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Key Issue

To inform the JMC of the key risks associated to the BCA Canal Partnership and to ensure risks are mitigated as far as possible.

Summary

A Risk Register has been prepared highlighting that the key risks relate to the partnership ceases to function properly through partners withdrawing and if the BCA fail to inspect critical infrastructure correctly.

Officer's recommendation

That the JMC :

- a. Adopt the Risk Register and keep it under regular review as a standing item on the agenda,
- b. Act, or authorise officers to act, where appropriate to mitigate risks within the jurisdiction of the Committee.

1 Introduction & background

- 1.1 A Risk Register was prepared in 2011, but not published or reported to this Committee; it was last updated by Surrey and Hampshire County Council Officers in 2012.
- 1.2 The register has now been updated and the risks contained in it reviewed due to the passage of time, a number of additional risks have been added to the list which had not previously been considered.

2 Discussion

- 2.1 A number of high risks have decreased in score as their likelihood has reduced following the capital works programme funded by the owners. The most notable are the *failure of lock gates* (BCA 22) and *failure of culverts* (BCA 53) where wholesale inspection has now been carried out and works programmed or completed. In the case of lock gates the BCA have adopted the cyclical maintenance regime proposed in the Asset Management Plan, which makes failure even less likely.
- 2.2 A number of high and medium risks remain unchanged – these are principally relating to the inspection of large engineering structures (BCA 19 & BCA 21). If the BCA failed to carry out the inspection procedures and timescales proposed in the AMP it would expose local residents and consequently the two owners to significant risk. There is no evidence to show that the BCA are failing in these inspections, but the risks associated with a failure still remain high. The maintenance of a properly trained and experienced workforce of adequate numbers is reinforced by these risks.
- 2.3 The highest risk to the partnership now rests with the JMC itself, if the members fail to meet their obligations to fund the partnership the BCA may need to reduce staffing levels below a safe level (BCA

44). With the increased pressure on Local Authority revenue budgets the likelihood of one or more partners reducing their funding significantly has greatly increased and this is now the highest risk of all.

- 2.4 Similarly, another increased risk relates to the preparation of a Business Plan for the BCA in preparation for the reductions in funding which seem all too possible (BCA 31). Whilst the new Canal management team have been implementing some improvements to income this is not documented and it is impossible for Members to judge performance in this respect.
- 2.5 A new risk has been introduced showing that the embargo on major improvement to the Canal Centre site whilst SCC Estates Officers have been considering a wholesale redevelopment of the site is harming the ability of the BCA to improve their income stream.
- 2.6 The financial and reputational risks associated with the lack of availability of the navigation in past years has decreased as the navigation has been available throughout the usual boating “season” continuously since 2013 – it should be noted that this had not previously been achieved since the reopening to navigation following restoration in 1991.

3 Equalities & diversity implications

- 3.1 The risks associated with reduced funding and increasing income may make it more likely that those on low incomes feel less able to use Canal facilities as more charges have to be made.
- 3.2 Any reduction in revenue maintenance for facilities may impact on the provision of facilities, well maintained level towpath, for less able people.

4 Crime & disorder implications

- 4.1 The risks associated with Crime & Disorder on the Canal are not significant, and there are no associated risks in the risk register.
- 4.2 Reducing funding and therefore Canal staffing further would make the on the ground presence even less than at present, with anti-social behaviour and associated crimes, such as graffiti or vandalism, likely to rise.

5 Conclusion and recommendation

- 5.1 It is vital for the safety of residents that the partnership continues to fund the BCA to an appropriate level, whilst a review into the future management of the Canal is carried out.
- 5.2 During this time it is important for the BCA to seek to reduce reliance on revenue grants and replace it with directly generated income. To this end it is very important that officers prepare a Business Plan showing how these improvements can be made in the short and medium terms.

