



Australian Government

Australian Maritime Safety Authority

# Guidelines for a Safety Management System

A guide for domestic commercial vessels to  
develop their Safety Management System

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Class 1, 2, 3 and 4 Operations



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## Overview

The Australian Maritime Safety Authority (AMSA) works with domestic commercial vessels (DCV) to ensure they operate safely through the implementation and maintenance of a safety management system (SMS) for each vessel.

## Scope

These guidelines provide information and examples to help DCV owners and operators develop an SMS. Each vessel's SMS must be tailored to reflect the size, complexity and area of operation, as well as the risks unique to their vessel and its operation.

## Application

This user guide applies to all owners and operators of DCVs who are required by law to implement and maintain an SMS, including those under grandfathered arrangements and those that are exempt from needing a certificate of operation.

## Objective

The objectives of this user guide are to provide:

- information on how to develop an SMS
- information on what the requirements are under the law
- examples, tools and references of the types of information needed and how to outline these in your SMS.

## Related documents and forms

This user guide should be read in conjunction with *Marine Order 504 (Certificates of operation — national law) 2013* and the relevant links and appendices provided within the document.

## Version control

Version	Date	Nature of changes	Next review Date
1.0	30/08/2018	Release of version 1	01/08/2019

## Introduction

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Safety management systems (SMS) ensure commercial vessels are maintained and operated safely.

If you own or operate a DCV, including those under grandfathered arrangements, you are required by law to implement and maintain a SMS, including those that are exempt from needing a certificate of operation.

Safety management systems cover key elements such as safe operating procedures, the qualifications and training of the vessel's crew, vessel maintenance, emergency procedures, health and safety considerations and continuous improvement.

At any time, your SMS may be assessed by AMSA, as part of your obligations under the general safety duty obligations.

### What is a safety management system?

A safety management system is a documented and practiced approach to managing safety for the vessel, its operation all those on board.



***Each vessel's SMS must be tailored to reflect the size and complexity of your specific operation, as well as the risks unique to your vessel and its operation.***

#### ***The implementation of an SMS will result in:***

- an increased awareness of potential safety issues, operational risk and opportunities for improvement
- a better understanding from crew in how safety is managed and communicated on your vessel
- more informed decision-making
- good business practice

## Where do I start?

If you need help creating an SMS, use this guide and simple examples to develop an appropriate SMS for your operation.

If you already have procedures and plans that you effectively work with, continue to use them. This guide may help improve some aspects of your SMS and ensure it meets your legal safety requirements.

DCV owners are encouraged to involve their vessel masters and crew in the development, evaluation and review of their SMS.

The information in an SMS can be broken into the following categories:



### Vessel and Operation

- contact details
- risk assessment
- maintenance of vessel and equipment

### People

- responsibilities and designated person
- resources and personnel
- appropriate crewing

### Procedures

- on board operations
- emergency preparedness
- hazardous occurrences and non-conformances
- documentation
- review and evaluate

Throughout this document there is additional information and requirements for Class 4 vessels, as well as tools and templates. The use of the material in this document is provided as a guide to assist you when creating or reviewing your SMS.



Refer to Marine Order 504 on the AMSA website when developing your SMS.



## Vessel and operation

### Contact details

Risk assessment

Maintenance of vessel  
and equipment

### Contact details

***You can start your SMS by writing down:***

1. the name, address, phone number and email address (if any) of the owner of the vessel
2. the unique identification number for the vessel
3. the type of vessel
4. area of vessel operation
5. the contact details of a person who may be contacted at any time about the operation of the vessel.

Provide the full legal name of the organisation or person who holds, or will hold, the certificate of operation issued by AMSA. This should match the name on the official registers, such as the Australian Ship Register, for example GO Fishing Charters Pty Ltd.

### ***Key questions to consider:***

What vessel information will a surveyor or marine safety inspector need to see? You may wish to include a navigational chart or map of your area of operation.

eg

Example 1 (p.7) provides a sample of the contact details to keep on record.



**Example 1: Company and vessel details**

VESSEL DETAILS				
Vessel name:		Unique identifier number		
Vessel type:		Vessel length:		
Year of build:		Vessel draught:		
Hull material:		Service category:		
Propulsion power:	Main (make and kW)	Auxiliary (make and kW)	Serial numbers	
Passengers:	Berthed	Unberthed	Special persons	
Special conditions, exemptions:				
Classification society (if applicable):				
Licence details:				
VESSEL COMPLEMENT				
Certified crew number:		Uncertified number:		
Crew and qualifications				
Master	Engineer	GPH	Deckhand	
OPERATION SUMMARY				
Operating area	Activity	Voyage duration		
CONTACT DETAILS				
Item	Name/ ABN/ACN	Address	Telephone (24hrs)	Email
Company:				
Vessel owner:				
Designated person:				
Master / Skipper				



## Step 1 Vessel and operation

Contact details

### Risk assessment

Maintenance of vessel and equipment

## Risk assessment

### *What are the risks?*

The risk assessment is the foundation of your SMS. It identifies key daily tasks, emergency situations and risks to vessel operations that need to be effectively controlled and managed for your vessel.


A risk includes anything that may pose a hazard to people (both on and off the vessel), property (the vessel, cargo, or other structures), or the environment. It can also include financial or reputational risks.

A risk assessment must be documented and kept up to date, normally within a risk register or similar, and identify all the vessels key operational tasks and how they are controlled — the procedures of who, what, when and how.



The potential risks must consider the specific vessel, operational environment of the vessel, people on or near the vessel, and the appropriate crewing.

A copy of the risk assessment should be included in the SMS and be updated when a risk changes or new risks are identified.

 Examples 2 and 3 (p.12) provide samples of a risk assessment tool and a risk matrix.

### *How do I manage the risks?*

Once you have identified the risks, consider what you do to address the risk. These measures are called 'controls'. Review and add effective controls for each key daily task.

You need to implement the controls and they need to form part of the procedures and emergency plans.




Step 1 Vessel and operation

**Your risk assessment should:**

- be based on the best available information
- be an integral part of vessel's operations
- take human factors into account (such as stress, fatigue, communication, etc)
- consider a drug and alcohol policy
- consider the use of checklists
- continually be reviewed and improved, particularly if the vessel undertakes an operation/task that differs or the master identifies the risk level has changed
- identify how the risk assessment will change when an incident occurs
- include a fatigue management policy
- decide if you will treat the risk by either accepting, eliminating, substituting, implementing engineering controls, documenting administration controls or supplying appropriate personal protective equipment (PPE)
- include additional items required by local/state regulations for example Worksafe, state work health and safety, electrical, LPG etc.
- describe how you are going to identify the key daily tasks performed by the master and crew, together with the associated risks
- record the person who is responsible for eliminating or minimising any identified risk.

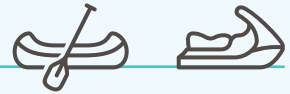
**Key questions to consider:**

- What training will be conducted for risk assessment?
- Who will conduct the risk assessment?
- Where will any new risks be recorded—for example in the vessel log book or diary? Who will record this? What happens next?
- What will you do with any risks that can't be eliminated?
- What PPE do you supply for your crew for the various conditions they are likely to face in your operation?
- When should crew wear this PPE?

 For more information refer to AMSA651 - *Risk management in the national system* download from [www.amsa.gov.au/risk-management-national-system](http://www.amsa.gov.au/risk-management-national-system).



## Step 1 Vessel and operation

**Class 4 vessels only:****Class 4 vessels need to consider these additional requirements:**

The risk assessment of the operation of a Class 4 vessel must identify or include the following:

- the boundaries of each designated cruising area of the vessel
- any navigation hazards where the vessel activity is to occur and ways to manage these hazards, including for vessel operation during the night
- the kind of marine safety equipment to be provided on the vessel, taking into account its suitability for the waters in which the vessel will operate and the skill levels of the hirer and participants
- if the vessel is to be used for a tour—the maximum ratio of hirers and participants to tour leaders and arrangements for communication between the tour leader and the hirer and participants
- arrangements to ensure that each hirer, participant and any other person operating the vessel is not impaired by drugs or alcohol
- the weather patterns in each operating area of the vessel and ways to deal with adverse weather or water conditions
- potential interactions with other persons using the designated cruising area and ways to manage them
- any restrictions on speed and direction to be observed by the hirer
- the minimum separation distances between vessels
- any additional safety precautions to be observed
- a pollution mitigation strategy.

