

S.V. Mohawk

Safety Management System

February 2020



1. Vessel information and Contact Details
MOHAWK REGISTRATION NUMBER 411631

VESSEL DETAILS			
Vessel Name:	MOHAWK	Unique Identifier Number:	26739Q0
Vessel type:	Passenger Sailing Yacht	Vessel Length:	11.96 Metres
Manufacturer:	Beneteau	Model	First 40.7
NSCV Risk Category:	General Risk	NSCV Service Category:	Class 2C& 2D

DESIGN and GENERAL LAYOUT					
MAIN ENGINE		Machinery Space	Fire Detection and Protection		Decks
Single Screw	29.1Kw	Unmanned	Machinery Space Enclosed manual Fire Extinguishers		Single
OPERATION SUMMARY					
Operating Area	Activity	Voyage Duration	Number of Passengers	Core Compliment	Appropriate Crew
All areas	Cruising and Training	Unlimited	11	Certified	Un-Certified
				Master	To be adjusted based on distance, Time and experience
				RYA Yachtmaster	

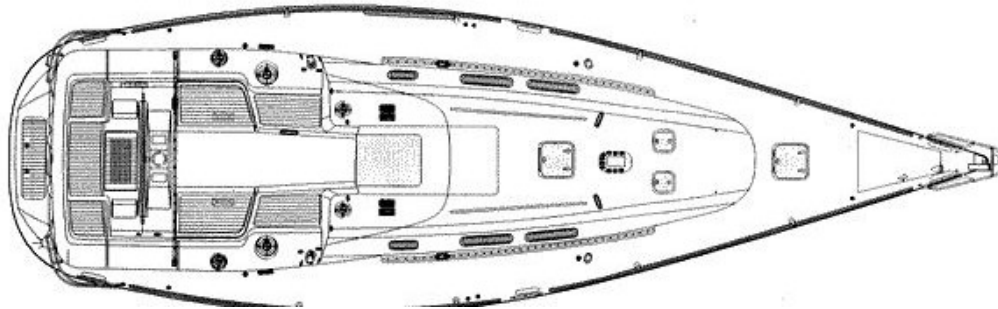
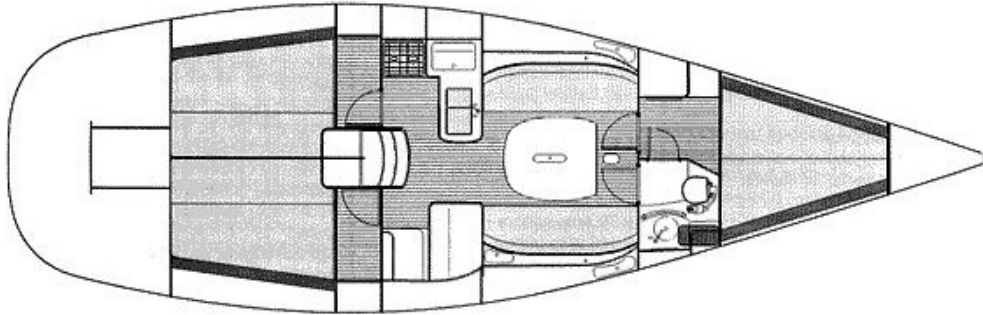
CONTACT DETAILS				
Vessel Owner	Name	Address	Telephone	Email
	Terence Smith	Po Box 890 Cannonvale 4802	0447222767	t@mainstaysailing.com.au
Designated Person	Terence Smith	Po Box 890 Cannonvale 4802	0447222767	t@mainstaysailing.com.au