6 What happens next

- 6.1 JMC Members note the risks and take action to mitigate them, principally through securing funding.
- 6.2 Officers prepare a Business Plan for the BCA to improve their income and reduce reliance of revenue grants to fund operating costs, to be reported to a future meeting of the JMC.

Risk ref.	Risk Description	Risk Owner	Impact					Likelihood	Total risk score	Mitigation	Action by who	Revised L'hood	Mitigated Risk Score	Date of review	Movement of risk since previous assessment	Notes
			Financial	Service	Safety	Reputation	Total									
BCA 44	The impact of the Comprehensive Spending Review on local government may lead to a reduction or cessation in funding from partners resulting in inability to safely manage the canal with sufficient staff and therefore meet statutory obligations and compromise public safety	JMC	3	3	3	4	13	4	52	Raise political profile of Canal and awareness of AMP / CMP / (BP) to secure adequate funding to meet statutory responsibilities whilst owners review future management options	JMC Members	3	39	May-15	Increased risk	
BCA 21	Failure of earthworks, due to extreme weather, falling trees, etc., leads to loss of service, flooding, death or injury.	SCC and HCC	4	4	4	4	16	3	48	Adhere to robust inspection monitoring and recording protocols in AMP. Implement a prioritised maintenance programme (partially implemented). BCA to develop prioritised 5 year work programme	James Taylor / Fiona Shipp	2	32	May-15	No change	
BCA 19	Failure to adequately manage lock walls, bywash culverts, wing walls leads to structural failure and loss of service, flooding, death or injury	SCC and HCC	4	3	4	3	14	3	42	Adhere to robust inspection monitoring and recording protocols in AMP. Implement a prioritised maintenance programme (partially implemented). BCA to develop prioritised 5 year work programme	James Taylor / Fiona Shipp	2	28	May-15	No change	
BCA 32	Lack of investment in the camp site leads to loss of potential additional income and inability to fulfill aims of Business Plan	SCC (BCA)	3	1	1	3	8	3	24	SCC to implement Canal Centre redevelopment or support BCA in making sustainable improvements	SCC Estates officers / Lisa Creaye-Griffin / James Taylor	3	24	May-15	N/A	Not previously risk assessed
BCA 31	Failure to effectively implement a Canal-wide Business Plan leads to inability to finance the management of the canal	JMC	3	3	2	3	11	2	22	Business Plan to be developed to demonstrate how the BCA can decrease reliance on Revenue Grants and replace it with income. Plan to be agreed and monitored by JMC	James Taylor / Fiona Shipp	2	22	May-15	Increased risk	
BCA 24	Failure to carry out length inspections in an appropriate manner results in initial signs of leaks being missed leading to a breach of the canal	BCA	2	3	3	2	10	3	30	Set up and maintain an adequate monitoring and inspection regime based on modified BWB AIP contained in AMP.	Fiona Shipp / Jon Green	2	20	May-15	No change	
BCA 26	Unauthorised intervention by third parties (vandalism terrorism etc) causes damage to canal infrastructure creating leaks and possible loss of service, flooding,	HCC and SCC	3	2	2	2	9	3	27	Implement and monitor BCA compliance with the Emergency Response Plan including test exercises.	James Taylor / Emergency Planning Officers	2	18	May-15	No change	