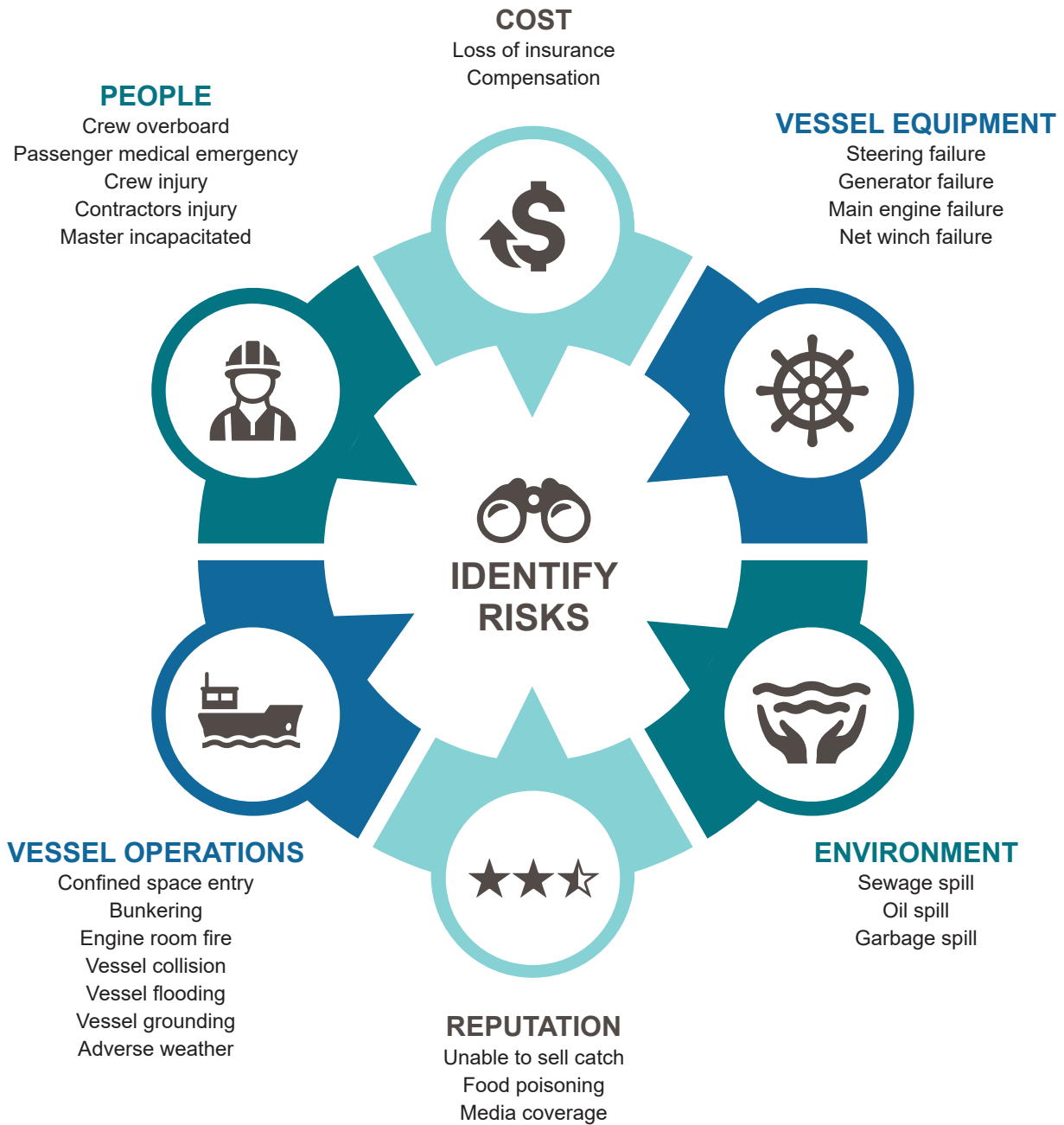
**The risk assessment must include the following:**

- if the vessel is to be used to tow skiers or persons using a towing apparatus—the additional risks that may arise due to this activity and ways to manage those risks
- if the vessel is a takeaway vessel—the operational procedures specific to takeaway activities including the risks associated with:
  - multiple designated cruising areas
  - transporting the vessel on a trailer
  - loading and unloading the vessel onto a trailer
  - the hirer and participants' competence to deal with the matters mentioned above.



**Example 2: Risk assessment tools**

A brainstorming exercise with your crew will help identify the risks in your operation on your vessel. The figure below is an example of how you can do this.



**Example 3: Risk Register** – You could write your risks in the following table to keep as a ‘risk register’. This also includes control measures to address the risk.

		Before				After			
Activity	Risk	Likelihood (without controls)	Consequence (without controls)	Risk rating	Controls	Likelihood Refer Table 1	Consequence Refer Table 2	Residual Risk Rating	Accept Yes / No
		Refer Table 1	Refer Table 2						
Launching cray pots	Caught in pot line	Possible	Catastrophic	Extreme	<ul style="list-style-type: none"> <li>• pot launching procedure</li> <li>• training and induction</li> <li>• lifejackets, sheath knife, locator beacon</li> </ul>	Unlikely / Remote	Minor	Low	Yes
General	Person overboard	Possible	Major	Extreme	<ul style="list-style-type: none"> <li>• safety briefing</li> <li>• training and induction</li> <li>• emergency plan - MOB procedures</li> <li>• lifejackets</li> </ul>	Unlikely / Remote	Minor	Low	Yes
General	Collision with another vessel	Possible	Catastrophic	Extreme	<ul style="list-style-type: none"> <li>• safety briefing</li> <li>• charter agreement</li> <li>• competency assessment</li> <li>• emergency plan</li> </ul>	Unlikely / Remote	Minor	Low	Yes
General	Collision with known (fixed) navigation hazards	Possible	Catastrophic	Extreme	<ul style="list-style-type: none"> <li>• safety briefing</li> <li>• charter agreement</li> <li>• chart that clearly defines the vessel operating area</li> <li>• known hazards within the operating area are identified on the chart</li> </ul>	Unlikely / Remote	Minor	Low	Yes

**Table 1: Likelihood**

Step 1 – What is the likelihood?

Likelihood	Explanation
Almost certain/frequent	It is expected to occur in most circumstances, or often in the life of a vessel operation.
Likely	Probably occur, but unlikely to occur often.
Possible	Might occur at some time, unlikely to occur to every vessel but may occur to a few.
Unlikely/Remote	Unlikely to occur but is possible.
Rare/improbable	So extremely remote that it is not considered as possible unless exceptional circumstances exist.

**Table 2: Consequence**

Step 2 – What are the consequences?

Consequence	Explanation
Catastrophic	Loss of life, loss of vessel, extreme environmental impact.
Major	Severe injury, major vessel damage, major environmental impact, major operational disruption missed voyages (up to and including the entire season).
Moderate	Injury requiring more than first aid, vessel damage, some environmental damage, longer operational disruption, or financial loss.
Minor	Injury requiring first aid, cosmetic vessel damage, no environmental impact, additional work, minor operational disruption, no missed voyages.
Insignificant	Injury not requiring first aid, no cosmetic vessel damage, no environmental impact, no missed voyages.

**Table 3: Risk rating matrix**

Step 3 – Use the likelihood and consequence ratings to identify the risk.

Likelihood	Consequences				
	Insignificant	Minor	Moderate	Major	Catastrophic
Almost certain	Moderate	High	Extreme	Extreme	Extreme
Likely	Moderate	High	High	Extreme	Extreme
Possible	Low	Moderate	High	Extreme	Extreme
Unlikely	Low	Low	Moderate	High	Extreme
Rare	Low	Low	Moderate	Moderate	Extreme



## Vessel and operation

Contact details

Risk assessment


**Maintenance of vessel  
and equipment**


### Maintenance of vessel and equipment

You must have documentation and records of regular planned inspection periods and maintenance activities that are appropriate for the vessel, its machinery and its equipment, including safety equipment.

***Your maintenance procedure will depend on the complexity of the vessel's maintenance needs and may take the form of:***

1. spreadsheet which includes the maintenance items, service frequency, maintenance conducted and the results
2. procedural forms, which include reporting sections and responsible persons
3. breakdown or unscheduled maintenance reporting
4. a computerised planned maintenance system
5. log book entry recording.

 Example 4 (p.16) provides a sample of a planned inspection and maintenance program.

 Additional examples of inspection and maintenance schedules are located in Appendix A, B and C.

#### ***The system should include:***

- how the vessel must be inspected to make sure its machinery and its equipment complies with the maintenance and operation requirements that apply to it
- how you will record details of each inspection and correcting each deficiency identified by an inspection
- who will conduct each inspection—this should be the person who has overall general control and management of the vessel
- how the vessel will be serviced taking into account the manufacturer's specifications and requirements
- how maintenance will comply with industry and regulations.





## Vessel and operation

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### **Key questions to consider:**

What are the key equipment and spares that need to be maintained?

What does the manufacturer recommend?

What electrical standards and requirements apply?

Have you included residual current devices in the schedule?

Are the equipment manuals on board?

Who is trained to do the maintenance?

What are the settings or expectations when you do the maintenance on the main engine?

What safety equipment needs to be maintained?

What equipment requires input from the manufacturer?

What parts of the regulations require maintenance to be done?



