significant finding. A key control is absent or is being compromised; if not acted upon this could result in high exposure to risk. Failure to address could result in internal or external responsibilities and obligations not being met.
Medium	Control arrangements not operating as required resulting in a moderate exposure to risk. This could result in minor disruption of service, undetected errors or inefficiencies in service provision. Important recommendations made to improve internal control arrangements and manage identified risks.
Low	Low risk issues, minor system compliance concerns or process inefficiencies where benefit would be gained from improving arrangements. Management should review, make changes if considered necessary or formally agree to accept the risks. These issues may be dealt with outside of the formal report during the course of the audit.
Opportunity	A recommendation to drive operational improvement which may enable efficiency savings to be realised, capacity to be created, support opportunity for commercialisation / income generation or improve customer experience. These recommendations do not feed into the assurance control environment.

Confidentiality under the National Protective Marking Scheme

Marking	Definitions
Official	The majority of information that is created or processed by the public sector. This includes routine business operations and services, some of which could have damaging consequences if lost, stolen or published in the media, but are not subject to a heightened threat profile.
Official: Sensitive	A limited subset of OFFICIAL information could have more damaging consequences if it were lost, stolen or published in the media. This subset of information should still be managed within the 'OFFICIAL' classification tier, but may attract additional measures to reinforce the 'need to know'. In such cases where there is a clear and justifiable requirement to reinforce the 'need to know', assets should be conspicuously marked: 'OFFICIAL-SENSITIVE'. All documents marked OFFICIAL: SENSITIVE must be handled appropriately and with extra care, to ensure the information is not accessed by unauthorised people.