Hull Type:	Fin w/bulb & spade rudder		Rig Type:	Fractional Sloop	
LOA:	39.25' / 11.96m		LWL:	34.83' / 10.62m	
Beam:	12.33' / 3.76m		Listed SA:	806 ft ² / 74.88 m ²	
Draft (max.):	7.75' / 2.36m		Draft (min.):		
Displacement:	15211 lbs. / 6900 kgs.		Ballast:	5953 lbs. / 2700 kgs.	
Sail Area/Disp.1:	21.08	Bal./Disp.:	39.13%	Disp./Len.:	160.71
Designer:	Bruce Farr				
Builder:	Beneteau (FRA)				
Construction:	FG			Bal. type:	Lead or Iron
First Built:	1997	Last Built:		# Built:	550
AUXILIARY POWER (orig. equip.)					
Make:	Volvo		Model:	2030	
Type:	Diesel		HP:	30	
TANKS					
Water:	84 gals. / 318 ltrs.		Fuel:	34 gals. / 129 ltrs.	
RIG AND SAIL PARTICULARS <u>KEY</u>					
I(IG):	51.61' / 15.73m		J:	14.47' / 4.41m	
P:	48.85' / 14.89m		E:	17.71' / 5.40m	
PY:			EY:		
ISP:			SPL/TPS:		
SA(Fore.):	373.40 ft ² / 34.69 m ²		SA(Main):	432.57 ft ² / 40.19 m ²	
Sail Area (100% fore+main triangles):			805.97 ft ² / 74.87 m ²		
Sail Area/Disp.2:	21.08	Est. Forestay Length.:	53.60' / 16.34m		
BUILDERS (past & present)					
More about & boats built by:	Beneteau				
DESIGNER					
More about & boats designed by:	Bruce Farr				
RELATED LINKS					
First 40.7 (Beneteau) - Chicago Fleet	www.first407.com				
NOTES					
Farr design #354. Shallow draft version with Iron Keel - draft: 6.17'/1.88m. Not the same as an earlier (1994) Beneteau model called the IMS 40.7.					

INTERIOR LAYOUT:

This vessel is a standard 3 cabin layout with one head.

The aft cabins can berth 2 pax each, the forepeak (forward cabin v-berth) berths 2 pax, and 2 couches in the saloon convert to single berths with lee-cloths.



2. Risk Identification, Assessment and Management

2. 2. 1 Introduction

Terence Smith is the vessel owner and the designated person. We have conducted an assessment of risks associated with the vessel *Mohawk* and its commercial operations against Part E of the National Standard for Commercial Vessels (NSCV) and the Act. Forms used by the company to help identify, assess and manage risks are attached at Appendix A. The designated person values the experience and knowledge of the *Mohawk* crew and has involved them in all phases of the risk assessment and management process. *Mohawk's* risk assessment and management process is modelled on requirements of AS/NZS ISO 31000:2009 and risk registers have been established to record identified risks and summarise measures taken to eliminate or effectively control them. All risks recorded in the register have been individually assessed and controlled and this process has been documented.

2.2 Risk Management Program Review

The risk management program is subject to review each year and unscheduled reviews are carried out in response to any significant changes to the vessel's operation or identified improvement opportunities and non-conformances. Review processes are fully documented as are any corrective actions taken in response to outcomes of these reviews.

2.3 Risk Management Responsibilities

2.3.1 Master and designated person

Terence Smith is the owner and the vessel's normal master and the designated person responsible for the implementation, maintenance, review and improvement of the vessels' risk management program.

Terence Smith will consult crew and skippers as necessary to inform the risk management program review process.

The master/skipper at the time is responsible for implementing and complying with the safety management system of the vessel and the operations of the vessel.

2.3.2 Vessel crew

The crew have a safety duty to comply with lawful directions of the master of the vessel to comply with the policies and procedures that have been established to provide for their safety and that of others who work or travel on the vessel.

3. Vessel owner, master and designated person responsibility and authority Statement

Mr Terence Smith is the owner of the vessel *Mohawk*, *official* No .861337 and is normally the vessels Master and is the Designated Person.

The vessel owner and, master are responsible for the ongoing sufficiency of resources necessary to ensure the competency of crew, the seaworthiness of the vessel and the safety of its operations. Wherever possible the vessel owner and master will encourage crew members to contribute to the following processes to improve the vessel's safe operations:

- Development, maintenance, review and improvement of the vessel's Safety Management System (SMS).
- Development, maintenance, review and improvement of any additional policies, procedures or guidelines considered necessary to help all persons that have duties and responsibilities in connection with the vessel fulfil their respective duties and responsibilities and provide for the safe operation of the vessel.
- The identification, delivery, review and improvement of induction training and ongoing learning and development initiatives for the master and crew that promote currency of crew competency.
- Appropriate crew determinations for the vessel's normal and emergency operations.
- Scheduling, review and improvement of the vessel's routine maintenance program.
- Investigation of all incidents, accidents and SMS breaches as well as follow-up with appropriate corrective action and verifying its effectiveness.

The owner understands the importance of a safety culture and the need to establish a work environment where the reporting of near misses, incidents, accidents and non-conformances is encouraged at all levels within the company and is followed up with timely and appropriate corrective action. The following organisational chart clarifies the reporting arrangements between the vessel owner and crew and associated lines of communication.