**Example 4: Planned inspection/maintenance program**

PLANNED INSPECTION AND MAINTENANCE PROGRAM									
Item	Daily	Weekly	Monthly	3 month	6 month	12 month	Comments	Date / initials	
Lif jackets	✓								
Dan buoys	✓								
Bucket / bailer	✓								
Fire extinguishers	✓				✓		Daily shake and visual, six monthly service		
Compass			✓				Monthly deviation check		
Torches	✓						Daily check		
First-aid kits	✓						Daily check of seal post hiring		
Navigation lights	✓						Daylight hours only but daily check of batteries		
UHF radio	✓		✓				Daily operational check		
Anchor, chain and rope	✓								
Oars	✓						Daily visual		
Outboards						✓	Serviced every 100 hours, impeller and gearbox oil changed annually		
Fuel tanks and lines	✓						Daily visual. All fuel removed daily		





**Owners, masters and designated persons responsibility and authority statement**

Resources and personnel

## People

### Owners, masters and designated persons responsibility and authority statement

*This applies only to Class 1, 2 & 3 vessels.*

**You must clearly document the responsibilities of:**

1. the owner
2. the master
3. a person who has been designated authority on their behalf

#### 1. The owner

Write a statement confirming the name and responsibilities of the owner or a person who has authority to act on their behalf. Describe the relationship and lines of formal communication between the master, the vessel's crew and company onshore staff who are responsible for the operation.

***This may take the form of:***

- an organisational chart
- a clear statement within the SMS
- position descriptions

#### ***Key questions to consider:***

Describe here who is in charge of the operation of the vessel. Who makes the decisions for the operation and for the vessel when it is at sea?

Who decides if the vessel goes out today?

Who gives briefings?

Who conducts training?

Who is responsible for conducting reviews of the operation plan, maintenance plan, survey plan and risk register?

Has the owner given full authority for the operation of the vessel to the master?

Can the engineer order spares without the owner's approval?

If you have any company or vessel safety, health or environmental policies, they may be included in this section.



## People

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### 2. The master

Write a statement confirming the masters responsibility for the vessel and its operations. This could be a position description or duty statement.

***This may include such responsibilities for:***

- investigating risks and implementing controls
- implementing and complying with the SMS
- maintenance of the vessel, its safety equipment and machinery
- commercial operations
- delivery of crew training, familiarisation and inductions
- maintaining the vessel's documentation
- command of the vessel and its safe operation
- compliance to regulations.

### 3. The designated person

Who is responsible for monitoring the safety of the vessel and operations, and ensuring appropriate resources and shore support is provided? Is this the owner or master or is it another person?

If it is another person, document a statement that confirms who they are, who is responsible for the SMS and its support, and whether it is the owner, master or a separate position.



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Appendix D provides an example of a master duty statement.

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Appendix E provides an example of a crew duty statement.

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## Step 2 People

Owners, masters and designated persons responsibility and authority statement

### Resources and personnel

## Resources and personnel

*This applies only to Class 1, 2 and 3 vessels*

### Your crew

You must ensure that you have the appropriate crew to safely operate your vessel. The owner must take into consideration:

- tasks or activities of the vessel and any particular demands these place on the master and crew, in addition to the safe navigation of the vessel
- number of persons approved to be carried on the vessel
- design characteristics of the vessel, including its general arrangements, machinery and equipment
- competency required for the use of technological aids to safety and navigation fitted in addition to the mandatory requirements
- area of operation of the vessel and expected conditions (for example weather, climate and water temperatures)
- duration of the voyage
- risk of fatigue of the master and crew (refer to fatigue guidance)
- vessel's emergency preparedness, including the vessel's emergency plan and evacuation arrangements
- maintenance requirements of the vessel, its machinery and its equipment
- risks to the environment and all persons who will be on or near the vessel
- qualifications and competencies of the master and crew, including circumstances where only the master holds mandated engineering qualifications (dual certification)
- external support available to the vessel
- requirements of key on board operations.

The owner must record they have completed this evaluation. The final appropriate crewing, that has been determined for each kind of operation of the vessel, must be recorded in the vessel's SMS, together with reasons.



Refer to 'Crewing guidance for domestic commercial vessels' on the AMSA website.



Refer to 'Managing crew fatigue' on the AMSA website.



## Step 2 People

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### **Crew training and qualifications**

Within your SMS, you should also keep a record of each crew member's qualifications, training, attended drills and duties. Document the records of any training for the master and crew, including the signed acknowledgement by the person who undertook the training, covering:

- familiarisation safety training as soon as possible when joining a vessel
- competence and safety training in key on board operations
- training in emergency procedures.

The owner must ensure that sufficient training is delivered by appropriately skilled people to all crew, so that they are fully aware and competent to safely perform their duties in relation to key on board operations and emergency plans.



Example 5 (p.23) provides a sample record of training and staff qualifications.



Appendix G provides an example of an initial safety induction training form.





## People

### **Key questions to consider:**

What is the minimum certificate of competency a master needs to hold to operate your vessel?

What qualifications do you require your crew to hold?

Is crewing appropriate for each kind of on board operation?  
(see appropriate crewing guidance)

Are crewing qualifications for key operational requirements being met?

How will you keep track of your master and crew qualifications  
(Certificates of competency)?

Where will you record those qualifications?

How will you keep track of the Certificate of competency expiry dates?

Is initial familiarisation training for crew conducted in relation to duties,  
key operations and emergency procedures?

Is a crew list available, as required?

Describe what training or familiarisation you expect a new master or  
crew member to complete before they take your vessel to sea.

Who will conduct the training of the new master and crew member?

Who will assess them and complete the final sign-off once the training  
is completed?

How often will your crew be required to conduct emergency drills  
for example at intervals not exceeding 6 months for each drill?

How will you record your crew drills, training and refresher training?





**Example 5: Training and staff qualifications record**

QUALIFICATIONS AND TRAINING – BRIEFER/GUIDE					
Staff member's name:					
Address:			Telephone:		
			Mobile:		
Date of commencement of employment:					
Role:	Briefer <input type="checkbox"/>		Guide <input type="checkbox"/>		Both <input type="checkbox"/>
Qualifications:					
Experience:					
Has provided proof of at least one year experience as master of a sailing vessel over 12 metres since gaining Master Class 5 qualification?					<input type="checkbox"/> Yes
Observe (10) safety briefings					
No.	Date	Supervisors name	No.	Date	Supervisors name
1			5		
2			6		
3			7		
4			8		
Deliver five safety briefings and guide practical experience under supervision					
Safety briefings delivered			Acted as guide		
No.	Date	Supervisor's name	No.	Date	Supervisor's name
1			5		
2			6		
3			7		
4			8		
Vessel owner and staff member sign off					
Vessel owner	Name:		Signature:		Date:
Staff member	Name:		Signature:		Date:





## Procedures

### Procedures for on board operations

Emergency preparedness

Hazardous occurrences and non-conformances

Documentation

Review and evaluate

### Procedures for on board operations

Key on board operations in the risk assessment need to have documented procedures, including how they are reviewed when conditions change.

#### **Key on board operations can include:**

1. those operations connected to the particular vessel's type and which may affect safety and pollution prevention
2. those operations which the operator considers risky if not appropriately controlled
3. those operations for which safe practices in vessel operations and safe working environments have been recommended by AMSA and other relevant marine industry bodies
4. other operations prescribed in mandatory rules and regulations.

In addition, the controls and management process identified in the risk assessment must be documented to demonstrate they are carried out safely.

These procedures must be part of the SMS and kept on board for Class 1, 2 and 3 vessels. For Class 4 vessels, this needs to be stored in a practical location.

#### **The procedures can include the following:**

- passenger briefings and inductions (mandatory for Class 1, 2 and 3 only)
- radio watch (mandatory for Class 1, 2 and 3 only)
- checklists
- references to industry codes of practice, as applicable
- pre-checks
- standard operating procedures (SOPs)
- simple procedural statements.



Appendix H provides an example of the standard operating procedures.



Appendix I provides an example of the passenger safety briefing.



Appendix J provides an example of the small boat pre departure checklist.





## Procedures

### **Key questions to consider:**

Do you need to define a 'key' operation?

What level of documentation do you need, if any?

What do you expect from your master and crew for each procedure?

How rough does the sea have to be before operations will be stopped?

What will the crew be told in each procedure, for example health and safety issues, PPE to be worn, procedure steps, procedural outcomes?

Are all visitors required to sign in?

For passengers vessels:

- where will passengers board and disembark?
- what will be completed before passengers are permitted to embark or disembark the vessel?
- how will passengers be briefed?
- how will you brief non-English speaking passengers?
- when and where will the briefing take place, for example on the wharf or jetty before departure, on the vessel before or during departure?
- how will passengers be monitored?



### **Additional requirements apply to Class 4 vessels:**

Procedures must be developed to ensure all key daily tasks being performed include pre-operating checks before the hirer or participant takes control of the vessel. Such pre-operating checks and on board procedures are to be kept on board, whenever possible.



