

Risk ref.	Risk Description	Risk Owner	Impact							Total risk score	Mitigation	Action by who	Revised L'hood	2016 Mitigated Risk Score	2017 Mitigated Risk Score	Date of review	Movement of risk since previous assessment	Notes
			Fin	Service	Safety	Rep'n	Total	L'hood										
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. Analysis undertaken as to cuts in service required at reduced levels of funding	JMC Members	4	52	52	Nov-17	→		
BCA 31	Failure to effectively implement a Canal-wide Business Plan leads to inability to finance the management of the canal in the event of revenue grant cuts	JMC	3	3	2	3	11	3	33	Business Plan developed to demonstrate how the BCA can decrease reliance on Revenue Grants and replace it with income.	James Taylor / Fiona Shipp	3	33	33	Nov-17	→		
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	32	Nov-17	→		
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	28	Nov-17	→		
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	4	32	SCC to implement Canal Centre redevelopment or support BCA in making sustainable improvements	SCC Estates officers / Lisa Creaye-Griffin / James Taylor	3	32	24	Nov-17	↑	Campsite development report to JMC 30-11-2017	
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	James Taylor / Fiona Shipp / Jon Green	2	11	22	Nov-17	↓	Some evidence that tree growth is outstripping BCA's ability to deal with it.	
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.	Fiona Shipp / Jon Green	2	20	20	Nov-17	→	Audited annually by senior HCC & SCC officers.	
BCA 26	Unauthorised intervention by third parties (vandalism terrorism etc) causes damage to canal infrastructure creating leaks and possible loss of service, flooding, injury or death	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	18	Nov-17	→		
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	4	24	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	3	18	18	Nov-17	→		
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 2011-17 generally much improved asset conditions. Managed navigation policy improves access to Canal year round	James Taylor / Fiona Shipp	2	16	16	Nov-17	→		
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	2	8	16	Nov-17	↓	Some evidence that CMP is not delivering desired results. BCA to engage with Nat Eng & experts to review CMP.	
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	James Taylor / Fiona Shipp	1	14	14	Nov-17	→		
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	14	Nov-17	→		
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	14	Nov-17	→		
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	Liaise with County Council bridge clients to ensure Highway and Rights of Way bridges are maintained in accordance with engineering best practice.	SCC & HCC Bridge clients / James Taylor / Fiona Shipp	1	14	14	Nov-17	→		
BCA 38	Failure to comply with Client responsibilities of CDM Regulations and other Health and Safety legislation leads to injury or death and/or	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	James Taylor	1	14	14	Nov-17	→		
BCA 10	Failure to effectively implement and monitor the HCC Safety Manual or BCA documentation leads to death or injury and prosecution.	BCA	4	2	4	4	14	1	14	BCA to be regularly assessed for compliance with standards	James Taylor	1	14	14	Nov-17	→		
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	2	7	14	Nov-17	↓	Unexpected issues at Heath Vale Road highlighted lack of resource and complex regulation	
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	13	Nov-17	→		
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	13	Nov-17	→		
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	12	Nov-17	→	Inspecting Engineer generally very happy with level of compliance	

818

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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	12	Nov-17	→		
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	12	Nov-17	→		
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.	James Taylor / Fiona Shipp	1	12	12	Nov-17	→		
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	12	Nov-17	→		
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. CCTV and alarms installed.	Fiona Shipp / Jon Green	2	12	12	Nov-17	→		
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	11	Nov-17	→		
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	11	Nov-17	→		
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. KPI indicators added to Operational Plan	James Taylor / Fiona Shipp	1	11	11	Nov-17	→		
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	10	Nov-17	→		
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	9	Nov-17	→		
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 programmes of work.	James Taylor / HCC & SCC Estates Officers	1	8	8	Nov-17	→		
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, branding and extensive use of social media	Fiona Shipp / Dean Wall	1	8	8	Nov-17	→		
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		HCC IT	1	8	8	Nov-17	→		
BCA 39	Failure to adequately manage works in vicinity of the fibre optic cable leads to claim 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	8	Nov-17	→		
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	8	Nov-17	→		
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	8	Nov-17	→		
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	8	Nov-17	→		
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	7	Nov-17	→		
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	7	Nov-17	→		
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	7	Nov-17	→		
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	7	Nov-17	→		
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	5	Nov-17	→		