		injury or death														
BCA 51	Failure to effectively manage media, including website, leads to loss of reputation, funding and complaints from user groups.	BCA	2	2	1	3	8	2	16	BCA to develop a Marketing Strategy	Fiona Shipp / Dean Wall	2	16	May-15	N/A	Not previously risk assessed
BCA 29	Failure to provide a robust and resilient ICT system leads to loss of service and increased costs.	HCC	2	2	2	2	8	2	16			2	16	May-15	N/A	Not previously risk assessed
BCA 22	Failure of lock gates or ancillary equipment leads to loss of service, flooding, death or injury	SCC and HCC	4	3	4	3	14	3	42	Inventory completed. Priority maintenance carried out. AMP cyclical maintenance regime adopted. Ensure AMP inspection regime continues to be implemented.	James Taylor / Fiona Shipp	1	14	May-15	Decreased risk	
BCA 53	Failure to adequately manage culverts leads to loss of service, flooding, death or injury.	SCC and HCC	4	3	4	3	14	3	42	Inventory completed. Set up, maintain and record adequate monitoring, inspection. Prioritised maintenance programme partial complete.	James Taylor / Fiona Shipp	1	14	May-15	Decreased risk	
BCA 12	Failure to adequately manage school visits, events (including santa cruises) and camp site leads to death or injury and prosecution	BCA	4	2	4	4	14	2	28	Complete and implement adequate risk assessments.	Dean Wall	1	14	May-15	No change	
BCA20	Failure to adequately manage bridges leads to structural failure and loss of service, flooding, death or injury	SCC and HCC / BCA / third parties	4	3	4	3	14	2	28	Liase with County Council bridge clients to ensure Highway and Rights of Way bridges are maintained in accordance with engineering best practice. Ensure the AMP inspection and monitoring regime is implemented for BCA and third party bridges. Where third party bridges are defective ensure third parties are notified.	SCC & HCC Bridge clients / James Taylor / Fiona Shipp	1	14	May-15	No change	
BCA 38	Failure to comply with Client responsibilities of CDM Regulations and other Health and Safety legislation leads to injury or death and/or prosecution by HSE	BCA / SCC & HCC	4	3	4	3	14	2	28	Ensure all works are conducted in accordance with CDM Regulations including the keeping of records and ensuring staff and volunteers are suitably qualified for the tasks they undertake.	James Taylor	1	14	May-15	No change	
BCA 10	Failure to effectively implement and monitor the HCC Safety Manual or BCA documentation leads to death or	BCA	4	2	4	4	14	1	14	BCA to be regularly assessed for compliance with standards	James Taylor	1	14	May-15	N/A	Not previously risk assessed

	injury and prosecution.															
BCA 11	Failure to adequately manage the children's play area or picnic site leads to death or injury and prosecution	BCA	4	2	4	3	13	2	26	Complete and implement adequate risk assessments.	Dean Wall	1	13	May-15	No change	
BCA 18	Failure to manage animals (rats, crayfish etc) leads to breach of embankments resulting in damage to property, injury and death	BCA	3	3	4	3	13	2	26	Implement length inspection regime in AMP. Carryout regular trapping of crayfish to reduce population.	Fiona Shipp / Jon Green	1	13	May-15	Decreased risk	
BCA 37	Failure to comply with the Reservoirs Act could lead to enforcement orders and prosecution	SCC	3	3	2	4	12	3	36	Works in the interest of public safety completed. Regular inspections conducted by Inspecting Engineer.	James Taylor	1	12	May-15	Decreased risk	
BCA 28	Failure to prepare and implement a comprehensive emergency plan leads to loss of service, closure of the canal, death or injury, and/or prosecution under H&S law.	BCA / HCC & SCC	3	3	3	3	12	2	24	Keep Emergency Response Plan up to date and ensure Emergency Planning Teams have the most up to date copy	James Taylor / Fiona Shipp	1	12	May-15	No change	
BCA 13	Failure to adequately manage the volunteer work force leads to death or injury and possible prosecution	BCA	4	1	4	3	12	2	24	Follow HCC H&S policies to adequately risk assess and supervise works.	Fiona Shipp / Jon Green	1	12	May-15	No change	
BCA 15	Failure to employ sufficient adequately trained staff leads to inability to provide agreed levels of service (including inspection data and emergency cover) and difficulties in implementing the various business plans.	BCA	2	3	4	3	12	2	24	BCA to recruit staff in accordance with HCC policies and systems.	Fiona Shipp	1	12	May-15	N/A	Not previously risk assessed
BCA 1	Loss of Canal Centre through fire, flooding or other major event leads to inability to manage the BCA.	BCA / HCC & SCC	3	3	3	3	12	2	24	Implement HCC Business Continuity Plan. SCC to carryout repairs quickly and efficiently	Jo Heath / James Taylor / Fiona Shipp / SCC Estates	1	12	May-15	N/A	Not previously risk assessed
BCA 25	Failure to adequately manage canal boundaries can lead to loss of canal estate which impacts on the ability to maintain the canal.	BCA	2	1	1	2	6	3	18	SCC & HCC Estates / Legal to confirm accurate boundaries. BCA to inform HCC and SCC when encroachments are noted	Fiona Shipp / James Taylor / SCC & HCC Estates	2	12	May-15	N/A	Not previously risk assessed
BCA 17	Failure to adequately manage trees leads to adverse impact on water quality, potential embankment breach, third party damage and loss of habitat resulting in injury and prosecution	BCA	3	3	3	2	11	3	33	Set up and maintain an adequate monitoring and inspection regime. Detailed inventory found tree stock to be in generally good condition. Implement a prioritised maintenance programme in conjunction with	James Taylor / Fiona Shipp / Jon Green	1	11	May-15	Decreased risk	