## Procedures

Procedures for on board operations

### Emergency preparedness

Hazardous occurrences and non-conformances

Documentation

Review and evaluate

## Emergency preparedness

A documented emergency plan must be developed, reviewed and maintained on board your vessel.

Passenger vessel plans need to include passenger emergency management, including assembly points, lifejacket instructions, recording of numbers and briefings, as well as making safety information available to passengers.



A flipchart tool, AMSA581 - DCV Emergency Procedures Ideas Generator, is available as guidance from [www.amsa.gov.au/emergency-procedures-flipchart](http://www.amsa.gov.au/emergency-procedures-flipchart)

### ***The emergency plan can take the form of:***

- vessel plan showing emergency details, exits, muster points, etc.
- drawings, such a fire plan, emergency plan, etc.
- individual emergency plans
- flow charts
- flip cards.

### ***The emergency plan must include, when applicable, the following events for all vessels:***

- fire
- a person overboard
- a personal injury or other medical emergency
- master incapacitated
- loss of steering
- vessel collision
- vessel grounding
- vessel flooding
- adverse weather or water conditions
- any other circumstance identified by the risk assessment that may require an emergency response.



## Procedures

### **Key questions to consider:**

Are emergency plans developed and documented?

Are assembly stations designated?

Are passengers provided with all the relevant emergency information?

Are the emergency plans on board known and understood by the crew?

What are the emergency contact numbers for the authorities, AMSA Response Centre, harbour master, etc.?

What are the radio distress procedures?

When are drills carried out to practice the emergency plan?

How do I record all crew and passengers are present in an emergency?

*This applies only to Class 1, 2 and 3 vessels*

### **The emergency plan must include:**

- at least one assembly station—if more than 36 persons, include an alternate assembly station
- the arrangement of the assignment to each crew member to an emergency station and the recording of the presence of all persons on board.

Emergency information, including lifejacket use, to be located at the assembly station, cabins and other frequented areas.



### **Additional requirements apply to Class 4 vessels:**

Include all assembly points in the vessel's emergency plan. In addition, include a statement to ensure that procedures are provided to participants during the briefing sessions. The owner must ensure that the emergency plan includes at least one assembly station on the vessel for all persons on board, if it is practicable for an assembly station to be provided.



Procedures

Procedures for on board operations

Emergency preparedness

**Hazardous occurrences and non-conformances**

Documentation

Review and evaluate

### Hazardous occurrences and non-conformances

Near misses, non-conformances and incidents must be reported and investigated. Customer complaints should also be recorded and investigated.

Reference to the AMSA incident reporting requirements should be included in the procedures.

**Key questions to consider:**

- How will marine incidents be notified to AMSA?
- What is the policy for reporting and recording any incidents where harmful substances are discharged into the marine environment?
- Do I have the necessary forms available on board for reporting marine incidents?
- Who has the responsibilities of filling out the form?
- Do all crew understand what a marine incident is?

Develop a procedure that outlines how any identified hazardous occurrence or non-conformance is reported, recorded, and investigated.

The procedure must also include how the results of the subsequent investigation are implemented, and how the corrective action is implemented to prevent the issue repeating itself.

eg Example 6 and 7 (p.30) provide samples of how to record an incident.

Refer to incident reporting: [www.amsa.gov.au/incident-reporting](http://www.amsa.gov.au/incident-reporting)



**Example 6: Incident register**

Date of incident	Summary (or reference to incident form number)	Risk assessment reviewed	AMSA notified of marine incident
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
		<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No



**Example 7: Incident report form**

<b>Vessel details:</b>	
Describe the incident (who, what, when, where and how) – what happened?	
What created the risk?	
What actions have you taken to prevent similar incidents in future?	
<b>Risk assessment</b>	
Did similar incidents occur previously?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Was risk assessment conducted for this activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Did the risk assessment highlight any concerns with the activity?	<input type="checkbox"/> Yes <input type="checkbox"/> No
Risk assessment reviewed?	<input type="checkbox"/> Yes <input type="checkbox"/> No





## Procedures

Procedures for on board operations

Emergency preparedness

Hazardous occurrences and non-conformances

**Documentation**

Review and evaluate

## Documentation

*This applies only to Class 1, 2 and 3 vessels*

The owner should maintain written records about the operation of the vessel. You should also write a statement confirming you keep records related to the operation of the vessel in your SMS.

The owner must maintain an applicable log book, passenger manifest and crew list that is kept for a minimum of five years. The log book is an official document so it must not be mutilated, destroyed or deliberately withheld from a marine safety inspector and is not to include an illegible, false or fraudulent entry.

You should create a procedure for how you will manage log books, crew lists and passenger manifests.

### **Key questions to consider:**

Who will complete the trip reports?

Do we enter hourly/daily/trip details into the log book?

When will they be lodged?

Who will be contacted?

Where will trip reports be recorded?

What happens if the vessel does not arrive at the expected time or misses a planned radio contact?

Who will report the vessel overdue or missing and after what period will that call be made?

Do I have up to date crew records, including next of kin?

How do I accurately conduct a passenger head count? How often will I do a passenger head count?



## Procedures

### Log book

***The log book must include the information below:***

- any illness or injury of persons on board
- any marine incident, other incident or accident involving the vessel or its equipment
- any assistance rendered to another vessel
- any unusual occurrence or incident
- all communications messages sent or received for an emergency
- any operation of the vessel for recreational purposes.

The log book may include any details that the master considers relevant about the vessel for its key activities; including its position, navigation track, and a general summary of the weather it has experienced.



Appendix J provides an example of a log book



AMSA publishes an official log book (AMSA361), together with numerous other log book types. These are available through your local AMSA office or online.

### Passenger list

You are required to complete a head count, and for voyages longer than 12 hours, a passenger manifest.

***This manifest must have the following details:***

- name of the vessel
- identification number for the vessel
- the voyage
- if required in an emergency—details of any medical or safety requirements of particular passengers
- for each person on board the vessel—name, address (local and home if a person has both), email address (if any) and phone number.



Appendix K provides examples of a passenger manifest.



## Procedures

### Crew list

**The crew list must include the following information:**

- name of the vessel
- identification number of the vessel
- name, address, phone number and email address (if any) of the owner of the vessel
- name, address, phone number and email address (if any) of the employer of the crew
- name, home address, phone number and email address (if any) of each crew member
- name, address and phone number of each crew member's next of kin
- the capacity in which each crew member is employed
- each Certificate of competency or other certificate held by a crew member that is required by a standard prescribed under *Marine Order 505 (Certificates of competency — national law) 2013*
- the date each crew member joined the vessel
- the date each crew member left the vessel.



Appendix F provides an example of a crew details form.



**Additional requirements apply to Class 4 vessels:**

The owner must ensure that written records about the operation of the vessel are maintained to allow for investigation of marine incidents that must be reported to AMSA.



## Procedures

Procedures for on board operations

Emergency preparedness

Hazardous occurrences and non-conformances

Documentation

**Review and evaluate**

### Review and evaluate

You must document how you will regularly review your SMS and record any revisions.

You must review your SMS at least every 12 months. You must record the results and actions from the review.

**The record must include:**

- the signature or initials of the person making the record of the change
- a reference to the part of the document or record changed
- document reference number
- the date of the change.

**Key questions to consider:**


When will reviews be completed for example annually and/or following any accidents, incidents or notifiable events?

Who will conduct the reviews?

How will they be done and where will the findings from the reviews be recorded, for example record sheet, diary?

Who actions the results of the review?

A simple spreadsheet with the above-stated items may be sufficient to meet compliance.

 Example 8 (p.40) provides a sample of a revisions and annual review ledger.



## Procedures



### ***Class 4 vessels only:***

#### ***Class 4 vessels need to consider these additional requirements:***

There are five additional requirements for an SMS for hire and drive vessels (Class 4) which includes jet skis, kayaks, canoes etc hired for commercial purposes.

### **Participant numbers, competency, age, and health**

The owner must assess the skills, abilities and level of medical fitness needed by the hirer and participants to complete the activity on the vessel.

The owner must also determine the minimum competency, age and medical requirements, and maximum number of participants for the vessel.

#### ***The owner must consider the following:***

- minimum number of people required to safely operate the vessel
- the amount of space available for people on board the vessel
- the kind of safety equipment on board the vessel
- the load and stability limitations of the vessel
- the area in which the vessel operates
- operational risk
- state law.

#### ***You must have documented confirmation that the participant or hirer:***

- understands the operation and boating rules
- has received information on the vessel procedural information
- understands and agrees to the terms of hire
- receives a safety briefing
- checked and signed any necessary checklists.

The development of a procedure that effectively controls and manages the hirers' and participant requirements is recommended.