**Vessel Owner, Master and Designated Person of S.V. Mohawk,
Mr Terence Smith- Master and Designated Person Responsibilities:**

- Company governance
- Business, financial and operational planning and management
- Regulatory compliance
- Leadership
- Human Resource Management
- Marketing and promotion
- Clerical duties
- Other duties as required

Vessel Master/Skipper/Crew

As stated in the manifest / logbook for the specific voyage.

- All duties as defined in the vessel SMS

The designated person/master uses pre-departure checklists for each voyage to confirm the vessel's seaworthiness. Seaworthy means the vessel carries appropriate crew and is maintained and equipped with the fire-fighting, safety and lifesaving appliances required for its service category, intended area of operation and associated risks. The master is responsible for making sure the vessel operates in line with the requirements of the vessel's SMS. This means actively taking measures to ensure crew members fully understand the precautions and procedures that provide for the safe operation of the vessel and protect the environment from pollution. The designated person/master plays a lead role in crew training and development (this responsibility is clarified at Section 4.1 of the SMS).

4. Resources and personnel

4.1 Crew training

The master of the vessel at any time when the vessel is being used for commercial purposes must have a current RYA Yachtmaster qualification with full commercial endorsement, which includes up to date maritime first aid, medical, radio operator, power boat handling and sea survival (if required). The vessel's master therefore, performs the duties of vessel master, engineer, senior first aid officer, and radio operator, so no additional crew is required.

The national training framework confines safety induction training to the vessel's risk assessment and management program, the SMS and in particular its emergency plans.

- That any extra training necessary to maintain currency of competency or respond to opportunities for improvement is identified and delivered.

The Master is responsible for ensuring the delivery of crew induction and required safety training.

The Master / Skipper is to carry proof of up to date qualifications with him at all times when the vessel is in commercial use.

4.2 Appropriate crew

S.V. Mohawk is used for various activities as listed in appendix C. The assessment method used by Mohawk, and Tekport Pty Ltd trading as Mainstay Sailing, to determine core complement and appropriate crew numbers is detailed at Appendix C.

5. Procedures for onboard operation:

5.1 Passenger safety briefing

The master delivers a passenger safety briefing before departure on each voyage to alert passengers to the important safety features of the vessel (this is set out in the template at Appendix D). During the course of the safety, passengers are provided with a demonstration of how to put on and secure their life jackets.

5.2 Passenger verification procedure

Mainstay Sailing, and the master of Mohawk understand the importance of accounting for passengers at all times during the voyage. Passenger bookings are taken by shore-based staff and total passenger numbers confirmed with the master prior to each voyage. The master attaches or enters the names and appropriate details of the passengers to the logbook/ manifest for the voyage. Passenger verification and count is carried out by the master when he deems it necessary. Any significant medical requirements or conditions are discussed and recorded in the manifest. The master records the outcomes of the passenger verification process in the vessel log.

5.3 Vessel pre-departure checks

The vessel master performs and records the completion of these checks in accordance with the schedule at Appendix F.

The completed checklists are to be retained by the master for the duration of the voyage as part of the vessel's SMS documentation. These checklists are kept in the vessel's log book on board.

5.4 Berthing of vessel

Master and crew are to complete the following activities to minimise the risk of crush injury to passengers during the course of berthing the vessel.

The master must:

- Use the passenger safety briefing to initially alert passengers to the risk.
- Discuss the berthing activity with all crew and passengers just prior to docking pointing out all factors which effect the operation (wind, tide, space etc.)

6. Emergency preparedness

Emergency plans have been established in accordance with NSCV Part E. The primary objective of these plans is to provide a timely, appropriate and coordinated response to identified emergencies and assist with

their effective management. It includes the identification and management of any foreseeable risks associated with these emergency situations.

The owner /master is to ensure, and the designated person is to monitor that:

- Crew understand the primary objective of the emergency plans.
- Crew know their designated roles and responsibilities detailed in the emergency plans.
- Crew demonstrate proficiency in fulfilling their designated roles and responsibilities through practical application during emergency drills.

The emergency plan for a fire on board is detailed at Appendix D.

7. Follow up on hazardous occurrences and non-conformances

Mainstay Sailing has established a procedure to provide consistency in these follow-up investigative processes. The procedure provides for an effective response to incidents, accidents and detected non-conformance.

The action request form at Appendix E is to be used by crew and Skippers to notify the owner of occurrences and non-conformances.