										the Conservation Management Plan ..						
BCA 23	Failure to maintain or operate sluices effectively leads to flooding and third party damage	BCA	4	2	2	3	11	2	22	Implement and review winter, summer and extreme weather protocols. Ensure telemetry system is installed and working correctly	Jon Green	1	11	May-15	No change	
BCA 30	Failure to adequately manage capital maintenance programme leads to problems with delivery creating disruption, increased costs and potential prolonged closure of the canal and loss of reputation with stakeholders	SCC & HCC	3	3	2	3	11	2	22	Ensure capital works are planned in advanced and delivered in accordance with the financial standing orders of HCC / SCC.	James Taylor	1	11	May-15	No change	
BCA 42	Failure to effectively implement the overall Asset Management Plan, Conservation Management Plan, Emergency Response Plan and Business Plan leads to weak management of the canal, ineffective use of resources and inability to manage risk.	JMC	3	3	2	3	11	2	22	JMC to review officer's actions through monitoring reports offered to the JMC	James Taylor / Fiona Shipp	1	11	May-15	No change	
BCA 47	Leakage from canal creates problems for adjacent land owners.	BCA / SCC & HCC	3	2	2	3	10	2	20	BCA to comply with AMP robust inspection regime (BCA 24) and develop 5 year prioritised works programme	Fiona Shipp / Jon Green	1	10	May-15	N/A	Not previously risk assessed
BCA 2	Loss of workshop or store through fire, flooding or other major event leads to loss of maintenance capacity and / or archive material.	BCA / HCC & SCC	2	2	3	2	9	1	9	Implement HCC Business Continuity Plan. SCC or HCC to carryout repairs quickly and efficiently	Jo Heath / James Taylor / Fiona Shipp / HCC and SCC Estates	1	9	May-15	N/A	Not previously risk assessed
BCA 45	Failure to provide consistent navigation opportunities due to prolonged maintenance activities leads to reduction in income from boat users and potential closure of the Canal.	JMC	2	2	1	3	8	4	32	Priority maintenance carried out 2011-14 improved asset conditions. BCA implement revised navigational procedures to allow the Canal to remain navigable since reopening throughout at Easter 2013.	James Taylor / Fiona Shipp	1	8	May-15	Decreased risk	
BCA 27	Disruption to canal navigation and towpath use caused by external maintenance works leading to loss of income and reputation	HCC & SCC / BCA	2	2	1	3	8	3	24	Ensure works agreements are entered into with third parties doing work on Canal property, and contain penalties for extensions to agreed	James Taylor / HCC & SCC Estates Officers	1	8	May-15	No change	