## Procedures



### Competencies of tour leader, guide and briefer

***The owner needs to document a statement ensuring that:***

- each tour leader, guide and briefer meets the requirements of state or territory recreational boating operator licences, where applicable
- each tour leader holds a first aid certificate in accordance with National Standard for Commercial Vessels (NSCV) Part D or another first aid qualification that AMSA considers equivalent
- each tour leader, guide and briefer for a vessel is competent to perform their duties.

The additional requirements may be included in the crew member qualification checklist or file.

A record of the training, qualifications and competency is recommended.

### Information to hirers and participants

The owner must brief hirers and participants before they take control of the vessel, and they must agree to brief all other hirers and participants.

The development of a briefing procedure, including the briefing statement, is recommended.

A checklist covering the items identified will ensure your SMS covers the key items and will assist in meeting this requirement.

***The briefing should identify risks from the risk assessment and may include:***

- any commonly known risks of completing the activity on the vessel
- a description of the area of operations including shipping channels and other local hazards such as submerged rocks which may affect the activities
- how to operate any communications system on board the vessel, the communications that the hirer or participants must have with the owner during the hire period, and how often the communication should occur
- a practical demonstration
- how to handle the vessel, including how to stop, turn and avoid propeller strike, including any kill switch



## Procedures



- rules about the consumption of drugs or alcohol on the vessel
- if it is a motorised vessel—how to start and operate the motor and what to do if it does not start
- the location and correct way to operate on board equipment including safety equipment
- requirements of state or territory waterways legislation that may affect the activities
- other procedures that are to be followed under the safety management system
- the ability of the owner to end the agreement if the vessel is operated unsafely
- how to anchor the vessel (if applicable) and where it may be anchored
- if it is a sailing vessel—sail handling, reefing requirements and furling
- how to use the vessel's steering and emergency steering equipment
- the maximum number of persons permitted on board the vessel
- guidance on tender handling (if applicable)
- the emergency procedures (the emergency plan)
- when, where and how lifejackets are to be worn
- how to use any fire equipment and fire systems
- how to operate any bilge pumps on the vessel
- the basic right of way rules to avoid collisions
- how to summon help.



Appendix L provides an example of the Master's safety briefing.



Appendix M provides an example of a vessel operational area chart.



Appendix N provides an example hirer's safe operation manual.



## Procedures



## Safety equipment to hirers and participants

The owner must ensure that their vessel/s have all required safety equipment on board when the hirer or a representative of the hirer takes control of the vessel. Each hirer and participant must be made aware of any requirements for wearing lifejackets under state or territory law.

A checklist that periodically confirms that the necessary safety equipment is on board the vessel will assist in meeting this requirement.

## Additional requirements for personal watercraft

### ***The owner needs to ensure that the hirer or participant:***

- must meet state or territory minimum age recreational licensing requirements if the personal watercraft is used outside of a pen or tour (where applicable)
- is at least 16 years old or supervised by a participant who is at least 16 years old and able to take immediate control of the personal watercraft if necessary
- does not take the personal watercraft outside its designated cruising area or pen
- is supervised by the owner or, if they are on a tour, by the tour leader.

A checklist that confirms that the additional requirements are considered and actioned will assist in meeting this requirement.

A statement confirming that all applicable additional requirements for hiring personal watercraft have been considered should be made in the SMS, including state and local law requirements.







**Example 8: SMS revisions and annual review ledger**

DATE	REVISION MADE	NAME / INITIALS



## Resources and more information

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**Appendix A: Inspection/maintenance program – example**

Inspection and maintenance schedule				
Vessel ID:		Date and time:		Provider initials:
SCHEDULED INSPECTION	DESCRIPTION	STATUS		COMMENTS
		Completed		
PRE-CHARTER INSPECTION	Lifesaving equipment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fire appliances	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Miscellaneous safety equipment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Radio communications equipment	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Navigation lights	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Compass	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Steering gear	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Main engine/sail drive unit	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Dock n Go bow thruster	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Bilge alarm and pump	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Deck pump, hose and nozzle	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Main sail and fore sail	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Main and fore sail furling devices	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Mechanical winches	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fuel tanks and system	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Electrical system	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Gas bottles	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fridge and stove	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Anchor windlass	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Hatches and closing devices	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Sea valves	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Bilges	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Fresh water tanks pressed full	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Toilet, holding tank and macerator	<input type="checkbox"/> Yes	<input type="checkbox"/> No		

*checklist continued overleaf...*

**Appendix A: Inspection/maintenance program – example – continued**

SCHEDULED INSPECTION	DESCRIPTION	STATUS		COMMENTS
		Completed		
QUARTERLY INSPECTION	Guard rails stanchions and intermediate wires	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Hatches and closing devices	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Stays, shrouds and rigging	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Main and head sails	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Head and mainsail auto tacking and furling devices	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
ANNUAL INSPECTION	Rigid inflatable tender	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Lifejackets and lights	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Engine compartment fire detection and fire smothering system	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Portable fire extinguishers	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Electrical installation	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Sail drive seals	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Weather deck	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Windows and seals	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
TWO YEARLY INSPECTION	Hull external below waterline	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Sacrificial anodes	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Rudder stock and bearing	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Sea valves and skin fittings	<input type="checkbox"/> Yes	<input type="checkbox"/> No	



**Appendix B: Vessel daily checks form – example**

VESSEL DAILY CHECK				
Vessel ID:		Date and time:		Provider initials:
SCHEDULED INSPECTION	DESCRIPTION	STATUS		COMMENTS
		Completed		
Vessel hull	Visual hull inspection	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Bungs	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Transom	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Bimini secure	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Anchor line secure	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	In water leak test	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Safety equipment and documentation	4 PFD level 100	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Dan buoy	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	First aid kit	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fire extinguisher (visual)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Bucket with lanyard	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Torches X 2 (test)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Two oars	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Anchor, chain and line	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Test of UHF radio	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Mobile phone check (on, battery life and water-proof case)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Laminated map of operating area	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Laminated SOP and emergency contacts	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Outboard and fuel	Outboard secure to transom and safety lanyard	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fuel tank visual, no leaks and fuel lines okay	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fuel tank secure to hull	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Adequate fuel	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Fuel line securely fitted to outboard	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Propeller okay and secure	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
	Engine run test and cooling water check	<input type="checkbox"/> Yes	<input type="checkbox"/> No	



### Appendix C: Vessel certificate record – example

VESSEL CERTIFICATE RECORD		
Certificate type	Issue date	Expiry date
Registration certificate		
Certificate of survey (CoS)		
Certificate of operation (CoO)		
Classification certificate (if applicable)		
Load line certificate		
Lifting gear annual test certificate		
Stability book/heel test		
Appropriate crewing document (ACD)		
Radio survey		
Compass certificate		
Life raft certificate of inspection		
EPIRB registration		
Fire extinguisher/fixed system inspection/test certificate		
Inflatable lifejacket inspection/test certificate		
Gas certificate		
Electrical report		
Inspection reports (shaft, fuel tank, welding)		



## Appendix D: Crew duties form – Master – example

### MASTER

Master name.....

Date employment commenced: ..... Date of employment cessation: .....

Address: .....

.....

Telephone: (home) .....(mobile) .....

Name of next of kin:..... Relationship:.....

Contact telephone: (home) ..... (mobile) .....

Master certificate of competency (CoC) level: .....

Copy of CoC retained as part of crew records:  Yes

#### Duties and responsibilities statement – Vessel Master

The master assumes overall responsibility for coordinating delivery of the daily duties of certified and uncertified crew when the vessel is at its berth. During commercial operations the master assumes sole command of the vessel and responsibility for the appropriate supervision of junior officers when they are fulfilling the role of vessel helmsman.

#### The vessel master is responsible for the following:

1. the safe navigation and operation of the vessel.
2. implementation of the vessel's risk and safety management systems and ensuring crew understand and comply with documented requirements.
3. implementation of the crew training and development program.
4. primary liaison between the vessel and the company's shore-based facilities.
5. the seaworthiness of the vessel prior to departure on every voyage and the sufficiency of all pre departure checks carried out by crew to ensure this outcome.
6. ensuring the veracity of the passenger verification procedure.
7. all internal communications with passengers and crew and external communications associated with the vessel's operation.
8. central control and management of responses to marine incidents and accidents in accordance with the vessel's emergency response procedures.
9. participating with the vessel owner and designated person in the SMS review process.





**Appendix E: Crew duties form – engineer – example**

**ENGINEER**

Engineer name .....

Date employment commenced: ..... Date of employment cessation: .....

Address: .....

.....

Telephone: (home) .....(mobile) .....

Name of next of kin:..... Relationship:.....

Contact telephone: (home) ..... (mobile) .....

Engineer certificate of competency (CoC) level: .....

Copy of CoC retained as part of crew records:  Yes

**Duties and responsibilities statement – Engineer**

The engineer is responsible for the safe operation and maintenance of all of the vessels’ main and auxiliary machinery and electrical installations.