The owner/master is responsible for and the designated person is to monitor timely review of all action request forms and the following:

- Approval of any action that needs to be taken in response to the request.
- Confirming the effectiveness of all corrective actions taken.
- Making necessary changes to the vessel's SMS.

Copies of all completed action requests are retained in the shore-based office.

8. Maintenance of vessel and equipment

Mainstay Sailing uses a number of processes to provide for the effective maintenance of the vessel and its equipment and these are detailed below:

- Pre-departure checks carried out by crew and Master prior to each voyage (refer Appendix F for templates).
- The action request form at Appendix E, which provides for the recording and resolution of all identified unscheduled maintenance.
- Monthly inspections performed by the designated person as per the template at Appendix F.
- The planned maintenance schedule at Appendix F which identifies and schedules all significant maintenance.

Copies of all maintenance records are retained in the shore-based office.

9. Documentation

A vessel log (refer Appendix G) has been developed and is maintained in hard copy in the navigation table of Mohawk.

The master is responsible for updating the log for each voyage and recording any incidents, hazardous occurrences or non-conformances that occur during any voyage. Personal details of crew and their next of kin including contact numbers are recorded electronically and available in the office. The log is retained for a period of 6 months as are all documentary records of the SMS.

10. Verification, review and evaluation

Mainstay Sailing reviews Mohawk's SMS annually and carries out unscheduled reviews as required. Unscheduled reviews may be triggered by:

- A significant change to the vessel's operation.
- Corrective action in response to the outcomes of a non-conformance, hazardous occurrence or other incident.
- An identified improvement opportunity.

The action request form at Appendix E is used as a means to record details of any changes to the SMS triggered by the annual or unscheduled review process.

All records of outcomes from the SMS review process are kept at the registered office of Tekport Pty Ltd.

APPENDIX A - RISK MANAGEMENT

Introduction

Tekport Pty Ltd risk assessment program complies with the requirements of AS/NZS ISO 31000:2009. The company has applied the following to promote consistency in the assessment and management of identified risks.

Hazard	Something that exists and could cause harm (example - oil on deck)
Foreseeable Risk	A risk which a reasonable person should anticipate possible with commercial vessel operations.
Risk	The probability of a hazard resulting in an adverse event (example – personal injury due to slipping on the oil)
Likelihood	The probability of the risk/ hazard (example - What are the chances that someone could slip on the oil)
Consequence	What could happen if the identified risk/ hazard occurs (ie minor/serious personal injury etc)
Risk treatment Risk Management Risk Control	Measures have been put in place to eliminate the hazard/risk or reduce it (example Oil is cleaned up or the oily section of the deck is cordoned off to passengers and crew and cautionary signage erected)
Residual Risk	If the hazard or risk hasn't been completely eliminated but controlled in some way, what element of risk remains?
Tolerable Risk	If some level of risk remains it is considered acceptable given the nature of controls that are in place
Risk Register	A table or similar that records all the identified hazards and risks associated with the vessel and its operations including a summary of the risk assessment and risk management/control outcomes. Risk Prioritisation The order in which risks that are identified in the "Risk Register
Risk Prioritisation	The order in which risks that are identified in the "Risk Register" are subject to treatment/control. For example - in most instances risks that receive an "Extreme" rating based on the likelihood and consequence would be treated/controlled prior to one that receives a "Medium" rating.

LIKELIHOOD

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

LIKELIHOOD and CONSEQUENCE MATRIIX

Likelihood	Consequences				
	Insignificant	Minor	Moderate	Major	Catastrophic
Almost Certain/frequent	High	High	Extreme	Extreme	Extreme
Likely	Medium	High	High	Extreme	Extreme
Possible	Low	Medium	High	Extreme	Extreme
Unlikely/very remote	Low	Low	Medium	High	Extreme
Rare/improbable	Low	Low	Medium	High	High

RISK TREATMENT/CONTROL RATING

The vessel owner has used the following criteria to inform decisions regarding the sufficiency of applied risk treatment and control measures:

Risk Treatment Method	Risk Treatment Rating
1. Eliminate hazard/risk	(E) Effective
2. Isolate hazard/risk or apply re-engineer or re-design solution	(A) Adequate
3. Introduce administrative solution – (Staff training, Personal Protective Equipment, Cautionary Signage)	(W) Weak
4. Combination of isolate, re-engineer/re-design and administrative solutions	(A) Adequate (Dependent on the nature and type of these controls)