											programmes of work.					
BCA 41	Failure to effectively implement the Conservation Management Plan leads to adverse impact on the SSSI and potential for prosecution	BCA / HCC & SCC	2	2	1	3	8	2	16	BCA to report actions to Conservation Steering Group and JMC	Fiona Shipp	1	8	May-15	N/A	Not previously risk assessed
BCA 39	Failure to adequately manage works in vicinity of the fibre optic cable leads to claim and and financial difficulties	BCA / SCC & HCC	3	1	2	2	8	2	16	Ensure all works comply with CDM Regulations (BCA 38) and safe working practices	Fiona Shipp / Jon Green	1	8	May-15	N/A	Not previously risk assessed
BCA 5	Third party pollution incidents lead to damage to wildlife and habitat.	BCA / Environment Agency	1	1	3	3	8	2	16	BCA to inform EA and Natural England (Emergency Planning) promptly. Ensure pollution doesn't spread.	Fiona Shipp / EA / Emergency Planning officers	1	8	May-15	N/A	Not previously risk assessed
BCA 36	Excessive use of back pumping system could lead to prosecution by the Environment Agency.	BCA / SCC	2	1	1	4	8	1	8	BCA to ensure compliance with Abstraction Licence and make statutory returns. Implement telemetry system to semi-automate pump control.	Fiona Shipp / Jon Green	1	8	May-15	N/A	Not previously risk assessed
BCA 14	Failure to adequately implement HCC HR policies leads to staffing issues and reduced level of service	BCA	2	1	2	3	8	1	8	BCA to adhere to HCC HR policies. Implementation of IBC means staff recruitment is uniform (if very slow)	Fiona Shipp	1	8	May-15	N/A	Not previously risk assessed
BCA 48	Failure to adequately maintain water levels in certain pounds leads to stability problems with house boats and claims from owners.	BCA	2	1	2	2	7	2	14	Comply with water level protocols in AMP / CMP / ERP. Carryout regular maintenance of weirs and sluices. Install telemetry system		1	7	May-15	N/A	Not previously risk assessed
BCA 49	Prolonged maintenance works requiring closure of tow path creates disruption for recreational users.	BCA / HCC & SCC	1	2	1	3	7	2	14	Legal requirement to keep towpath closures as short as possible. Maintenance works to be properly planned and comply with relevant standards and procedures.	James Taylor / Fiona Shipp	1	7	May-15	N/A	Not previously risk assessed
BCA 4	Failure to control fly tipping and litter on the towpath damages boats, wildlife and habitat and could result in loss of SSSI status	BCA	2	1	2	2	7	2	14	Implementation of volunteer lengthsman scheme	Fiona Shipp / Jon Green	1	7	May-15	N/A	Not previously risk assessed
BCA 34	Failure to maximise the potential use of volunteers leads to reduction in levels of service and increased costs	BCA	2	2	2	1	7	2	14	BCA to ensure good relations with user groups and volunteers through regular meaningful engagement	Fiona Shipp	1	7	May-15	N/A	Not previously risk assessed
BCA 6	Failure to manage invasive species leads to additional costs and potential for prosecution	BCA	2	1	1	3	7	1	7	BCA to comply with CMP	Fiona Shipp / Jon Green	1	7	May-15	N/A	Not previously risk assessed

BCA 3	Loss of equipment through failure to maintain or theft from buildings, stores and vans results in loss of service and increased costs.	BCA	2	1	2	1	6	2	12	BCA to maintain inventory of equipment and keep up to date maintenance schedules in accordance with HCC systems. Store valuable equipment securely in accordance with Police advice.	Fiona Shipp / Jon Green	1	6	May-15	N/A	Not previously risk assessed
BCA 43	Conflict of interest between various user groups (recreation / conservation / navigation) leads to failure to effectively manage the canal	BCA	1	1	1	2	5	2	10	BCA to ensure good relations with user groups through regular meaningful engagement	Fiona Shipp	1	5	May-15	N/A	Not previously risk assessed