The engineer’s role in electrical safety is confined to the regular review of low voltage and extra low voltage installations to assist with the identification of any faults that may require further investigation or rectification by a licensed electrical contractor. The engineer is not to perform any work at any time on the low voltage electrical system: this work is to be left to the licensed electrical contractor at all times.

**The engineer is responsible for the following:**

1. all main and auxiliary machinery pre departure checks and machinery start up and shut down procedures.
2. routine maintenance of main and auxiliary machinery and the provision of reports to the vessel master concerning the operational status of this machinery.
3. fueling of the vessel.
4. fuel monitoring and transfer.
5. filling and monitoring of fresh water tanks.
6. monitoring of the vessels sewage and grey water systems.
7. response to marine incidents as detailed in the vessel’s emergency response procedures.



### Appendix F: Crew details form – example

CREW DETAILS		Name	Address	Contact details	Next of kin	Next of kin contact	Date joined vessel	Date left vessel



**Appendix G: Initial safety induction training form – example**

CREW MEMBER			ITEMS OR SYSTEMS TO BE COVERED OFF
Master	Engineer	GPH	
✓	✓	✓	Safety equipment
✓	✓	✓	Life saving equipment
✓	✓	✓	Fire safety equipment
✓	✓	✓	Miscellaneous equipment
✓			Vessel operating controls
✓			Navigation equipment
✓		✓	Radio communications equipment
✓			Radio communications protocols ship to ship – local requirements
✓			Vessel operating system alarms
✓			Manoeuvring at berth
✓			Emergency stop procedure
✓			Voyage planning
✓			Charts and safe navigation
✓		✓	Use of helmsperson procedure
✓		✓	Anchor deployment and recovery
✓		✓	Handover to helmsperson
✓		✓	Lookout duties
✓	✓	✓	Voyage pre departure checks
	✓		Main propulsion/auxiliary machinery and watchkeeping
	✓		Electrical installations
	✓	✓	Fuel system
	✓	✓	Fire and bilge pumps
	✓	✓	Steering gear and emergency steering
	✓	✓	Sewage and grey water systems
✓	✓	✓	Pollution prevention
✓	✓	✓	Confined spaces
✓	✓	✓	Watertight subdivision and integrity
✓	✓	✓	Vessel safety management system

TRAINING DELIVERY		TRAINEE		TRAINER	
Role	Date	Name	Signature	Name	Signature
Master					
Engineer					
GPH					
Deck hand					



## Appendix H – Operating procedures examples

These are examples of safe operating procedures (or key operational tasks) that may be relevant for your operation, however there may be other procedures that you may need to include:

<input type="checkbox"/>	Anchoring
<input type="checkbox"/>	Cargo loading or discharging and load limitations
<input type="checkbox"/>	Carriage of dangerous goods and hazardous substances
<input type="checkbox"/>	Confined space entry procedures
<input type="checkbox"/>	Fueling/bunkering
<input type="checkbox"/>	Key crew duties
<input type="checkbox"/>	Loading and unloading pots, nets and equipment
<input type="checkbox"/>	Maintaining a radio watch
<input type="checkbox"/>	Manual handling
<input type="checkbox"/>	Mooring
<input type="checkbox"/>	Non-commercial use of ship, including recreational voyages
<input type="checkbox"/>	Operating critical machinery
<input type="checkbox"/>	Operating in restricted visibility and adverse weather
<input type="checkbox"/>	Operation of emergency equipment
<input type="checkbox"/>	Operation of the ship's tenders
<input type="checkbox"/>	Participating in search and rescue activities
<input type="checkbox"/>	Passenger briefing
<input type="checkbox"/>	Pre departure, sailing and arrival checks
<input type="checkbox"/>	Preventing environmental pollution, eg. spillage of oil, sewage, garbage, etc.
<input type="checkbox"/>	Record of client complaints
<input type="checkbox"/>	Recording details of passengers and crew
<input type="checkbox"/>	Route planning and position monitoring
<input type="checkbox"/>	Safety of navigation
<input type="checkbox"/>	Testing equipment
<input type="checkbox"/>	Towing
<input type="checkbox"/>	Transfer of people to or from the ship alongside wharfs
<input type="checkbox"/>	Transfer of people to or from the ships tender
<input type="checkbox"/>	Watch-keeping
<input type="checkbox"/>	Watertight integrity
Any other procedure identified in the risk assessment, as defined under term of 'key'	

Emergency plan procedures are treated separately and are not included in the list above.



**Appendix I: Passenger safety briefing form – example**

"Good morning everyone, on behalf of the AMSA Eco Tours I would like to welcome you aboard.
I ask that all passengers take a seat in the main accommodation area or on the upper deck behind the bridge as the crew and I have some important information to share with you.
Today we will be heading out of Sydney Harbour and travelling along the coastline in search of the migrating humpbacks and we should arrive back at approximately 4pm.
The weather and sea conditions are favourable with blue skies and calm seas along the coast.
We will leave soon and transit through beautiful Sydney Harbour as we make our way to sea.
<i>The Revolution</i> is a relatively new vessel and by design is a very stable vessel in normal sea conditions. But passengers should take care at all times while moving about the vessel and keep children under close supervision at all times.
Myself and the crew wish to ensure your safety at all times so please follow the directions of crew as they are given with your personal safety in mind.
While the vessel is safe it's vital that everyone on board is aware of the important safety features so that in the unlikely event of an emergency you will be suitably prepared.
While I deliver the safety briefing crew will be on hand to assist as required with practical demonstrations.
If you are seated in the main accommodation area on the lower deck your lifejackets are situated under your seat.
If you are seated on the upper deck your lifejackets are located in the forward locker immediately behind the bridge which is marked accordingly in large red print.
If instructed to wear your lifejacket in an emergency situation please put your lifejacket on first and then attend to your children, if you need assistance a crew member will be on hand.
The crew members on the upper and lower deck will now demonstrate how to put on your lifejacket. Please pay close attention during this demonstration.
There is a difference between adult and children lifejackets and the crew will now explain these distinctions.
The vessel is also equipped with a range of fire detection and protection equipment that will be used by the crew in the unlikely event of a fire.
The vessel is also equipped with four 25-person inflatable life rafts and the crew will deploy these life rafts should we need to evacuate the vessel.
The vessel has a number of emergency exits and the crew will now point these out.
In the event of an emergency, passengers must follow the directions of crew at all times. The vessel has two passenger assembly areas—the main assembly area is on the lower deck aft of the main passenger accommodation area and alternate assembly area is on the lower deck at the bow of the vessel.
In the event of an emergency you will be directed to assemble at one of these areas, please remain calm and move to these locations in an orderly fashion and await further instructions from the crew.
Instructions on how to put on your life jacket and a summary of the information covered during this briefing are displayed at the passenger accommodation areas on the lower and upper decks which the crew are now pointing out. I urge you to familiarise yourself with this important safety information.
While the weather conditions are favourable we understand there is a large swell rolling through the entrance to Sydney Harbour so during our transit through the Heads all passengers are to be seated for their personal safety.
This concludes the passenger safety briefing, we look forward to sharing the whale watch experience with you and if you have any questions please don't hesitate to ask the crew.
Morning tea and a buffet lunch will be served during the course of the day. Thank you for your attention."



**Appendix J: Log book – example**

VESSEL LOG BOOK					
Date	Voyage type	Operating area	Departure time		
Date of last monthly inspection	Incident report number	Inspection carried out by			
PASSENGER INFORMATION		CREW COMPLEMENT			
Total No.	Special needs	Comments	Master	Engineer	GPH
					D/H
CREW PERSONAL DETAILS					
Name	Address	Telephone	Next of kin (name and relationship)		Next of kin telephone
VESSEL PRE DEPARTURE CHECKS					
ENGINEER REPORT		GENERAL PURPOSE HAND REPORT		DECK HAND REPORT	
Satisfactory <input type="checkbox"/> Yes <input type="checkbox"/> No	Master's comments	Satisfactory <input type="checkbox"/> Yes <input type="checkbox"/> No	Master's comments	Satisfactory <input type="checkbox"/> Yes <input type="checkbox"/> No	Master's comments
WEATHER CONDITIONS / SEA STATE ENCOUNTERED					
Weather / sea state:					

**Appendix J: Log book – example – continued**

<b>VESSEL LOG BOOK continued</b>									
Vessel running sheet:									
<b>EMERGENCY DRILLS</b>									
Drill type					Comments				
<b>INCIDENTS, ACCIDENTS, MEDICAL EMERGENCIES</b>									
<b>RADIO COMMUNICATIONS</b>					<b>INCIDENTS</b>				
Messages sent		Messages received			Medical		Other		
Time	Details	Time	Details	Time	Details	Time	Details	Time	Details
Master's name:		Date			Copy referred to operations manager			Time	
Master's signature									



**Appendix K: Passenger manifest – example**

PASSENGER MANIFEST							
Vessel name:				Vessel number:			
PASSENGER DETAILS							
Pass No.	Passenger name	Profile <i>adult / child</i>	Special needs <i>child / disability</i>	Pass No.	Passenger name	Profile <i>adult / child</i>	Special needs <i>child / disability</i>
1				21			
2				22			
3				23			
4				24			
5				25			
6				26			
7				27			
8				28			
9				29			
10				30			
11				31			
12				32			
13				33			
14				34			
15				35			
16				36			
17				37			
18				38			
19				39			
20				40			



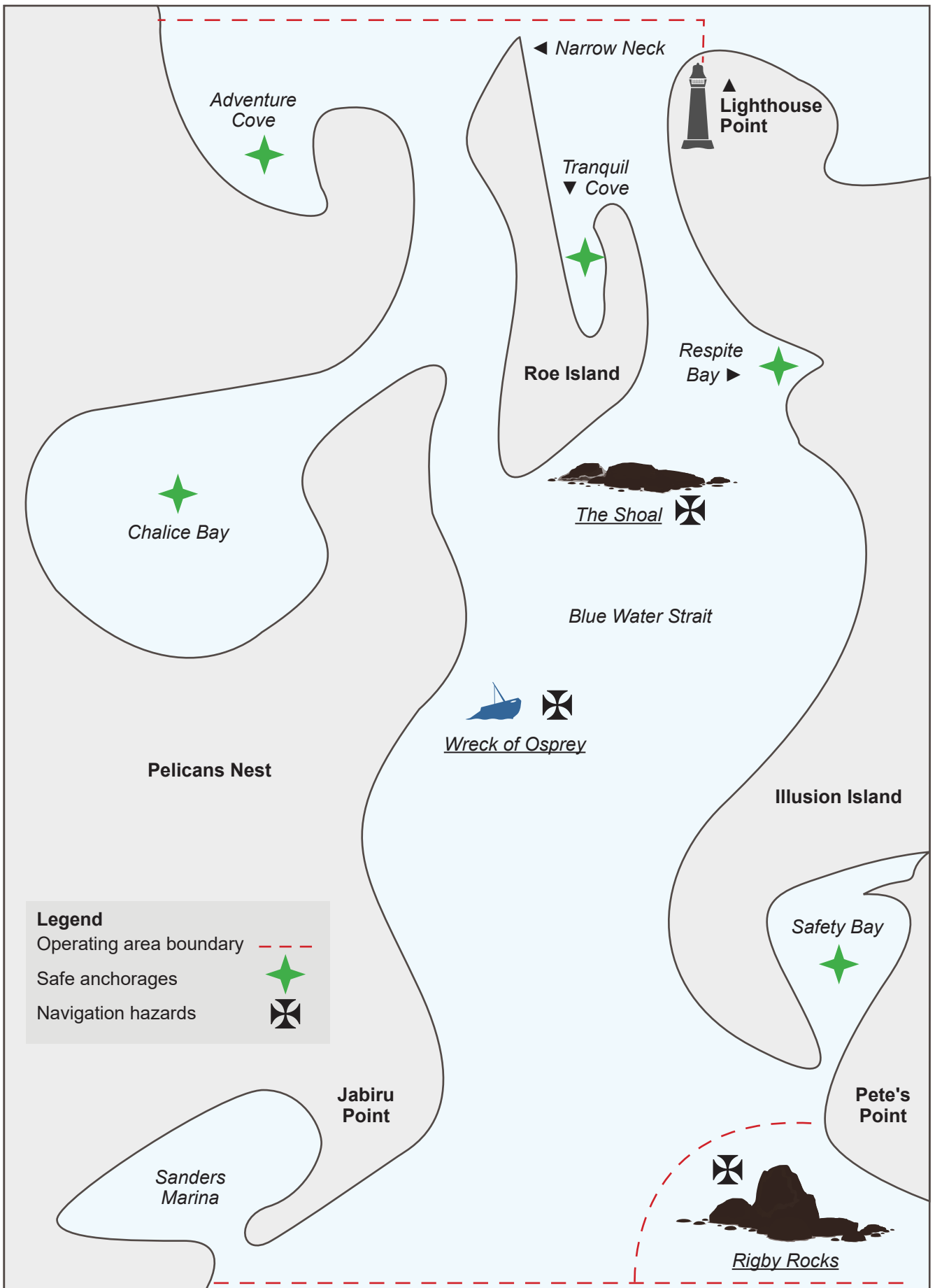


## Appendix L: Master's safety briefing – example

User pre-charter safety briefing		
Item	Safety matters	Completed
1	The nominated skipper is responsible for the safe operation of the charter yacht at all times.	<input type="checkbox"/> Yes
2	The nominated skipper is to ensure the charter yacht is operated in accordance with requirements in the Safe Operation Manual provided.	<input type="checkbox"/> Yes
3	The nominated skipper must operate the charter yacht within the limits of the charter area at all times	<input type="checkbox"/> Yes
4	The nominated skipper is to ensure the charter yacht remains within a specified safe anchorage or immediately proceeds to the nearest specified safe anchorage if winds speeds in the operating area exceed 25 knots.	<input type="checkbox"/> Yes
5	The nominated skipper must operate the charter yacht at a safe speed that is appropriate to the conditions encountered.	<input type="checkbox"/> Yes
6	The nominated skipper must pass other vessels and identified navigation hazards at a safe distance to avoid the risk of a close-quarters situation. This is of particular importance when the charter yacht is under sail.	<input type="checkbox"/> Yes
7	<ul style="list-style-type: none"> <li>• there are two known navigational hazards within the charter yacht geographical operational area.</li> <li>• the wreck of the vessel <i>Osprey</i> in the north western sector of Blue Water Strait immediately south of the entrance to Chalice Bay.</li> <li>• the wreck is marked by an isolated danger mark which is lit at night. The wreck is approximately 1 nautical mile from the coast and subject to the tidal variations is not visible at all times. The wreck's location is marked on the chart provided and you must stay clear of the wreck at all times.</li> <li>• the Shoal is approximately 1 nautical mile from the south-east tip of Roe Island and is only visible at low tide. The Shoal is marked on the chart and you must stay clear of it at all times.</li> <li>• Rigby Rocks is located immediately south-west of Pete's Point at the southern end of Illusion Island and falls outside the charter yacht geographical operating area and as such is a no go zone.</li> <li>• the rocky outcrop is near the eastern boundary of the charter yacht geographical area approximately 2 nautical miles south-west of Pete's Point. The rocky outcrop is clearly visible at all times during daylight hours in favorable weather conditions.</li> </ul>	<input type="checkbox"/> Yes
8	The lifejackets and other safety equipment aboard are provided for everyone's personal safety, the nominated skipper is to ensure they are treated accordingly.	<input type="checkbox"/> Yes
9	The nominated skipper is to use bow thruster when departing and arriving at Sanders Marina.	<input type="checkbox"/> Yes
10	The nominated skipper is to ensure the main propulsion machinery is used voyages between Sanders Marina to the waters of Blue Water Strait. The charter yacht is not to use the sail in these waters.	<input type="checkbox"/> Yes
11	From Sanders Marina to the waters of the southern end of Illusion Strait the nominated skipper is to navigate the charter yacht between the red and green navigation marks keeping to the right hand side of the channel at all times. The same applies to the return voyage to the berth at Sanders Marina at the end of the charter.	<input type="checkbox"/> Yes
12	The nominated skipper is to ensure the charter yacht stays clear of other vessels while underway and remember that operators of passive craft (surf skis, sail boards etc.) and vessels under sail have right of way over powered craft.	<input type="checkbox"/> Yes



### Appendix M: Vessel operational area chart – example





## Appendix N: Hirer's safe operation manual – example

### Introduction

Escape Yacht Charters welcomes you aboard Beneteau 45 Oceanis charter yacht *Sunset Blue* and wish you the experience of a lifetime sailing the waters of Blue Water Strait and neighbouring safe havens.

### Safe operation manual

#### **Purpose of the safe operation manual**

Your safety is paramount and safe operation manual serves to:

- familiarise clients with the yacht and its various safety features.
- provide important information to the skipper to assist him or her operate the yacht safely and in accordance with the charter agreement.

### Charter yacht operating area

#### **Limits of the charter yacht operating area**

The charter yacht operating area is within the partially smooth waters and specified safe anchorages between the coastline off Pelican Point and the western coastline of Illusion Island.

The charter yacht operating area and geographical boundaries/limits of operation are defined in the chart on the last page of this manual. A laminated/framed copy of the chart provided on each boat.

It is the skipper's responsibility to ensure the operation of the charter yacht is at all times confined to the waters that fall within the boundaries/limits of operation. If uncertain of the charter yacht's position relative to these limits of operation make immediate radio contact with the base station to seek further clarification.

#### **Charter yacht operations**

The nominated skipper is to ensure the charter yacht is only navigated between sunrise and one hour before sunset. Mooring must be within a specified safe anchorage.

#### **Nominated skippers and persons in charge**

Nominated skippers and persons in charge of a vessel at any time must comply with State law regarding blood alcohol levels. (ie. less than .05%)

### Radio equipment and communication protocols

#### **Routine radio communications with base station**

The yacht is fitted with a VHF radio for communications between the vessel and the base station and in emergencies. The radio is located in the main saloon and a laminated instruction sheet is adjacent to the radio.

The nominated skipper is required to make radio contact on VHF Ch 68 with the base station before 10 am each morning and upon anchoring in a specified safe anchorage at the end of each day.

*Note: Failure to make radio contact with the base station as required is grounds for termination of the charter agreement. The company may seek to recover costs in the event that an unnecessary response is triggered due to failure to adhere to the radio communication protocols.*

#### **Radio communications with base station in emergency situations**

The nominated skipper must, as soon as practical, immediately inform the base station by VHF radio Ch 68 in the event of any of the following situations:

- any emergency situation as defined under the Emergency Plans section of this manual.
- any other incident, accident or circumstance that presents a threat to the safety of the vessel or those aboard.

#### **Direct radio communications with emergency response agencies**

The nominated skipper may use the VHF radio to liaise directly with emergency response agencies in accordance with the emergency plans section of this manual. The use of the radio in this way is confined to the following situations:

- the nature of the emergency warrants immediate communication with emergency response agencies to ensure the safety and well-being of those aboard.
- if circumstances allow it, the base station is also contacted to alert the company to the situation.



## Appendix N: Hirer's safe operation manual – example – *continued*

### Monitoring of charter yacht movements

#### **Charter yacht global positioning system (GPS)**

The company monitors its charter yachts with a GPS tracking system. This allows quick location of vessels in an emergency situation to ensure a timely response.

The GPS system must be switched on before commencing to sail each day and switched off after VHF radio receipt of mooring confirmation each afternoon. The GPS tracking system is not monitored at night. The company maintains a VHF radio watch at all times.

### **Vessel safety equipment**

#### **Location**

The location of the safety equipment is addressed with clients during the vessel introduction briefing. The above information is also detailed at Appendix I. The nominated skipper and other persons aboard are to familiarise themselves with this information and the correct use/application of the safety equipment.

#### **Lifejackets**

The charter yacht accommodates up to six persons and is equipped with six personal flotation devices (PFDs). These are located in placarded storage compartments under the double berths in each of the cabins.

Each lifejacket is fitted with a saltwater activated light and a whistle for attracting attention. A laminated and framed copy of the lifejacket donning instructions is mounted on the wall in the main saloon adjacent to the dining table.

#### **Lifebuoy, light and buoyant line**

The charter yacht is equipped with two lifebuoys with lights and buoyant lines. The lifebuoys are located on the guard rail at the stern of the yacht immediately behind the helmsman's position in the cockpit. This equipment is only to be used in emergency situations to assist with the recovery of a person from the water or help a person to remain afloat in any other emergency situation while awaiting assistance/recovery.

#### **Tender to charter yacht**

The charter yacht includes a 4.0 metre rigid inflatable tender with a 4.5 kilowatt outboard engine. The primary purpose of the tender is to transport those aboard to the shore when moored

or anchored. The tender is fitted with hand holds on the port and starboard sides of the vessel and has level flotation consistent with relevant requirements of the national law.

The maximum number of persons that is permitted to travel in the tender at any one time is six. When six persons are being carried a maximum limit of 20 kilograms of additional miscellaneous equipment applies. Miscellaneous equipment relates to foodstuffs and any other items that may be taken ashore. The nominated skipper is to ensure compliance with these loading provisions at all times.

#### **Flares**

The charter yacht is equipped with 3 parachute distress flares, 2 red hand flares and 1 orange smoke flare which are stored in the watertight container in the port-side cupboard in the main saloon. Their location is clearly signed.

#### **Portable fire extinguishers**

The charter yacht is equipped with the following portable fire extinguishers:

- 4.5 kilogram dry chemical fire extinguisher located immediately adjacent to the access door to the main engine compartment.
- 2.1 kilogram CO<sup>2</sup> portable extinguisher located in the galley. Also refer to instructions regarding the use of the fire blanket.
- 2.1 kilogram (ABE powder) extinguisher is located in each of the three berthed accommodation areas.

#### **Engine compartment fire protection and smothering installation**

The vessel is fitted with an automatic fire detection and manually activated fire smothering system to assist with the containment of a fire in the engine compartment.

The unit will trigger a visual and audible alarm at the cockpit in the event that smoke or extreme heat is detected. Where possible the 4.5 kg portable extinguisher should be used in the first instance to control a fire. The fire smothering system should be activated if the fire cannot be brought under control with the portable fire extinguisher.

The manual trigger for the engine smothering system is next to the instrument panel on the



## Appendix N: Hirer's safe operation manual - example - *continued*

console. It is clearly labelled and activated by lifting the transparent plastic cover and operating the switch.

In the event of a fire, all persons aboard need to follow the instructions of the nominated skipper in accordance with the emergency procedure for fire and move to the assembly area on the foredeck.

### Fire hose/deck-wash

The yacht is fitted with a small power pump that provides seawater to the deck hose mounted in the forward end of the cockpit. The power pump and deck hose are for emergency use only in the event of fire. The engine must be running for the pump to work. Operating instructions for the power pump are located on the laminated sheet adjacent to the engine compartment access hatch.

### Fire blanket

A fire blanket is located in the main saloon adjacent to the gas stove in the galley. The fire blanket to help smother cooking oil fires or other fat based flare ups should they occur during the cooking process.

### Bilge pump

The charter yacht is fitted with a main engine driven bilge pump with a discharge capacity of 5.5 kilolitres per hour. The pump provides for the evacuation of water from all watertight compartments. Valves at the bilge suction manifold are fitted are clearly labelled to indicate which watertight compartment they evacuate.

In addition, all watertight compartments are fitted with automatic bilge alarms connected to submersible bilge pumps of 3 kilolitres per hour capacity. Float switches attached to these submersible pumps provide for their automatic operation.

### V Sheet and waterproof torch

A V Sheet and waterproof torch are provided and they are located with the flares.

### Boarding ladder

A stainless steel boarding ladder is installed at the stern of the charter yacht on the fold down duckboard. This allows access between the charter yacht and tender. The boarding ladder and duck board also allows entry and exit the water safely.

### First aid kit

A scale G first aid kit is located in the galley within the main saloon. The use of the first aid kit is confined to the treatment of minor cuts, burns, abrasions, or insect bites. Any injury or illness of a more serious nature is to be immediately reported to the base station in accordance with the medical emergency plan detailed in this manual.

### Compass

The charter yacht is fitted with a magnetic compass. The compass is adjusted annually by a licensed compass adjuster and a copy of the current compass deviation card is displayed in the main saloon.

### Other miscellaneous equipment

The charter yacht is equipped with the following equipment:

- anchor and cable
- binoculars
- signaling mirror
- 2 waterproof torches
- chart covering the charter yacht operating area
- clock
- depth sounder
- 2 boat hooks
- 4 Fenders
- mooring lines



## Appendix N: Hirer's safe operation manual – example – *continued*

### Main propulsion machinery

#### **Introduction**

The charter yacht is fitted with a 60 kilowatt Yanmar diesel engine and is serviced and maintained in accordance with the manufacturer's recommendations. The main engine has been checked and tested prior to your departure.

An engine manual is on board the yacht for reference. It contains instructions for the start-up and shut down of the main engine.

In the event that an engine failure occurs or a visual/audible alarm is activated at the Yanmar console the nominated skipper is to follow the steps detailed in this manual.

#### **Routine monitoring of Yanmar console and reporting of faults**

The Yanmar console is situated in the cockpit adjacent to the helmsperson's position and clearly visible from this position.

The nominated skipper should regularly monitor the alarms displayed at the console during engine operation. Should an alarm activate at any time during the course of the charter the nominated skipper is to:

- immediately contact the base station using the VHF radio to inform it of the situation.
- follow all instructions received from the base station.

### Leisure furl operation

The charter yacht is equipped with a leisure furl in boom system to mechanically raise, lower and set the main sail. Nominated skippers are instructed in the operation of the leisure furl system as part of their competency assessment.

A copy of the Leisure Furl Operation Manual is provided in the main saloon. Assistance is available by contact to base via VHF radio.

### Emergency power supply

Charter yachts are equipped with an emergency power installation capable of powering essential safety systems for a period of three hours. This includes the following:

- fire detection system
- engine compartment fire smothering activation.
- communications equipment
- mustering alarm
- electronic navigational aids, navigation lights and sound signals
- emergency lighting
- submersible bilge pumps

The emergency electrical installation is powered by a separate battery and a change-over switch is located at the electrical switchboard in the main saloon.

### Garbage/refuse

No garbage or refuse is to be discharged overboard. It must be disposed of in bins supplied at picnic area or at Escape Charter base on completion of the charter.

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